



UNODC

United Nations Office on Drugs and Crime

Independent Evaluation Section



FINAL INDEPENDENT PROJECT EVALUATION

SUPPORTING MINIMUM STANDARDS FOR HIV, HEALTH AND RIGHTS IN PRISON POPULATIONS OF SUB-SAHARAN AFRICA – RESPONSE TO MALAWI PRISON CRISIS COMPONENT

XSSW23
December 2022



This independent evaluation report was prepared by an evaluation team consisting of Chris Roberts (Lead Evaluator) and Dr John Phuka (Public Health Expert). The Independent Evaluation Section (IES) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of projects.

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ABBREVIATIONS AND ACRONYMS

Abbreviation or Acronym	Full name
CLP	Core Learning Partner/s
CSO	Civil Society Organisation/s
IES	Independent Evaluation Section
KII	Key Informant Interview
LGBT	Lesbian, Gay, Bisexual and Transgender
LNOB	Leave No One Behind
Logframe	Logical Framework
MPS	Malawi Prisons Service
NGO	Non-Government Organisations
PM	Project Manager
ROSAF	(UNODC) Regional Office for Southern Africa
SDGs	Sustainable Development Goals
ToR	Terms of Reference
UNAIDS	The Joint United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNODC	United Nations Office on Drugs and Crime
WHO	World Health Organisation

MANAGEMENT RESPONSE

Recommendations ¹	Management Response ²
1. SUSTAINABILITY: Conduct a rapid sustainability assessment to determine specific needs, by output, for maximising the prospects of sustainability. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)	Accepted
2. STRATEGIC COHERENCE: Determine future project intent and set a new, realistic project goal which is aligned to needs, available resources and contextual reality. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)	Accepted
3. COORDINATION: Develop a project stakeholder map and stakeholder coordination workplan. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)	Accepted
4. MONITORING AND REPORTING: Develop a monitoring and evaluation plan, incorporating refined Theory of Change and Results Framework. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)	Accepted

¹ This is just a short synopsis of the recommendation, please refer to the respective chapter in the main body of the report for the full recommendation.

² Accepted/partially accepted or rejected for each recommendation. For any recommendation that is partially accepted or rejected, a short justification is to be added.

INTRODUCTION

PROJECT DESCRIPTION AND OBJECTIVES

The 'Response to Malawi Prison Crisis' project (a component of the regional project "Supporting minimum standards for HIV, health and rights in prison populations of Sub-Saharan Africa") was designed to address challenges in Malawi prisons relating to health care, water and sanitation, ventilation, and persistent food shortages, with a focus on immediate, acute, health-oriented crises that affected the existing prison population, and longer-term prison-service-wide systems, strategies, and capacities to contain and/or mitigate the chronic harms related to institutional overcrowding.

The stated project goal was: 'Developing an effective and sustainable national response to the chronic drivers of the existing prison challenges/crisis, and overcrowding, thereby improving the health and living conditions for Malawi's prison population.'

The project was funded via a grant from the Royal Norwegian Embassy in Malawi for the period from 24 October 2017 - 31 December 2021 (later extended to December 2022). The total approved budget was USD3,536,000. A Final Independent Project Evaluation was stipulated in the project document and a requirement of the donor.

PURPOSE, SCOPE AND METHODOLOGY OF EVALUATION

This evaluation covers the period from October 2017 to June 2022. The main purpose is to assess the achieved results of the project to date, identify lessons learned and best practices, and derive recommendations for future decision-making and organisational learning. All project locations in Malawi were considered. The main evaluation users will be UNODC Regional, Field and Headquarters offices, donors, development partners, Malawi Government through the Malawi Prisons Service (MPS), and Civil Society Organisations (CSOs) implementing in/with prisons.

The evaluation team utilised a mixed-methods approach to data collection and analysis which included structured desk review, quantitative analysis of primary health data, Key Informant Interviews (KIIs) with a range of stakeholders (M: 23, F: 7), direct observation in five selected prisons and an online survey of Prison Officers-in-Charge and District Prison Health Coordinators.

The existence of COVID-19 and limited time/resources available for the evaluation affected data collection, particularly in relation to face-to-face interviews and direct observation within prisons. To mitigate this risk, the evaluation combined data collection techniques and worked closely with the UNODC project team on the logistical arrangements. Where KIIs could not be undertaken face-to-face, they were delivered remotely.

The Evaluation Team was led by Evaluation Expert, Mr Chris Roberts, a dual Australian/British national who previously worked with the UK government's Foreign and Commonwealth Office, Department for International Development and Cabinet Office. Public Health Expert, Dr John Phuka, a Malawian national and Associate Professor at Kamuzu University of Health Sciences, provided specialist input and led in-country fieldwork.

MAIN FINDINGS

Relevance. The project design was reflective of beneficiary needs and aligned with the Nelson Mandela Rules. Limited impact was made on the key issue of prison overcrowding. Specific infrastructure and agriculture interventions are likely to have made a meaningful impact on the lives, and general health, of prisoners.

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Efficiency. Although challenging to quantify, a significant and meaningful scale of delivery was recorded which is likely to have impacted positively on the lives of beneficiaries. COVID-19 and delays in procurement both negatively affected the timeliness and efficiency of delivery.

Coherence. The project cooperated with a wide range of UN, government and CSO partners. Most relationships were managed effectively, although project results could have been improved if governance structures, roles and responsibilities and planning processes were clearer.

Effectiveness. The project made a limited contribution to the stated goal, and anecdotal progress against stated outcomes. COVID-19, oversight and coordination, stakeholder buy-in, and funding each impacted the level of achievement against the planned goal and outcomes. Quantifying achievement was difficult, primarily as the project did not have a consolidated logframe/Results Framework or reporting aligned to such.

Impact. Long-term effect from the project is most likely in relation to infrastructure development. Without sustained support, those interventions which require a degree of buy-in and support for behavioural change appear less likely to deliver long-term effect. SDGs were adequately considered in project design and the project is likely to have contributed to SDGs 2,3,6 and 16.

Sustainability. Sustainability and exit planning were inadequately considered during project design. There is a risk that the benefits arising from non-infrastructure interventions will be minimal without ongoing investment and a carefully planned, phased handover of responsibility and control.

Human rights, gender equality and Leaving No One Behind. Human rights were strongly considered during both project design and implementation. Gender equality needs were well understood, with gender mainstreamed across much of the project. The needs of marginalised prisoner groups, particularly disabled persons, LGBT persons and children, could have been more actively considered and addressed.

MAIN CONCLUSIONS

The project was designed with a clear understanding of the core issues facing prisoners and the prison system. Potential project effectiveness was, however, constrained by the initial focus on addressing the strategic issue of overcrowding. To address this issue would have required intervention across the criminal justice system at legislative, policy and behavioural levels which was misaligned with the resource, time and influence available.

Operational interventions implemented by the project improved the lives of prisoners and contributed to marginal improvements in operating practices. With wider consultation, these could have been more inclusive, better addressed Leave No One Behind (LNOB) principles, and enhanced buy-in with key stakeholder groups.

The COVID-19 pandemic was unforeseeable. The impact on the project was significant, although the response was well managed and demonstrated flexibility. Avoidable delays to procurement caused stakeholder management issues and could have been better managed. Delays and disruptions affected momentum and support for the project, reducing overall impact.

The project lacked a complete and regularly updated Results Framework and aligned reporting. Project coherence, focus, support/buy-in and results could all have been improved by addressing this. A mid-term review would have captured this and recommended remedial action.

Sustainability and project exit were not considered during project design and could have been more actively considered during implementation. Whilst some interventions are likely to have a lasting effect, many interventions are highly uncertain in terms of their likely sustainability, particularly those for which behaviour change is required.

MAIN RECOMMENDATIONS

RECOMMENDATION 1 – SUSTAINABILITY

Conduct a rapid sustainability assessment to determine specific needs, by output, for maximising the prospects of sustainability. The assessment should consider immediate resource requirements (financial and

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human), funding sources (government, donor, other), preferred ownership (government, donor, CSO, other), longer term funding requirements and exit plans. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)

RECOMMENDATION 2 – STRATEGIC COHERENCE

Determine future project intent and set a new, realistic project goal which is aligned to needs, available resources and contextual reality. Should there be a future iteration of the project, there is a need for greater strategic coherence. UNODC in coordination with, the Government of Malawi and donors should conduct a review of overall project strategy and agree on high-level project intent before undertaking further project design activity. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)

RECOMMENDATION 3 – COORDINATION

Develop a project stakeholder map and stakeholder coordination workplan. Any future iteration of the project will require an enhanced focus on coordination. The project should develop a stakeholder map, incorporating donor, government, CSO and wider UN stakeholders, then develop a simple stakeholder coordination workplan to ensure clarity over the timing, purpose and ownership of stakeholder engagement activity. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)

RECOMMENDATION 4 – MONITORING AND REPORTING

Develop a monitoring and evaluation plan, incorporating refined Theory of Change and Results Framework. The project team should develop a Theory of Change aligned with strategic intent and establish a refined set of objective/outcomes/outputs with relevant indicators/baselines/milestones/targets which are measurable and realistic. In parallel, a data gathering, reporting and communications mechanism should be developed. (Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa)

MAIN LESSONS LEARNED AND BEST PRACTICE

Lessons learned. This project would have benefitted from consulting earlier, more widely and with greater visibility during the preparation and design phase. Broad and meaningful input from direct and indirect beneficiaries, communities, service providers and CSOs - with divergent interests, knowledge and expertise - enhances a project team's ability to understand the problem to be addressed and therefore design a project most likely to address it. In doing so, the risk of conflating strategic and operational objectives may have been captured - this project initially incorporated a system-wide reform component into a primarily operational intervention which substantially increased implementation risk. As a result, overall project intent was difficult to articulate and project focus was initially unclear. This was compounded by the lack of measurement and reporting framework.

Best practice. The project took a human rights centred approach to design and implementation, which ensured that interventions – even when difficult to quantify, or where their likely contribution to higher level outcomes was unclear, remained aligned with core principles and supportive on progress against the SDGs. Additionally, there were good examples of engaging multiple stakeholders in project implementation, which reduced total costs and enhanced the sense of ownership by staff within individual prisons, and of targeted advocacy at the local/prison level which is likely to have improved project outcomes despite not being a planned component of the intervention. This represents a positive approach to adaptation.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings	Evidence	Recommendations
<p>1. Sustainability and exit planning were inadequately considered during project design. Associated planning during implementation was minimal. There is a risk that the benefits arising from non-infrastructure interventions will be limited without ongoing investment and a carefully planned, phased handover of responsibility and control.</p>	<p>Data triangulation based on desk review, online survey, and Key Informant Interviews.</p>	<p>1. SUSTAINABILITY</p> <p>Conduct a rapid sustainability assessment to determine specific needs, by output, for maximising the prospects of sustainability.</p> <p><i>Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa</i></p> <p><i>Priority: Urgent/Critical (1-2 months)</i></p>
<p>2. The project blurred the lines between strategic and operational. To maximise benefits of implementation, any future iteration of the project will need greater strategic coherence from the outset.</p>	<p>Data triangulation based on desk review, online survey, and Key Informant Interviews.</p>	<p>2. STRATEGIC COHERENCE</p> <p>Determine future project intent via a strategic refresh, and set a new, realistic project goal which is aligned to needs, available resources and contextual reality.</p> <p><i>Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa</i></p> <p><i>Priority: High (2-3 months)</i></p>
<p>3. Project cooperation was required with and between a complex range of UN, host government and civil society partners. The project would have benefitted from clearer governance structures, better definition of roles and responsibilities and stronger planning processes.</p>	<p>Data triangulation based on desk review, online survey, and Key Informant Interviews.</p>	<p>3. COORDINATION</p> <p>Develop a project stakeholder map and stakeholder coordination workplan.</p> <p><i>Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa</i></p> <p><i>Priority: Medium (3-6 months)</i></p>

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Findings	Evidence	Recommendations
<p>4. The project made anecdotal progress against stated outcomes and delivered a substantial volume of output. However, without a complete Results Framework, or reporting aligned to such, the team was less able to articulate the value of work delivered, identify gaps and areas for prioritisation and make evidence-based decisions at the project-level.</p>	<p>Data triangulation based on desk review, online survey, and Key Informant Interviews.</p>	<p>4. MONITORING AND REPORTING</p> <p>Develop a monitoring and evaluation plan, incorporating refined Theory of Change and Results Framework.</p> <p><i>Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa</i></p> <p><i>Priority: Medium (3-6 months)</i></p>

BACKGROUND AND CONTEXT

OVERALL CONCEPT AND DESIGN

The institutions and population of Malawi's prison system are adversely affected by a combination of anachronistic legislative and policy instruments, institutional overcrowding, food insecurity, and a deprivation of individual health and human rights. National laws and practices are misaligned to the principles and standards established by the UN Standard Minimum Rules on the Treatment of Prisoners (the 'Nelson Mandela Rules') and their related health and human rights instruments. Health systems and services supporting Malawi prisons, particularly those addressing infectious disease, food production and food security, are not adequately protecting the health and wellbeing of prisoners.

Development assistance efforts have focused on helping Malawi build capacity for criminal justice reform. As a priority, these efforts have targeted the foundational components of national criminal justice custodial agents, structures and systems that contribute to the prison crisis.

The 'Response to Malawi Prison Crisis' project (a component of the regional project "Supporting minimum standards for HIV, health and rights in prison populations of Sub-Saharan Africa") was designed to address the challenges in Malawi prisons relating to health care, water and sanitation, ventilation, and persistent food shortages, directly contributing to Sustainable Development Goals (SDGs) 2 ('zero hunger'), 3 ('good health and wellbeing'), 6 ('clean water and sanitation') and 16 ('peace, justice and strong institutions'). Implementation was to focus on immediate, acute, health-oriented crises that affected the existing prison population in Malawi, and longer-term prison-service-wide systems, strategies, and capacities to contain and/or mitigate the chronic harms related to institutional overcrowding.

Human rights considerations were central to project design - the original project proposal drew extensively on human rights considerations in articulating the problem which the project was designed to address, and the project was closely aligned with the Nelson Mandela Rules. Gender was mainstreamed, with gender perspectives integrated into overall project design and the planning for specific activities, such as training.

The stated project *goal* was:

'Developing an effective and sustainable national response to the chronic drivers of the existing prison challenges/crisis, and overcrowding, thereby improving the health and living conditions for Malawi's prison population.'

The stated project *outcomes* were:

1. Improved prison management in Malawi
2. Improved prison health delivery and management
3. Improved criminal justice process aimed at prison population reduction.

The project was implemented by UNODC and Malawian partners including the Malawi Prisons Service, Malawi Inspectorate of Prisons, Malawi Police Service, the Malawi Judiciary, the Ministry of Health including District Health Offices, the Ministry of Agriculture including District Agricultural Development Offices, the National AIDS Commission, and Civil Society Organisations including Light House, Centre for Human Rights Education, Advice and Assistance (CHREAA), Elizabeth Glasser Paediatric AIDS Foundation (EGPAF), H2O, and Dreamweaver.

The project was funded via a grant from the Royal Norwegian Embassy in Malawi for the period from 24 October 2017 - 31 December 2021. In July 2021, the project was extended to 30 June 2022. The total approved budget was USD3,536,000. During preparation of this Evaluation, the project was granted an additional no-cost extension until December 2022.

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PURPOSE AND SCOPE

A Final Independent Project Evaluation of the 'Response to Malawi Prison Crisis' project is stipulated in the project document and is a requirement of the donor, the Royal Norwegian Embassy in Malawi.

This evaluation, which is summative in nature, covers the period from October 2017 to June 2022. Data was collected between June and September 2022. The main purpose of the evaluation is to assess the achieved results of the project to date, identify lessons learned and best practices, and derive recommendations for future decision-making and organisational learning. This evaluation also provides accountability to the donor by assessing the extent to which the project objectives have been met and how resources have been utilised. It has been undertaken in line with United Nations Office on Drugs and Crime (UNODC) and the United Nations Evaluation Group (UNEG) Evaluation Norms and Standards.

All project locations in Malawi have been considered - Rumphu, Nkhatabay, Nkhotakota, Kasungu, Lilongwe, Mangochi, Zomba (Mpyupyu, Mikuyu & Domasi), Mwanza, Chikwawa and Nsanje. Consideration of gender and Leave No One Behind principles have been applied to the evaluation via construction of a participatory, mixed-methods approach which captures and utilises data from a wide range of sources and Key Informants and includes a specific focus on human rights, gender equality and marginalised groups.

The main evaluation users will be UNODC Regional, Field and Headquarters offices, donors, development partners, Malawi Government through the Malawi Prisons Service (MPS), and Civil Society Organizations (CSOs) implementing in/with prisons. The report will be shared with all relevant internal and external stakeholders and made publicly available on the Independent Evaluation Section (IES) website.

COMPOSITION OF THE EVALUATION TEAM

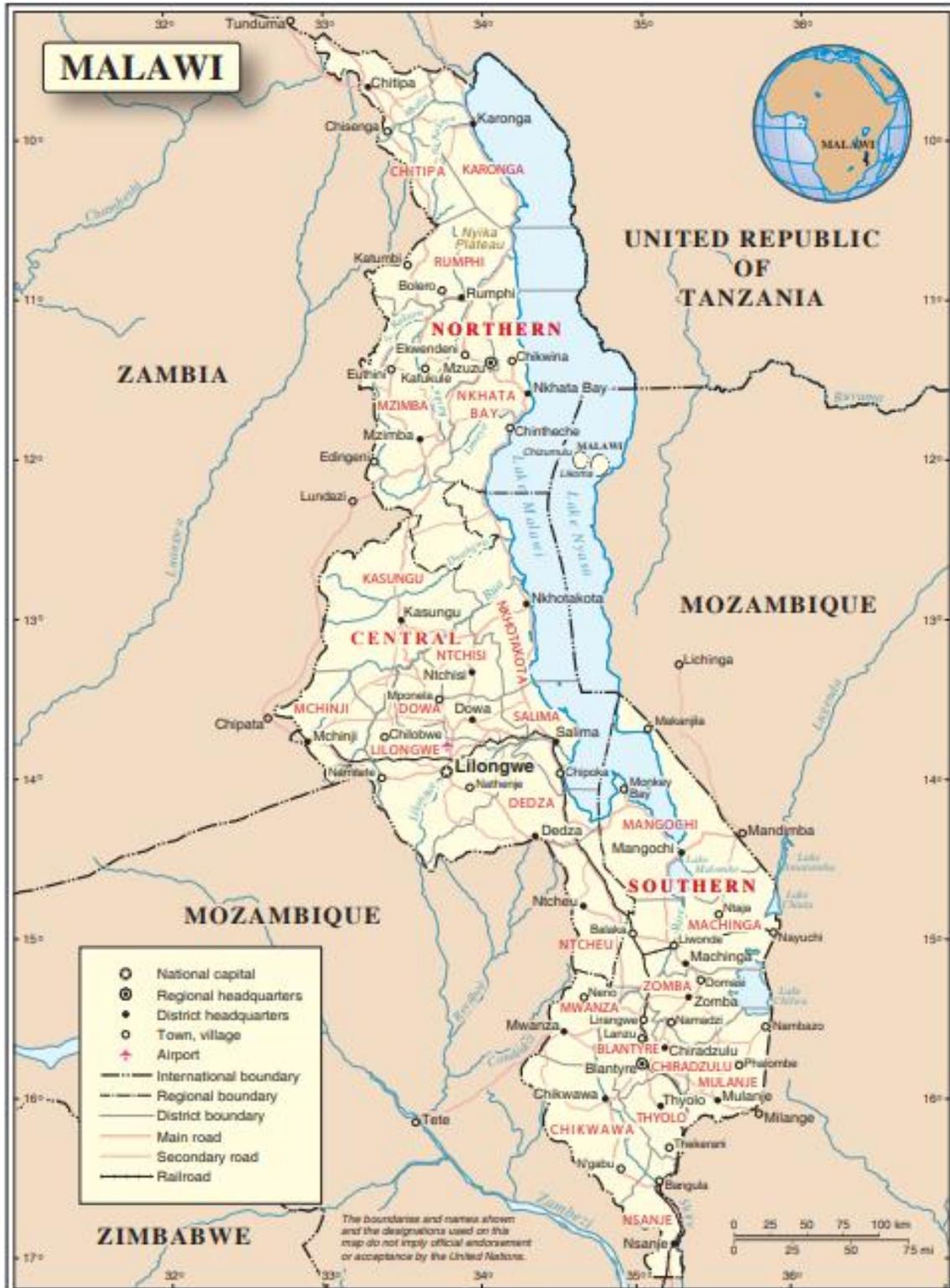
The Evaluation Team was led by Evaluation Expert, Mr Chris Roberts. Chris is a dual Australian/British national and has previously worked with the UK government's Foreign and Commonwealth Office, Department for International Development and Cabinet Office. He is an experienced independent evaluator, programme advisor and monitoring and evaluation expert, primarily in the field of security and justice, in East Africa, South Asia and the Indo-Pacific for organisations including UNODC, UNWOMEN, UNDP and the UK government.

Public Health Expert, Dr John Phuka, provided specialist input and led in-country fieldwork. John is a Malawian national and an Associate Professor at Kamuzu University of Health Sciences, where he lectures in public health and leads research and outreach activities related to public health emergencies. John was Chairperson for the Presidential Taskforce on COVID-19.

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MAP OF PROJECT COUNTRIES

Figure 1 - Map of Malawi



Source: Map No. 3858 Rev. 4, United Nations, April 2012, Department of Field Support Cartographic Section

EVALUATION METHODOLOGY

Evaluation tools and data collection instruments

The evaluation team utilised a mixed methods approach to data collection and analysis. This included:

A structured desk review of internal and external documentation provided by the Project Manager and subsequent documentation requested by the evaluation team. Data was recorded and coded in Microsoft Excel, in line with the Evaluation Questions. Analysis of initial data capture included preparation of a Findings Summary, which informed the approach to fieldwork.

Quantitative analysis of primary health data provided by the Malawi Prisons Service, in Microsoft Excel, including tuberculosis and malnutrition data.

Semi-structured interviews (Key Informant Interviews) with a cross-section of stakeholders including the donor, UN, government and CSOs, using a process designed to capture comparable, analysable data. Interviews were undertaken both remotely and face-to-face (23 in total; M: 16, F: 7). An interview guide is provided at Annex II. A list of stakeholders contacted during the evaluation is provided at Annex IV.

Direct observation in five prisons (Kasungu, Rumphi, Zomba (Mpyyuyu), Mwanza, Nkhotakota) to provide a snapshot of prison conditions and prison infrastructure, including that which was delivered by the project. This was also used to gather photographic data.

An online survey, which was distributed to 52 individual (30 x Prison Officers-in-Charge and 22 x District Prison Health Coordinators). 44 responses were received, though gender disaggregated data is unavailable. This was used to provide primary reporting data and refine the focus of data collection via Key Informant Interviews. A copy of the online survey content is included at Annex II.

In line with Do No Harm principles, participation in any aspect of the evaluation was on a confidential, voluntary, informed consent basis. Participants were made aware of the purpose of the project, the donor, how findings may be used and who will have access to the findings. Participants were free to withdraw their participation at any time, without explanation. The evaluation only assessed components strictly relevant to the project and therefore did not expose participants to inquiry extending beyond the scope of the project.

The existence of COVID-19 affected data collection, particularly in relation to face-to-face interviews and direct observation within prisons. To mitigate this risk, the evaluation combined data collection techniques (as outlined above) and worked closely with the UNODC project team on the logistical arrangements to minimise exposure to high-risk environments. Where KIIs could not be undertaken face-to-face, they were delivered remotely.

The key data sources for this evaluation included UNODC project/programme staff, Member State officials, partner organisations/CSOs, MPS officials, project documents and records, annual progress reports and MPS reports/data.

Triangulation of data

To improve the quality of data analysis, develop the most comprehensive understanding of available data, and test the validity of findings, data triangulation was performed by capturing then analysing quantitative and qualitative data from a variety of sources (as outlined above). Evaluation questions, sub questions, and related collection methods/sources for each question are outlined in the Evaluation Matrix (Annex V).

A degree of *investigator triangulation* was designed into the evaluation process, as the evaluation team comprised two evaluators, each with different subject matter, cultural and linguistic backgrounds/expertise.

The mixed-methods research approach, outlined above, also assured a degree of *methodological triangulation* was built into the evaluation process.

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Sampling techniques and associated relevance/rationale

Purposeful sampling was the primary technique adopted across each of the research methods used. This approach utilised the expertise of the evaluation team to select and prioritise the documents, data, and Key Informants likely to be of most value for the purposes of evaluation.

This sampling technique had the benefit of maximising the available time and resources available for the evaluation, whilst increasing the ability to effectively triangulate data and draw generalisable findings from limited data.

Purposeful sampling is prone to researcher bias. The evaluation team sought to address this via incorporation of input from the UNODC project team, CLPs and UNODC IES colleagues in the design of the evaluation and selection, in particular, of Key Informants for interview.

The selected Key Informant mix invited for interview comprised the following:

Stakeholder	Male	Female	Total
<i>UN/Donors</i>	5	4	9
<i>Malawi Government</i>	13	2	15
<i>CSO</i>	5	1	6
Total	23	7	30

The list of Key Informants interviewed (not all those invited were available) comprised the following:

Stakeholder	Male	Female	Total
<i>UN/Donors</i>	3	3	6
<i>Malawi Government</i>	11	2	13
<i>CSO</i>	3	1	4
Total	17	6	23

This Key Informant selection process sought to incorporate a wide variety of voices and perspectives from amongst the available pool of potential interviewees and formed part of the gender and Leave No One Behind considerations underpinning the approach to this evaluation. The disparity in numbers of selected male and female Key Informants was primarily due to the high proportion of male potential interviewees provided to the evaluation team which itself is a result of the high proportion of male stakeholders for this project.

A combined *purposeful/voluntary response sampling* approach was adopted for the survey of prison Officers-in-Charge and District Prison Health Coordinators. This involved the deliberate targeting of selected individuals for response, but an acceptance that responses could not reasonably be expected from all those invited to respond. The response rate was 85% (44 of 52), which was higher than anticipated, although after data cleansing, the rate of accepted surveys versus number of surveys sent was 77% (40 of 52). A gender disaggregated sampling estimate is not available for either cohort due to an error in the online survey data collection process.

LIMITATIONS TO THE EVALUATION

Limited time and resources

With the time and resources available, the evaluation team were not able to gather and analyse all potential sources of evidence. As such, the team took a structured, purposeful approach to the design and delivery of the evaluation, utilising their expertise to identify approaches and data sources most likely to provide the data required to enable an efficient and useful evaluation product to be delivered. Not all Key Informants were willing/available for interview – of the 30 requested interviews, 23 were completed. However, the evaluation team were content that this number of interviews, when combined with other data sources, was sufficient in terms of overall data quality.

COVID-19

The project was adjusted in terms of both delivery modalities and objectives due to COVID-19. The evaluation approach was therefore adjusted to enable capture of relevant data to enable reporting on the precise effects. Risks and restrictions related to COVID-19 also impacted directly on delivery of the evaluation, particularly in relation to face-to-face interviews and direct observation within prisons. To mitigate this risk, the evaluation team utilised a mixed methods approach and worked closely with the UNODC project team on logistical arrangements to minimise exposure to high-risk environments. Where KIIs could not be undertaken face-to-face, they were delivered remotely.

Partial remote data collection

Only one member of the evaluation team was able to work in Malawi. This required the other team member to work remotely. This was overcome by clearly structuring team roles and responsibilities, regular informal catch ups during the evaluation, synchronising data capture tools and storing evaluation data in a shared/secure location to enable joint working throughout.

Logframe without baselines/milestones/ targets

Whilst baseline data exists for a number of the outcomes and outputs as specified in the logframe, they were not captured within the logframe itself. Nor were associated milestones or targets set. Making a relative judgement of progress is therefore not possible. The evaluation team has sought to assess whether progress is satisfactory, given the operating context, with a focus on outcome level change.

Availability of gender and disability data

The availability of gender and disability data was mixed. The evaluation team considered gender and disability as a cross-cutting theme, seeking to identify relevant data wherever possible, and eliciting views from Key Informants accordingly. Where possible, data has been presented in this report disaggregated by gender/disability.

II. EVALUATION FINDINGS

RELEVANCE

EVALUATION QUESTIONS:

To what extent did project outcomes meet beneficiaries' needs?

To what extent were activities implemented through the project relevant to address the Standard Minimum Rules for the Treatment of Prisoners (Nelson Mandela Rules)?

The needs of beneficiaries were generally well understood and fed into project design. As outlined in Section I. (Introduction), the project was designed with a strong focus on improving the quality of life for inmates in Malawi prisons, particularly in relation to acute health crises and prison conditions, with an additional focus on wider criminal justice reform (although this element was later de-prioritised).

The project, with support from the MPS, effectively scoped, designed and implemented infrastructure delivery which directly met beneficiaries' needs. The project constructed clinics, upgraded WASH facilities, and improved ventilation in prisoner holding facilities (for more detail on output volume see 'Efficiency' section, below). The project, working with MPS officials, jointly scoped requirements and jointly implemented many construction projects which, according to numerous Key Informants, had the dual benefit of decreasing overall cost whilst increasing support for project-supported activity. Direct observation by the evaluation team of facility upgrades and new builds provided sufficient evidence of the generally high quality of infrastructure development supported by the project.

The project, with support from the Ministry of Agriculture and MPS, adequately addressed food insecurity in project design and implemented activities which directly met beneficiaries' needs. Despite farming and agriculture not being 'typical' work for UNODC (as described by one senior UNODC official), which resulted in early delays in identifying suitable experts to lead key initiatives, the project ultimately delivered a range of farming and agriculture interventions including the production of cash crops designed to enable income generation (for prisons), and direct food production/distribution of essential crops such as maize. The latter made a positive difference to the carbohydrate intake of prisoners, although Key Informants and direct observation by one of the evaluation team (a public health expert) noted the continued lack of variation in supplied food is continuing to cause ill-health in some prisons.

Recommendations made in reports from the Malawi Inspectorate of Prisons, including those around enhancing support for rehabilitation and reintegration services, were not adequately considered by the project. This was, according to several Key Informants, a result of re-prioritisation of planned project outputs in response to the COVID-19 crisis.

Evidence from Key Informants, supported by results from an online survey with Prison Officers'-in-Charge and District Prison Health Coordinators, suggests that whilst the project was well designed and responsive to beneficiary needs, it could have been more consultative during the design phase. Whilst this may have altered the focus of the project somewhat, Key Informants noted the real benefit would have been in building understanding, support and 'shared ownership' of the project.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 2 - Banana plantlets for Kasungu Prison Farm



Source: Project Progress Report, UNODC, 2021.

Figure 3 - Health clinic at Mwanza Prison.



Source: Evaluator's own photographs, field visit, September 2022.

The project was well aligned with the 'Nelson Mandela Rules'³, particularly:

- Rule 1 (Basic principle – 'All prisoners shall be treated with the respect due to their inherent dignity and value as human beings...')
- Rules 12-17 (Accommodation)
- Rule 22 (Food)
- Rules 24-35 (Health-care Services)
- Rule 42 (General living conditions)
- Rules 96-103 (Work)

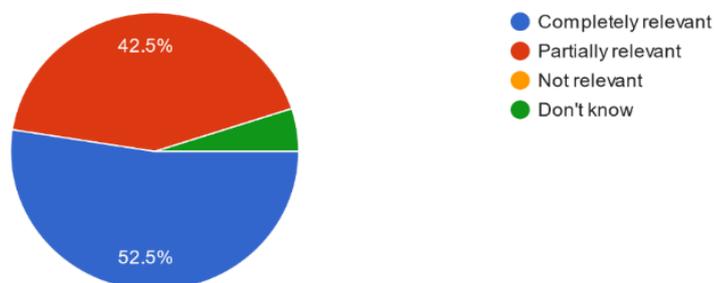
This finding is strongly supported by the results of an online survey conducted for this evaluation of Prison Officers'-in-Charge and District Prison Health Coordinators (Figure 4, below). Of the 40 accepted responses (20 from each sub-group), 39 self-identified as 'familiar with the Nelson Mandela Rules'. Of those, 95% noted that activities implemented through the project were either 'completely relevant' or 'partially relevant' to addressing the Nelson Mandela Rules.

³ *The United Nations Standard Minimum Rules for the Treatment of Prisoners* ('the Nelson Mandela Rules'), UNODC, 2015.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 4 - Survey response: 'To what extent were activities implemented through the project relevant to address the 'Nelson Mandela Rules'?

To what extent were activities implemented through the project relevant to address the 'Nelson Mandela Rules'?
40 responses



Source: Online Survey of Prison Officers'-in-Charge and District Prison Health Coordinators, Project Evaluation Team, September 2022.

SUMMARY - RELEVANCE

The project was designed to be reflective of beneficiary needs and was well aligned with the Nelson Mandela Rules. There is significant anecdotal evidence that specific infrastructure and agriculture interventions made a meaningful contribution towards improving the lives and general health of prisoners.

EFFICIENCY

EVALUATION QUESTIONS:

To what extent has the project delivered outputs in a timely and efficient manner?

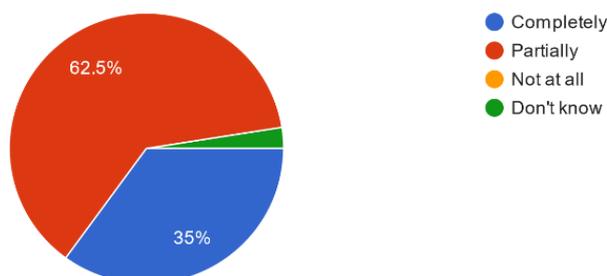
The project would have benefitted from more clearly defined output-level project indicators, baselines, milestones and targets. The original project proposal incorporated some of these in a draft Results Framework, although many were left blank – to be filled by a 'rapid assessment at a later date'. There was no record of an update despite assessments having been undertaken. The official project logframe incorporated indicators, means of verification and risks at the outcome level only. There was no single, coherent document capturing output level plans or intent in sufficient detail. As such, whilst it is possible to outline the *volume* of activity delivered, it is difficult to accurately quantify the extent of progress/achievement at the output level.

Despite this, there was a generally strong sentiment amongst Key Informants that project outputs were delivered in a timely and/or efficient manner. This finding is strongly supported by results of the online survey conducted for this evaluation of Prison Officers'-in-Charge and District Prison Health Coordinators (see Figure 5)

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 5 - Survey response: 'To what extent has the project delivered outputs in a timely and efficient manner?'

To what extent has the project delivered outputs in a timely and efficient manner?
40 responses



Source: Online Survey of Prison Officers'-in-Charge and District Prison Health Coordinators, Project Evaluation Team, September 2022.

The project delivered a significant volume of output, although output was not always aligned with plans/expectations. Some outputs achieved in line or above expectation, including Output 1.3 – 'Access to water, sanitation and hygiene (WASH) facilities increased'. Other outputs significantly underachieved, including Output 1.7 - 'Policy increasing prisoners' contact with family approved and implemented'.

The project delivered substantial infrastructure outputs under Outcome 1 (Improved Prison Management in Malawi) and Outcome 2 (Improved Prison Health Delivery and Management).⁴ For example, by end 2020, the project had installed 665 triple-level bunk beds and 1,995 mattresses at Maula Prison, Lilongwe; constructed 3 health clinics at Nkhotakota, Mwanza and Chikwawa Prisons; provided basic medical equipment and furniture for clinics at Nkhotakota, Mwanza, Kasungu and Chikwawa Prison; improved ventilation at Nkhotakota, Nkhatabay, Kasungu, Mwanza, Chikwawa, Mangochi and Chitipa Prisons through installation of large, low-level windows and whirlybirds⁵; and Improved WASH facilities at Nkhotakota, Nkhatabay, Kasungu, Chikwawa Prisons. Some examples are shown below (Figures 6 and 7).

Figure 6 - Infrastructure improvements at Mwanza Prison, including health clinic and WASH facilities



Source: Evaluator's own photographs, field visit, September 2022.

⁴ Project Progress Report for 5th Disbursement, UNODC, 2020

⁵ A whirlybird is a cylindrical dome that spins in the wind, creating a vacuum which extracts warm air from the roof cavity.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 6 cont. - Infrastructure improvements at Mwanza Prison, including health clinic and WASH facilities



Source: Evaluator’s own photographs, field visit, September 2022.

Figure 7 - Infrastructure improvements at Nkhotakota Prison, including ramp and low windows



Source: Evaluator’s own photographs, field visit, September 2022.

The project delivered a significant volume of capacity building outputs under Outcome 2 and 3 (Improved Criminal Justice Processes). Nurses and clinicians from District Health Offices (DHOs) were trained and developed by the project, supported by MPS health officials, in a variety of issues including infectious disease management, identification and management of common mental health conditions, and screening and monitoring on malnutrition, tuberculosis (TB), HIV, Sexually Transmitted Infections, and other infectious conditions.⁶ Complemented by UNODC support, DHOs conducted nearly 75,000 TB screenings and over 6,000 malnutrition screenings between 2017-21 (see Figure 8, below).

Figure 8 - Prisoner health screening (Tuberculosis and Malnutrition) in Malawi Prisons 2017-21

Total # TB screenings	Total Positive Cases	% positive v. screened	Total # screened for Malnutrition	Total # confirmed malnourished	% confirmed v. screened
74,885	1,066	1.42%	6,090	1,337	21.95%

Source: Malawi Prisons Service, information submission to UNODC, 26 July 2022.

⁶ Mission Report, Training and Capacity Building – Clinicians, Nurses, DHOs, UNODC, 18 May 2021.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

The project directly delivered, or supported partners in the delivery of, specific health, monitoring and evaluation, and agriculture training to 476 prison officials, magistrates and health workers (M:317, F:159), and 6,000 male prisoners over the project period:

Figure 9 - Project supported training activity 2017-21

#	Training	Participants		
		Male	Female	Total
1	District Health Officers Orientation on Prison Health	21	6	27
2	District Prison Health Coordinators on Prison Health	19	4	23
3	Magistrates on Alternative Sentencing	89	67	156
4	Prison Health Workers on Sexual Reproductive Health & Rights	25	6	31
5	District Health Offices Clinicians/Nurses on Prison Health	89	51	140
6	Data collection for Prison Research & Monitoring Officers	27	14	41
7	Orientation for Senior Prison Management on the Monitoring Framework	35	11	46
8	Training of Prison Agriculture officers on SMART Agriculture Techniques	12	0	12
9	Training of Prisoners on Application of Herbicides & Other SMART Agriculture Methodologies	6000	0	6000
	Total	6,317	159	6,476

Source: UNODC, information submission to Evaluation Team, July 2022.

There is limited evidence available on whether the health screening and associated training was effectively linked to referral mechanisms for prisoners confirmed with cases of either tuberculosis or malnutrition, or whether health outcomes improved as a result.

The project delivered a significant volume of output-level infrastructure development and capacity building related to direct food production. The project introduced sustainable agriculture production through horticulture irrigation at Kasungu Prison farm, with a focus on banana production (see Figure 10, below); a food storage facility was constructed at Mpyupyu Prison Farm; food production in prison farms was enhanced, with significant year-on-year yield increases from 2017; SMART Agriculture practices were introduced through mechanisation and other modern methods; and a food distribution system was developed enabling distribution of produce from prison farms to other prisons experiencing food shortages.⁷

Figure 10 - Banana plantation and associated irrigation infrastructure improvements at Kasungu Prison



Source: Evaluator's own photographs, field visit, September 2022.

⁷ Overview: Achievement Prison Project (PowerPoint presentation), ROSAF Retreat, UNODC, January 2022.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

COVID-19 pandemic and delays in procurement were two significant contextual factors which affected the potential for timely and efficient delivery.

COVID-19 was prevalent during the latter half of the project. This impacted upon the health and availability of project and prison staff, the availability and delivery of construction and agricultural materials, training opportunities and the ability of project and prison staff to safely visit prison facilities for inspection and project coordination purposes. This was an unanticipated global risk, to which the project responded appropriately by maintaining a focus on delivery of current/planned activities whilst incorporating additional elements of support such as training to nurses on COVID-19 screening.

Procurement delays were noted as a significant concern by most of those interviewed and surveyed. Delays were reported regarding construction materials, fuel and fertiliser, which led to slower-than-planned construction of key prison facilities and additional challenges in food production activities. Key Informants noted multiple reasons for such delays including, on occasion, delayed fund disbursement from the donor to UNODC (e.g., the 4th tranche, which was delayed by 3 months), and a pattern of delayed approvals from UNODC Regional HQ due to complex internal procurement rules and regulations, and the unavailability of procurement signatories with the necessary Delegated Authority.

SUMMARY - EFFICIENCY

Despite some difficulty in quantifying efficiency at the output level, there is strong evidence of a significant and meaningful scale of delivery which is likely to have impacted positively on the lives of beneficiaries. Outputs were prioritised during the design stage and reprioritised during implementation which resulted in some outputs achieving more than planned, and others less than planned. COVID-19 and delays in procurement both negatively affected the potential for timely and efficient delivery.

COHERENCE

EVALUATION QUESTIONS:

To what extent did the project cooperate with partners (including UN agencies, CSOs, academia, etc.) in the achievement of results?

Project cooperation was required with and between a complex range of UN, host government and civil society partners. The project would have benefitted from clearer governance structures, better definition of roles and responsibilities and stronger planning processes.

As the project sat beneath a wider regional programme, there was interaction between the UNODC project team and the wider programme's sponsors, UNAIDS and WHO. There is limited evidence available as to the depth and quality of those relationships. The relationship between the UNODC project team and UNODC Regional Office for Southern Africa (ROSAF) was generally positive, although Key Informants noted ongoing issues around procurement which could have been addressed more robustly (see 'Efficiency' section, above, for more detail).

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 11 - Handover of bunk beds and mattresses at Maula Prison to the Minister of Homeland Security



Source: Project Progress Report, UNODC, 2021.

The project cooperated closely with the Malawi Prisons Service, Malawi Inspectorate of Prisons, Malawi Police Service, the Malawi Judiciary, Ministry of Health including District Health Offices, and Ministry of Agriculture including District Agricultural Development Offices.

The project's relationship with its primary stakeholder, the Malawi Prisons Service, was generally positive and well-functioning. Multiple Key Informants noted that the degree of cooperation and project ownership felt by MPS officials reduced in line with seniority, with senior MPS officials generally more supportive of project initiatives than front-line staff (excluding those front-line staff who were directly supported via training and/or capacity building initiatives). One Key Informant noted that this is likely to stem from the extent to which project-focussed communications were transmitted within the prison system.

The project could have invested more in building relationships with the Ministry of Agriculture. One Key Informant noted that the Ministry could potentially have filled a key skill gap within the project itself, given their significant internal technical expertise.

There were some delays with project initiation, partially due to a lack of internal project resource (including technical experts and project management staff), and also due to apparent lack of buy in within some sections of the MPS. Several Key Informants noted that this could have been overcome by earlier, and more frequent, consultation with MPS stakeholders during the design phase of the project. Equally, whilst involvement of key CSO and District partners in UNODC-MPS planning sessions was envisaged, there were only limited examples of this approach being applied. Most planning processes did not directly involve CSO and District partners.

SUMMARY – COHERENCE

The project cooperated with a wide range of UN, government and CSO partners. Most relationships were managed effectively, although project results could have been improved if governance structures, roles and responsibilities and planning processes were clearer.

EFFECTIVENESS

EVALUATION QUESTIONS:

To what extent did the project achieve its planned objective and outcomes?

What were the major factors influencing the achievement (or non-achievement) of the project's objective and outcomes?

How did COVID-19 affect project delivery?

The project made a limited contribution to the stated goal/objective ('Developing an effective and sustainable national response to the chronic drivers of the existing prison challenges/crisis, and overcrowding, thereby improving the health and living conditions for Malawi's prison population.'). There are two factors which explain this.

First, project ambition was unrealistic. To contribute substantially to the stated goal would have required intervention across the criminal justice system at legislative, policy and behavioural levels – a generational shift misaligned to the resource, time and influence available to the project. Several Key Informants noted that the project should have started with a more realistic, operational-level objective.

Second, a decision made part-way through the implementation period to focus delivery almost exclusively on planned project outcomes 1 ('Improved prison management in Malawi') and 2 ('Improved prison health delivery and management'), at the expense of project outcome 3 ('Improved criminal justice process aimed at prison population reduction'), meant project-driven, national-level reform – even if marginal given the resource, time and influence available – was rendered unlikely. Key Informants noted that logistical, practical and political complications arising from the COVID-19 pandemic were the drivers behind this decision, although there was limited written evidence available which captured the rationale for this decision.

The project made anecdotal progress against all stated outcomes, although quantifying the extent of achievement is difficult. This is primarily due to the project not having a single, consolidated, complete logframe/Results Framework, or reporting aligned to such. Whilst there was a significant volume of activity-based reporting and progress reporting to the donor, much was prepared in isolation and without adequate consideration of achievement against plans/targets, particularly at the outcome level. A mid-term evaluation – which was planned but never implemented – would have captured this and recommended remedial action which would have improved project outcomes, and the ability to set, measure and report against project targets at the output, outcome and objective levels. This was a significant oversight, the reasons for which remain unclear.

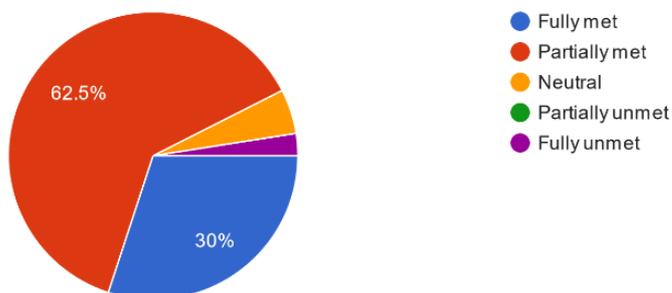
Although the project was unable to accurately measure progress at the outcome level there was a generally strong sentiment amongst stakeholders interviewed for this evaluation that progress was meaningful and met beneficiaries' needs. This judgement is supported by the findings of the survey conducted for this evaluation of Prison Officers'-in-Charge and District Prison Health Coordinators (see Figure 12).

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 12 - Survey response: 'To what extent did the project meet beneficiaries' needs?'

To what extent did the project meet beneficiaries' needs?

40 responses



Source: Online Survey of Prison Officers'-in-Charge and District Prison Health Coordinators, Project Evaluation Team, September 2022.

The major factors influencing achievement of the project's planned objective and outcomes included COVID-19, oversight and coordination, stakeholder buy-in, and funding.

COVID-19 significantly influenced project achievement. At a practical level, logistics were complicated, delivery timeframes extended, and availability of materials affected. Prisons, prisoners and project/prison/health/agricultural staff were directly impacted. For periods of time, prison visits were banned, which included visits from health and project staff. The stop/start nature of implementation impacted on project momentum. However, at the objective/outcome level, the most significant impact was political and institutional – for much of the project timeframe, authorities and decision makers were focussed on immediate response priorities to the pandemic rather than institutional reform.

Oversight and coordination were variable and affected by both COVID-19 related restrictions and the capacity of key institutions. Whilst there is some evidence that project ownership and responsibility for direction was not consistent or clear for all stakeholders, feedback from Key Informants – particularly those more senior within the Government of Malawi – was generally positive. Feedback from operational staff was mixed. There is some evidence that the level of coordination decreased over the last 18-24 months of the project, which reduced the potential for achievement.

Buy-in from Government of Malawi officials was inconsistent. At senior levels, there is strong evidence of support for the project. At operational levels, evidence of support is variable. There is a strong correlation between successful implementation of project activities and the level of support/buy-in from prison, health and agricultural counterparts. Where implementation was partial or incomplete, there is evidence within project reporting, supported by Key Informant commentary, of resistance to change, and/or lack of understanding regarding project ownership and/or purpose and/or benefit. This was the case in relation to construction, health and agricultural components, often compounded by delays in the procurement of key materials, which undermined support, and high staff turnover, which led to situations in which staff who had been trained/sensitised on key aspects of the project not being in position for the implementation phase.

Institutionally, there remains an evident gap in the integration of prison and public health services. There were positive examples of integration, such as in District North (covering the Mzimba, Mzuzu, Nkhatabay, Karonga and Chitipa prisons) whereby DHOs, prisons and CSOs collaborated to improve prisoner health outcomes and maximise prisoner coverage with the resources available.⁸ There were also less-positive examples, in which there remained an apparent mindset that services available to the general population ought not be available to the prison population in that same region, which was highlighted by several Key Informants. This lack of

⁸ Mission Report, Supervision, Health Service Delivery by DHOs North, UNODC, August 2021.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

alignment between individual/institutional values and those being espoused by the project may, in part, explain the limited buy-in from certain stakeholders.

Funding was identified by many stakeholders as problematic given the scale of the challenge. For a project with a stated objective being to generate an ‘...effective and sustainable national response...’, the scale of funding was indeed insufficient. However, as noted above, the more pressing issue appears to be alignment of project ambition with available resource, rather than the scale of resource applied.

SUMMARY – EFFECTIVENESS

The project made a limited contribution to the stated goal/objective, and anecdotal progress against stated outcomes. COVID-19, oversight and coordination, stakeholder buy-in, and funding each impacted the level of achievement against the planned objective and outcomes. Quantifying the extent of achievement was difficult due to the lack of consolidated Results Framework.

IMPACT

EVALUATION QUESTIONS:

To what extent is the project likely to generate significant long-term effect? (intended / unintended, positive / negative)

To what extent did the project contribute to the Sustainable Development Goals?

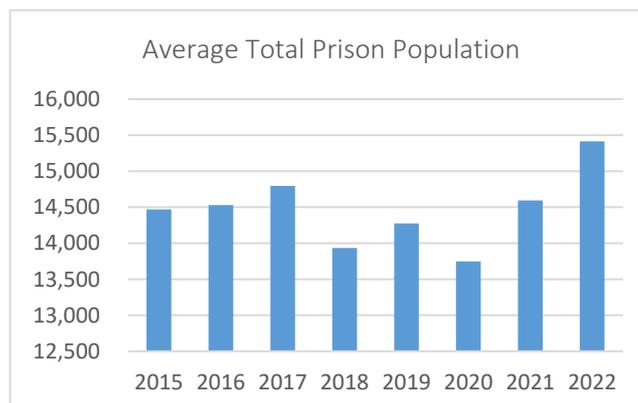
The project, and partners, demonstrated a clear understanding of the impacts of institutional overcrowding and the urgent need to address these.⁹ The prison population in the years 2015-17 was gradually increasing (see Figure 13, below) within a prison system already holding over twice the number of prisoners it was designed to accommodate (see Figure 14).

As Figures 13 and 14 demonstrate, the project did not contribute to a reduction in total prisoner numbers, or occupancy rates, over the 2017-2022 delivery timeframe. This is not unexpected given the limited scale of investment and decision not to pursue the wider criminal justice reforms originally envisaged within the project’s design.

⁹ Key Informant Interviews (KIIs) with MPS officials and UNODC personnel; *Proposal – Response to Malawi Prison Crisis*, UNODC, 2017.

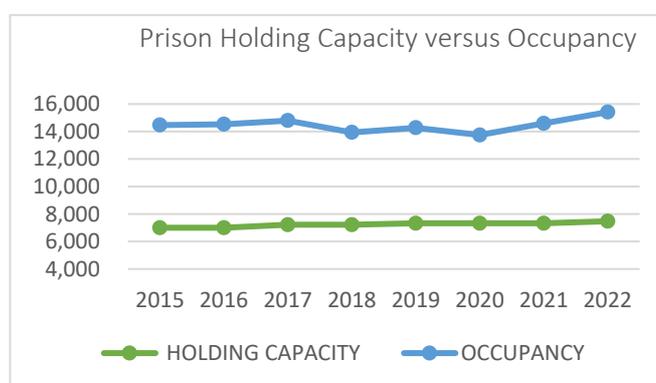
INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 12- Average total prison population 2015-22¹⁰



Source: Malawi Prisons Service, information submission to UNODC, 26 July 2022.

Figure 13 - Holding capacity v. occupancy 2015-22



Source: Malawi Prisons Service, information submission to UNODC, 26 July 2022.

There is anecdotal evidence that the project contributed to an improvement in individual health and protection of human rights, although this is difficult to quantify with the data available. The project focus on improving prisoner accommodation, particularly regarding ventilation of holding areas and enhancing sleeping arrangements was well received by prisoners and prison authorities, and likely to have resulted in improved health outcomes. There is some evidence that UNODC building standards have started to alter institutional norms associated with new construction within the prison system, although this has yet to be formalised or directly mandated by prison authorities.¹¹

¹⁰ Gender is not disaggregated as reported female prisoner numbers were very low and therefore indistinguishable in graph format. Female prisoners as a percentage of the total prison population ranged between 0.92% (2015) and 1.47% (2022).

¹¹ KIIs and direct observation during field work in prisons.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Figure 14 - Whirlybirds installed by project at Chikhwawa Prison to assist with ventilation



Source: Report of the Inspection of Prisons and Police Cells, Malawi Inspectorate of Prisons, February 2021.

The project is likely to generate medium to long-term effect through infrastructure development and related design improvements. The project-delivered construction of clinics, upgrading of WASH facilities, and improvements to ventilation are long-term investments (for more detail see ‘Efficiency’ section, above). They will require maintenance, however numerous Key Informants noted the obvious benefits to prisoners, staff and the prison system more broadly – in terms of health, wellbeing and progress towards alignment with international norms – make it reasonable to assume that the necessary maintenance support will be forthcoming.

Though not an explicit purpose of construction interventions, there is some emerging evidence of subtle changes in norms and expectations within the system regarding construction standards¹². There are reports of new cells being constructed at a non-project prison, for example, which incorporated whirlybirds and low windows into the design, which will assist in improving ventilation - both were introduced by this project. The next step will be to institutionalise and/or mandate this approach to ensure minimum standards for new construction across the MPS estate.

New institutional arrangements have demonstrated the potential to generate long-term effect but will require ongoing support. Multiple Key Informants noted that these nascent structures, such as the District Health Coordinator cadre and the Office of the Prison Coordinator within the Ministry of Health, are reliant on continued funding, human resource, technical support and political will, without which they are likely to slowly fade away.

Where fundamental behaviour change is required, long-term effect is less certain. For example, the implementation of sustainable food production in several prisons will continue to be a challenge as there is some evidence of pushback and/or lack of buy in from some officials tasked with implementation¹³. Additionally, a number of training initiatives, including the training of magistrates on appropriate sentencing¹⁴, appear to have a built-in assumption that one-off training will lead directly to change. One experienced Key Informant noted that there is little evidence from similar capacity building and reform projects in other contexts to suggest this is likely and that ongoing investment will most likely be required.

There is strong evidence that SDGs were adequately considered in project design. Key Informants were able to note specific SDGs of relevance and the original project proposal, whilst not directly referencing SDGs, was strongly reflective of SDG language and interests. The overall approach towards aligning the project with key SDGs was appropriate.

¹² Direct observation by Evaluator and related discussions with prison officials during field visits.

¹³ *Agriculture Final Project Report*, Davies C.D.K. Chikopa, UNODC, March 2022.

¹⁴ *Report on Magistrate Training on Alternative Sentencing*, UNODC, 2019.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

There is some evidence that the project made direct contributions to the SDGs. Whilst the project was not set up to easily cross reference project results with specific SDG targets and indicators, it is reasonable to suggest the project contributed to targets within SDGs 2 ('zero hunger'), 3 ('good health and wellbeing'), 6 ('clean water and sanitation') and 16 ('peace, justice and strong institutions').

Figure 16 - Project-relevant UN Sustainable Development Goals



Source: <https://sdgs.un.org/goals>

SUMMARY – IMPACT

With a limited focus on wider criminal justice reform, little progress was made on the key issue of prison overcrowding. Long-term effect from the project is most likely in relation to infrastructure development. Without sustained support, those interventions which require a degree of buy-in and support for behavioural change appear less likely to deliver long-term effect. SDGs were adequately considered in project design and the project is likely to have contributed to SDGs 2,3,6 and 16.

SUSTAINABILITY

EVALUATION QUESTIONS:

What is the likelihood of the benefits arising from this project being sustained beyond the end of the project period?

There is limited evidence of sustainability or project exit having been considered during the design phase.

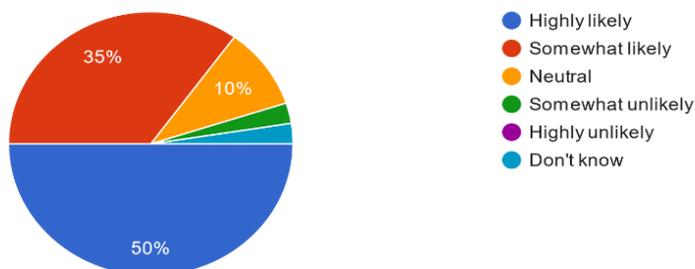
Whilst the original project proposal noted in the Risk Register the need to ‘develop strong sustainability and exit strategies’¹⁵, there is no evidence of structured planning around either having taken place. Sustainability and exit planning are inextricably linked – without clear plans for exit from the outset of a project, making appropriate decisions around approach and resourcing through implementation are made more difficult. As such, there is a risk that this project has generated benefits which cannot be sustained without ongoing financial and technical support.

The project is likely to have delivered sustainable benefits in relation to infrastructure development (for more detail see ‘Impact’ section, above). Infrastructure interventions were widely supported and required limited MPS support to enable implementation. For the benefits to be fully realised, ongoing maintenance will be required. For new infrastructure including clinics, associated resources for consumables, equipment and personnel will be required on an ongoing basis. Neither have been factored in to project planning and will therefore require resources to be allocated from MPS budgets.

There was a broadly held view among Key Informants and survey respondents that some benefits arising from this project will be sustained. The survey conducted for this evaluation of Prison Officers’-in-Charge and District Prison Health Coordinators demonstrated that 85% perceived sustainability as either ‘highly likely’ or ‘somewhat likely’. There was, however, a consistent finding in the associated qualitative responses which pointed to the marked difference in the likelihood of benefits from infrastructure interventions being sustained as opposed to non-infrastructure interventions.

Figure 17 - Survey response: 'What is the likelihood of the benefits arising from this project being sustained beyond the end of the project period?'

What is the likelihood of the benefits arising from this project being sustained beyond the end of the project period?
40 responses



Source: Online Survey of Prison Officers’-in-Charge and District Prison Health Coordinators, Project Evaluation Team, September 2022.

¹⁵ Proposal – Response to Malawi Prison Crisis, UNODC, 2017.

INDEPENDENT PROJECT EVALUATION OF RESPONSE TO MALAWI PRISON CRISIS COMPONENT

Those interventions which require long-term change in behaviour change appear less sustainable. There is strong evidence within project reporting, supported by data from Key Informant Interviews, that the project team understood the need for 'buy-in' from key stakeholders. There is equally strong evidence that the project team invested significant effort in building relationships with and between the MPS and Ministry of Health, in particular. Key Informants also noted isolated examples of improved collaboration between prisons and health workers, but this was juxtaposed with examples of MPS officials appearing to perceive the project as 'belonging to UNODC'. The benefit of implementing new agricultural initiatives utilising modern methods and machinery, for example, was not understood and/or welcomed by all required stakeholders¹⁶.

SUMMARY – SUSTAINABILITY

Sustainability and exit planning were inadequately considered during project design. There is a risk that the benefits arising from non-infrastructure interventions will be minimal without ongoing investment and a carefully planned, phased handover of responsibility and control to the Government of Malawi.

HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

EVALUATION QUESTIONS:

To what extent were human rights and gender equality considerations, marginalised groups and people with disability included in project design and implementation?

HUMAN RIGHTS

There is strong evidence of human rights being considered during project design and implementation. The original project proposal, for example, drew extensively on human rights considerations in articulating the problem which the project was designed to address.¹⁷ The project was well aligned in both design and implementation with the Nelson Mandela Rules (for more detail see 'Relevance' section, above). The project effectively exposed core issues that were previously underreported and inadequately addressed, such as the rights of prisoners to access health care and support.

Advocacy and education on prisoners' rights was an important – albeit difficult to measure – contribution to advancing human rights in Malawi. Prisoners are a highly marginalised group. Key Informants noted a societal norm of perceiving prisoners as 'deserving' less rights than members of the general population, such as access to healthcare. Constructively challenging this norm by advocating for change with policy makers, educating MPS officials and prisoners on rights, standards and the benefits of alternative approaches were all active contributions to progress. Educating prisoners (and MPS staff) on issues regarding medical consent was another valuable contribution.

¹⁶ *Agriculture Final Project Report*, Davies C.D.K. Chikopa, UNODC, March 2022.

¹⁷ *Proposal – Response to Malawi Prison Crisis*, UNODC, 2017.

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GENDER EQUALITY

There was some evidence of consideration being given to gender within project design. The small female prison population (<2%) may explain the limited focus on female prisoners. There was no evidence of consideration to non-binary identifying prisoners.

Gender equality was an active consideration during implementation. Training was consistently provided to both male and female prison staff, health workers and magistrates (see 'Efficiency' section and Figure 11, above, for more detail). The content of some training activity was gender-specific (such as training to Prison Health Workers on Sexual Reproductive Health & Rights). Plans for the construction of female-only cells were included in project design although not fully implemented.

The project team understood that gender dimensions of the project extended beyond the obvious beneficiaries – prisoners. Cervical cancer screening programmes, for example, were extended to include prison staff and staff spouses.¹⁸

Addressing the barriers to gender equality remains challenging at a structural level. Key Informants noted policy-level impediments including a limited awareness of norms associated with, for example, the so-called 'Bangkok Rules' (the '*United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders*'). There were also practical complications during implementation which, whilst not a result of the project, did have a direct impact on implementation. For example, the female section at Maula Prison was, at one point, turned into an isolation wing for COVID-19 inmates from across the region, which forced the transfer of all female prisoners into mixed-population prisons.¹⁹ This was a crisis response decision made by the MPS designed to reduce overall health risk to the prison population, however it also substantially increased the risk to female prisoners of violence and sexual assault which directly challenged the project's gender equality ambitions.

LEAVING NO ONE BEHIND

There was some evidence of consideration being given to disabled persons during project design and implementation. A desk review was undertaken during the design phase to determine the needs of disabled prisoners²⁰. However, limited in-person consultation took place only once implementation was underway, thus reducing the input of an important and underrepresented population. There was some evidence that consultation led to improvements in construction plans, such as the inclusion of ramps to WASH facilities at Nkhotakota Prison, which aided access for mobility-impaired prisoners. There was no evidence of consideration being given to prisoners with mental disabilities, which is a significant gap given that mental health conditions and mental or neurological disorders remain disproportionately high among prison populations with data suggesting that the pandemic is likely to have exacerbated these issues.²¹

There was no evidence of the needs of Lesbian, Gay, Bisexual and Transgender (LGBT) prisoners being considered during project design or implementation. There is no data available on LGBT prisoners in Malawi and an apparent reluctance to even explore the idea that this prison population exists and is likely to have specialised needs. For the project team and project partners, this is likely to be highly sensitive space in which to operate both culturally and politically, however the absence of consideration significantly weakens the project's contribution to the Leave No One Behind principle - the central, transformative promise of the 2030 Agenda for Sustainable Development and related SDGs.

The needs of children could have been more actively considered. Accurate data on the number of children incarcerated – both as prisoners and as children of prisoners – does not appear to be regularly captured at the national level, which makes understanding the scale of children's needs difficult to determine. Within

¹⁸ Overview: Achievement Prison Project (PowerPoint presentation), ROSAF Retreat, UNODC, January 2022.

¹⁹ Mission Report: Supervision – Health Service Delivery by DHOs Centre East South, UNODC, December 2021.

²⁰ Donor progress report, UNODC, November 2018.

²¹ For more information, see: <https://www.penalreform.org/global-prison-trends-2022/mental-health/>

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individual prisons, there remain anecdotal reports of children being forced to self-report as adults in order to expedite their cases.²² Of those prisons with children incarcerated with parents, seventy percent do not provide specialist child-focussed care.²³ Equally, there is limited provision of maternity space for mothers caring for infants. Overall, children's needs were, and remain, underrepresented.

SUMMARY – HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

Human rights were strongly considered during both project design and implementation. Gender equality needs were well understood, with gender mainstreamed across much of the project. The project could have more actively considered and addressed the needs of marginalised prisoner groups, particularly disabled persons, LGBT persons and children.

²² Key Informant Interviews with project staff and partners.

²³ *Prison Assessment Report 3*, UNODC/MPS, February 2019.

III. CONCLUSIONS

The ‘Response to Malawi Prison Crisis’ project was designed with a clear and demonstrable understanding of the core issues facing prisoners, and the system more broadly, at the macro level. Potential project effectiveness was, however, constrained by the initial focus on addressing the strategic issue of overcrowding, which is the result of inefficiency across the entire criminal justice system, rather than a ‘prisons problem’. Prisons are simply where the issues affecting the wider system are most visible.

To address the issue of overcrowding would have required intervention across the criminal justice system at legislative, policy and behavioural levels – a generational shift unsuited to the resource, time and influence this project had available. Although the project ultimately focussed more on operational-level interventions (construction, agriculture, training, etc), the project could have further enhanced outcomes by starting with a more refined, and realistic, objective which acknowledged the limitations of the intervention and explicitly accepted that an operational, rather than strategic, focus was both necessary and desirable.

Specific interventions implemented by the project are likely to have improved the lives of prisoners and contributed to marginal improvements to operating practices. With wider consultation, these could have been more inclusive, better addressed LNOB principles, and enhanced buy-in with key stakeholder groups. Working in thematic areas which were unfamiliar to UNODC, such as agriculture, demonstrated a willingness to innovate in response to needs. However, a lack of in-house expertise delayed implementation which made it difficult to build momentum and build support for the longer-term initiatives.

Project collaboration with government agencies and CSOs was positive. The project’s relationship with its primary stakeholder, the Malawi Prisons Service, was generally well-functioning although MPS support for the project appeared to diminish during the final two years of implementation. CSOs reported positive working relationships, though could have been consulted with more widely during the design phase.

The COVID-19 pandemic was unforeseeable and the impact on the project, whilst significant, was well managed and demonstrated flexibility. Delays to procurement caused stakeholder management issues and were the result of delayed donor fund disbursement and internal (UNODC) procedural issues. This risk should have been identified earlier and mitigation plans developed. Combined, the delays and disruptions caused by COVID-19 and procurement issues had a significant effect on project impact.

The lack of structure around measurement and reporting at the whole-of-project level is a key concern. Without a complete and regularly updated Results Framework and aligned reporting which was consistent, regular, and easily utilised, the team was less able to articulate the value of the work delivered, less able to identify gaps and areas for prioritisation and less able to make evidence-based decisions at the project-level. Project coherence, focus, support/buy-in and results could all have been improved by focussing on this element. A mid-term review is likely to have captured this and recommended remedial action.

Sustainability and project exit should have been considered during project design, and more actively considered during implementation. Whilst some interventions are likely to have a lasting effect – such as infrastructure development – many interventions are highly uncertain in terms of their likely sustainability, particularly those in which behaviour change is required over the long term. With a more deliberate focus on how the prospects of sustainability could be enhanced and how the project was planning to hand over responsibility for funding and/or future delivery, the potential long-term benefits of this project could have been secured.

IV. RECOMMENDATIONS

RECOMMENDATION 1 - SUSTAINABILITY

Conduct a rapid sustainability assessment to determine specific needs, by output, for maximising the prospects of sustainability.

The assessment, which should be conducted during the final no-cost extension period, should consider immediate resource requirements (financial and human), funding sources (government, donor, other), preferred ownership (government, donor, CSO, other), longer term funding requirements and exit plans. The assessment should be provided to the MPS as part of planning for the next phase. Depending on the results of the rapid assessment, a further extension of the project is likely to be required. Closing out the project at this stage – without clear sustainability and exit plans – is likely to diminish the prospects of sustainability.

Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa

Priority: Urgent/Critical (1-2 months)

RECOMMENDATION 2 – STRATEGIC COHERENCE

Determine future project intent and set a new, realistic project goal which is aligned to needs, available resources and contextual reality.

Should there be a future iteration of the project, there is a need for greater strategic coherence. The current project blurs the lines between strategic and operational. Utilising the findings from this Evaluation, the recommended rapid sustainability assessment, and additional coordination and consultation with key stakeholder groups, UNODC/Government of Malawi/donors should conduct a strategy review and agree overall project intent before undertaking more detailed design and budget development.

Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa

Priority: High (2-3 months)

RECOMMENDATION 3 – COORDINATION

Develop a project stakeholder map and stakeholder coordination workplan.

Any future iteration of the project will require an enhanced focus on coordination. The project should develop a stakeholder map, incorporating donor, government, CSO and wider UN stakeholders, before determining – in consultation with stakeholders – any adjustments to existing roles and responsibilities. This should then be used to develop a simple stakeholder coordination workplan to ensure clarity over the timing, purpose and ownership of stakeholder engagement activity. Bringing greater structure to this will assist with enhancing project accountability and transparency, whilst improving decision-making and building stakeholder buy-in.

Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa

Priority: Medium (3-6 months)

RECOMMENDATION 4 - MONITORING AND REPORTING

Develop a monitoring and evaluation plan, incorporating refined Theory of Change and Results Framework.

Any future project iteration must address this gap from the outset. Utilising the results from Recommendation 2, the team should work with external technical experts to consultatively develop a Theory of Change aligned with strategic intent, establish a refined set of objective/outcomes/outputs with relevant indicators/baselines/milestones/targets which are measurable and realistic. In parallel, a structured data

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gathering, reporting and communications mechanism should be developed to aide both internal and external accountability, and improve evidence-based decision making.

Responsibility: Project team, UNODC Malawi Field Office; UNODC Regional Office for Southern Africa

Priority: Medium (3-6 months)

V. LESSONS LEARNED AND BEST PRACTICES

LESSONS LEARNED

Consultation, buy-in and project outcomes are closely interlinked.

In the preparation and design phase of a project, consulting widely with stakeholders including direct and indirect beneficiaries, communities, service providers and CSOs, is critical. Broad and meaningful input from such a wide group, with divergent interests, knowledge and expertise, enhances a project team's ability to understand the problem to be addressed and therefore design a project most likely to address it. Such an approach also builds buy-in amongst stakeholder groups – giving them a voice in articulating both the problem, and the solution, increases ownership, understanding and support for future interventions, which enhances the likelihood of project success. It is important to incorporate sub-groups into such consultation – not treating 'prisoners', for example, as a homogeneous stakeholder group. This project would have benefitted from consulting earlier, more widely and with greater visibility.

Project ambition must be aligned with available time and resource.

System-wide reform programmes/projects typically require significant budgets, long timeframes (5+ years) and consistent, senior engagement at the political level. Operational interventions vary significantly, but often require smaller budgets, shorter timeframes (<5 years) and limited senior engagement. This project incorporated a system-wide reform component into a primarily operational intervention which substantially increased implementation risk as overall project intent was difficult to articulate and project focus was initially unclear. Ultimately, the wider reform component was essentially de-prioritised after having consumed significant effort in planning and coordination. This effort could have been better utilised.

A complete and frequently updated Results Framework can improve project outcomes.

Developing a Results Framework that is well structured with clear metrics, realistic timeframe, and clearly defined impact/outcome/output indicators, baselines, milestones and targets takes time and effort during the design and early implementation stages of a project. This early investment typically pays off several times over. The process of developing a strong Results Framework builds understanding and buy in of overall project intent, provides a space for debate and challenge with stakeholders around realism/ambition, and provides a basis around which to build a monitoring and evaluation structure, including identification of data requirements and the development of project-level reporting which is comparable over time. Fundamentally, this approach enhances project-level decision making through improving access to information whilst also enhancing accountability to all stakeholders, including beneficiaries, partners and government. This project did not have a completed Results Framework.

BEST PRACTICES

Take a human rights centred approach to design and implementation.

Designing and delivering projects with human rights at the centre of design and implementation is good practice. By first developing a clear understanding of the macro problems facing a system at the national level, and then determining how those issue affect rights-holders, projects can be designed to actively address the key issues or concerns. For prison-focused interventions, consideration and application of The Nelson Mandela Rules throughout both design and implementation is an important aspect of this approach.

Include multiple stakeholders in the implementation of project activities.

Where possible, it is preferable to engage a range of stakeholders in the implementation of infrastructure projects, rather than fully subcontract the work. By utilising labour from a combination of host government and contractors and incorporating advice/input from a variety of interested parties (particularly host

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government departments) during the design phase, it is possible to both reduce total costs and enhance the sense of ownership by staff within individual institutions that are being supported.

Deliver targeted advocacy aligned with project interventions.

In certain situations, practical interventions require advocacy to improve outcomes. Improving or increasing the level of available infrastructure and related capacity of medical services is useful. However, utilisation is also important. This can be best achieved by working with both duty bearers (eg police, prison staff) and rights-holders (prisoners) to enhance understanding and application of relevant rights (in this case, access to medical services).

ANNEX I: TERMS OF REFERENCE

I. BACKGROUND AND CONTEXT

Project number:	XSSW23
Project title:	Supporting Minimum Standards for HIV, Health and Rights in Prison Populations of Sub-Saharan Africa
Project component under Evaluation:	Response to Malawi Prison Crisis
Duration (dd/mm/yyyy-dd/mm/yyyy):	24 October 2017 – 30 June 2022
Location:	Malawi
Linkages to Country, Regional and Thematic Programmes:	Sub Programme III: Improving Drug Abuse Prevention, Treatment and Care, and HIV Prevention, Treatment and Care for People Who Use Drugs in Prison Settings”. Outcome 2: “Countries of the Southern African region provide comprehensive HIV/AIDS programmes and services”.
Linkages to UNDAF24 Strategic outcomes to which the project/programme contributes	Malawi UNDAF 2019 -2023; Outcome 6
Linkages to SDG targets to which the project contributes	SDG 2 (Targets 2.1 & 2.4); SDG 3 (Targets 3.3 & 3.8); SDG 6 (Target 6.2) & SDG 16 (Target 16.3)
Executing Agency:	UNODC Regional Office for Southern Africa
Partner Organizations:	Malawi Prison Service; African Health and HIV in Prisons Partnership network (AHHPPN); Southern African Development Community (SADC)
Total Approved Budget:	USD 3,536,000
Total Overall Budget	USD 3,273,501
Donors:	Norway
Name and title of Project/Program Manager and UNODC Office/Section/Unit	Dr. Henry Ndindi, National Project Coordinator, UNODC Malawi Field Office (FO) National Program Officers HIV/AIDS Section, UNODC HQ Vienna; Malawi Field Office
Type and time frame of evaluation: (Independent Project Evaluation/In-depth Evaluation/mid-term/final) (start and end date of the evaluation process)	Final Independent Project Evaluation (Response to Malawi Prison Crisis component) 28 February – 23 June 2022
Time frame of the project covered by the evaluation (until the end of the evaluation field mission/data collection phase):	24 October 2017 until 17 May 2022

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Geographical coverage of the evaluation:	Malawi
Budget for this evaluation in USD ²⁵ :	USD 40,000
Number of independent evaluators planned for this evaluation ²⁶ :	2
Type and year of past evaluations (if any):	None

Project overview

Anachronistic legislative and policy instruments, institutional overcrowding and food insecurity, and a deprivation of individual health and human rights plague the institutions and population of Malawi’s prison system. National laws and practices are misaligned to the principles and standards established by the UN Standard Minimum Rules on the Treatment of Prisoners and their related health and human rights instruments. Prisoners continued to fall ill, and in some cases die, due to substandard and/or inefficient health systems and services, particularly including those addressing infectious disease, food production and security.

To effect sustainable change, development assistance efforts focused to help Malawi to build capacities for fundamental criminal justice reform and target, as a priority, the foundational components of the national criminal justice custodial agents, structures and systems that contribute to the prison crisis through addressing prison reforms, health, and human rights in Malawi prison systems.

The project was designed to address the challenges in areas of health care, water and sanitation, ventilation, and persistent food shortages in Malawi prisons through integration of the public health with prisons health, improvement of living conditions and bringing prisons to food sustainability through agriculture improvements; and implemented not only an immediate response to acute, health-oriented crises that affected existing prison population in Malawi, but also improved prison service-wide systems, strategies, and capacities to contain and/or mitigate the chronic harms related to institutional overcrowding.

The grant from The Norwegian Embassy in Malawi “Response to Malawi Prison Crisis” was provided for the period from 24 October 2017 till 31 December 2021. In July 2021, it was agreed to extend the project till 30 June 2022 due to delays with disbursements. The project component “Response to Malawi Prison Crisis” was incorporated into the main project XSSW23 in November 2018. Project XSSW23 was first approved in March 2017.

Main objectives and outcomes

The project component responding to Malawi Prison crisis has overall goal of developing an effective and sustainable national response to the chronic drivers of the existing prison challenges/crisis, and overcrowding, thereby improving the health and living conditions for Malawi’s prison population through the three areas/outcomes of improved:

1. Prison management in Malawi.
2. Prison health delivery and management
3. Criminal justice process aimed at prison population reduction.

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II. PURPOSE AND SCOPE OF THE EVALUATION

The Final Independent Project Evaluation of the project component “Response to Malawi Prison Crisis” is envisaged by the project document and stipulated as a requirement by the donor – Norwegian Embassy in Malawi. It is to be undertaken in line with UNODC and the United Nations Evaluation Group (UNEG) Evaluation Norms and Standards.

The main purpose of the evaluation, which will be summative in nature, is to assess the achieved results of the project to date, inform further programming, and provide accountability to the donor by assessing the extent to which the project objectives have been met and how the resources have been utilised.

The main objective of the evaluation is to identify lessons learnt and best practices and derive recommendations for future decision-making and organisational learning. The evaluation will further enable the project donor and beneficiary organizations to report against their own strategic frameworks and advocate for greater investments in the general prison reforms in line with the Nelson Mandela Rules and achievement of Sustainable Development Goals after the lifetime of the project. The established partnerships and cooperation as well as aspects of human rights and gender mainstreaming will be assessed. The evaluation will specifically assess how gender aspects have been mainstreamed into the project. Furthermore, lessons learned, and best practices will be identified, and recommendations based on the findings formulated.

The final evaluation report will be shared with all relevant internal and external stakeholders, as well as published and made publicly available on the IES website.

The main evaluation users will be UNODC Regional, Field and Headquarters offices, donors, Development partners, Malawi Government through Malawi Prisons Services, and Civil Society Organizations implementing in prisons.

Scope of the Evaluation

Unit of analysis (full project/programme/ parts of the project/programme; etc.) will be the Grant “Response to Malawi Prison Crisis” within the regional project XSSW23. The period of the project component/ programme to be covered by the evaluation will be from 24.10.2017 – end of data collection in May 2022. Geographical coverage of the evaluation will be in 11 districts which have 15 prisons in Malawi.

III. EVALUATION CRITERIA

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, coherence impact and sustainability, as well as human rights, gender equality, disability and leaving no one behind as well as lesson learned and best practices. All evaluations must include gender, human rights, no one left behind and disability inclusion. Ideally these are mainstreamed within the evaluation questions. The criteria of relevance, efficiency, effectiveness, coherence, impact, and sustainability can be addressed as relevant to the evaluation purpose. Evaluation criteria and questions should be selected to meet the needs of the stakeholders and evaluation context. The questions will be further refined by the Evaluation Team in the drafting of the evaluation report.

Relevance: Is the intervention doing the right thing?

Relevance is the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor.

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1. To what extent did the quality of the project outcomes to date meet project component beneficiaries' needs?
2. To what extent are the activities implemented through the project relevant to address the Standard Minimum Rules for the treatment of prisoners (Nelson Mandela Rules)?
<i>Efficiency: How well are the resources being used?</i> <i>The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.</i>
3. To what extent has the project delivered outputs in a timely and efficient manner?
<i>Effectiveness: Is the intervention achieving its objectives?</i> <i>The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.</i>
4. To what extent did the project component "Response to Malawi Prison Crisis" achieve its planned objective and outcomes to date?
5. What were the major factors influencing the achievement or non-achievement of the project component objective and outcomes (including difficulties, challenges, etc.)?
6. How did the adjustments to the COVID-19 situation, if any, affect the achievements of the project's expected results as stated in its original results framework?
<i>Coherence²⁷: How well does the intervention fit?</i> <i>The compatibility of the intervention with other interventions in the country, sector or institution</i>
7. To what extent did the project cooperate with partners (including UN agencies, CSOs, academia, etc.) in the achievement of results?
<i>Impact: What difference does the intervention make?</i> <i>The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.</i>
8. What are the intended and unintended, positive and negative, long-term effects of the project component?
9. To what extent did the project component contribute to the Sustainable Development Goals?
<i>Sustainability: Will the benefits last?</i> <i>The extent to which the net benefits of the intervention continue or are likely to continue.</i>
10. To what extent are project deliverables (services and products) and capacity built likely to continue, be scaled up or replicated after the project ends?
11. To what extent did UNODC contribute to the development of capacity and motivation to continue implementing interventions after the end of the project?

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12. To what extent were human rights and gender equality considerations as well as marginalised groups and people with disability included in the project design and implementation?
<i>Lessons learned and best practices</i> <i>Lessons learned concern the learning experiences and insights that were gained throughout the project/programme.</i>
13. What lessons can be drawn from the project component implementation for the future?

IV. EVALUATION METHODOLOGY

The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR and further refined in the Inception Report, as well as the availability of stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, evaluation reports (if available), financial reports and any other additional documents that may provide further evidence for triangulation, on which their conclusions will be based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the stakeholders of the project/ programme, including Core Learning Partners (CLP).

The evaluation team will be asked to present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive, respectful and participatory approach and methodology to capture disability and gender equality issues, as well as voices and opinions of both men, women and other marginalised groups, ensuring gender related and disaggregated data (e.g. age, sex, countries etc.). Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

The main elements of the evaluation process are the following:

- Preparation and submission of an Inception Report (containing a desk review summary, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IES through Unite Evaluations (<https://evaluations.unodc.org>) for review and clearance at least one week before any field mission/data collection phase may take place (may entail several rounds of comments);

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- Initial meetings and interviews (by telephone/teams etc.) with the Project Manager and other UNODC staff as well as stakeholders during the field mission/data collection phase.
- Interviews (face-to-face or by telephone/Teams etc.), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus groups, as well as using surveys/questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation (respecting potential COVID-related restrictions on travel and in-person meetings).
- Analysis of all available information.
- Preparation of the draft evaluation report (based on the Template Report). The Evaluation Expert submits the draft report to IES only through Unite Evaluations for review and clearance (may entail several rounds of comments). A briefing on the draft report with project/programme management may also be organized. This will be based on discussion with IES and project/programme management.
- Preparation of the final evaluation report and an Evaluation Brief (2-pager) (based on the Template Brief) including full proofreading and editing, submission to IES through Unite Evaluations for review and clearance (may entail several rounds of comments). It further includes a PowerPoint presentation on final evaluation findings and recommendations.
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or if necessary, through Teams etc.).
- In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account.
- All tools, norms, and templates to be mandatorily used in the evaluation process can be found on the IES website: <https://www.unodc.org/unodc/en/evaluation/guidelines-and-templates.html>

V. TIMEFRAME AND DELIVERABLES

<i>Evaluation stage</i>	<i>Start date 28(dd/mm/yy)</i>	<i>End date (dd/mm/yy)</i>	<i>Subsumed tasks, roles</i>	<i>Guidance / Process description</i>
<i>Inception Report (3-5 weeks)</i>	<i>28 February 2022</i>	<i>21 March 2022</i>	<i>Draft IR; Review by IES, PM; Final IR</i>	<i>Includes 2 weeks for review by IES</i>
<i>Data collection (incl. field missions) (2-6 weeks)²⁹</i>	<i>22 March 2022</i>	<i>5 April 2022</i>	<i>Field missions; observation; interviews; etc.</i>	<i>Coordination of data collection dates and logistics with PM.</i>
<i>Draft report (6-9 weeks)</i>	<i>5 April 2022</i>	<i>3 May2022</i>	<i>Drafting of report; by evaluators</i>	<i>Includes 2 weeks for review by IES, 1 week by PM</i>
	<i>3 May2022</i>	<i>17 May 2022</i>	<i>Review by IES; review by PM; revision of draft</i>	

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<i>Draft report for CLP comments (2 weeks)</i>	<i>17 May 2022</i>	<i>31 May 2022</i>	<i>Compilation of comments by IES</i>	<i>Comments will be shared by IES with evaluators</i>
<i>Final report, Brief and PowerPoint slides (3-4 weeks)</i>	<i>31 May 2022</i>	<i>21 June 2022</i>	<i>Revision by eval; review/approval by IES; completion of MR and EFP by PM</i>	<i>Evaluation report, Brief and slides are finalised. Includes 1 week for review by IES and 1 week for PM</i>
<i>Presentation (1 day)</i>		<i>22 June 2022 tentative</i>	<i>Presentation organised</i>	<i>Date of presentation of final results to be agreed with PM.</i>

The UNODC Independent Evaluation Section may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation-process.

VI. EVALUATION TEAM COMPOSITION

For the scope and scale of the project, an independent and external evaluation team consisting as below, will be recruited.

Role	Number of consultants/ evaluators³⁰ (national/international)	Specific expertise required
Lead Evaluator	1 international/regional consultant	Evaluation methodology
Substantive Expert	1 national consultant	Evaluation methodology/Expertise in Public Health and Rights

The evaluation team will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluation team member are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the Chief or Deputy Chief of the UNODC Independent Evaluation Section, who are the exclusive clearing entity for all evaluation deliverables and products.

Absence of Conflict of Interest

According to UNODC rules, the evaluators must not have been involved in the design and/or implementation, supervision, and coordination of and/or have benefited from the programme/project or theme under evaluation.

Furthermore, the evaluators shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner

VII. MANAGEMENT OF EVALUATION PROCESS

Roles and responsibilities of the Project Manager

The Project Manager is responsible for:

- Managing the evaluation process.
- Drafting and finalizing the Terms of Reference for Evaluation;
- Identifying stakeholders and selecting Core Learning Partners (representing a balance of men, women, and other marginalised groups) and informing them of their role;
- Recruiting the evaluation team following clearance by IES, ensuring issued contracts ahead of the start of the evaluation process in line with the cleared ToR. In case of any delay, IES and the evaluation team are to be immediately notified;
- Compiling and providing desk review materials (including data and information on men, women, and other marginalised groups) to the evaluation;
- Reviewing the draft report and draft Evaluation Brief for factual errors;
- Completing the Management Response (MR) and the Evaluation Follow-up Plan (EFP) for usage of the evaluation results;
- Facilitating the presentation of final evaluation results;
- Disseminating the final evaluation report and Evaluation Brief and communicating evaluation results to relevant stakeholders;
- Recording of the status of the implementation of the evaluation recommendations in Unite Evaluations (to be updated once per year).

The Project/Programme Manager will be in charge of **providing logistical support** to the evaluation team including arranging the field missions of the evaluation team, including but not limited to:

- All logistical arrangements for the travel/data collection phase including travel details; DSA-payments; transportation; etc.);
- All logistical arrangement for the meetings/interviews/focus groups/etc., (respecting potential COVID-related restrictions on travel and in-person meetings), ensuring interview partners adequately represent men, women and other marginalised groups and arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by IES).

Roles and responsibilities of the Independent Evaluation Section

The Independent Evaluation Section (IES) provides mandatory normative tools, guidelines and templates to be used in the evaluation process³¹. Furthermore, IES provides guidance, quality assurance and evaluation expertise, as well as interacts with the project manager and the evaluation team throughout the evaluation process. IES may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation process.

IES reviews, comments on and clears all steps and deliverables during the evaluation process: Terms of Reference; Selection of the evaluation team, Inception Report; Draft Evaluation Report; Final Evaluation Report, Evaluation Brief and PowerPoint slides on the final evaluation results; Evaluation Follow-up Plan. IES

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further publishes the final evaluation report and the Evaluation Brief on the UNODC website, as well as sends the final evaluation report to an external evaluation quality assurance provider.

VIII. PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The payment will be made by deliverable and only once cleared by IES. Moreover, 75 percent of the daily subsistence allowance and terminals is paid in advance before travelling. The balance is paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms. Deliverables which do not meet UNODC and UNEG evaluation norms and standards will not be cleared by IES.

IES is the sole entity to request payments to be released in relation to evaluation. Project/Programme Management must fulfil any such request within 5 working days to ensure the independence of this evaluation process. Non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IES.

ANNEX II: EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

Semi-structured interview guide

The following interview protocol is intended as guidance. Interviewers are required to customise and adapt questions for each interview based on the interviewee's role, time constraints, response, and level of knowledge/familiarity with topics revealed during interviews.

All interviews must start with informed consent. This requires interviewees being made aware that the information they provide will remain confidential and anonymous, told how information will be used and for what purpose, then asked whether they agree to continue with the interview.

Date:	
Name:	
Position, organisation:	
Location:	
Method of interview:	
Interviewer:	

Script introduction

This interview is for the independent evaluation of the Norway-funded 'Response to Malawi Prison Crisis' project, implemented by UNODC. The evaluation team is composed of two independent consultants - one evaluation expert/lead and one public health expert.

The evaluation will be guided by the criteria of relevance, efficiency, effectiveness, impact, coherence, sustainability, human rights/gender equality and leaving no one behind. Good practices and lessons learned will also be collected, and recommendations will be given to UNODC to inform potential future programming.

The interview is voluntary; any information collected shall be treated confidentially and not be shared outside the evaluation team. Evaluation data will only be presented in aggregated form within the evaluation report. The evaluation report will be a public document and put on the UNODC website. The evaluation follows UNEG evaluation ethics and standards.

Do you have any questions?

Are you content to proceed with the interview? (If YES, proceed. If NO, thank and stop.)

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#	Evaluation Question	Response
1	To what extent did project outcomes meet beneficiaries' needs?	
2	To what extent were activities implemented through the project relevant to address the Standard Minimum Rules for the Treatment of Prisoners (Nelson Mandela Rules)?	
3	To what extent has the project delivered outputs in a timely and efficient manner?	
4	To what extent did the project achieve its planned objective and outcomes?	
5	What were the major factors influencing the achievement (or non-achievement) of the project's objective and outcomes?	
6	How did COVID-19 affect project delivery?	
7	To what extent did the project cooperate with partners (including UN agencies, CSOs, academia, etc.) in the achievement of results?	
8	To what extent is the project likely to generate significant long-term effect?	
9	To what extent did the project contribute to the Sustainable Development Goals?	2 ('zero hunger') 3 ('good health and wellbeing') 6 ('clean water and sanitation') 16 ('peace, justice and strong institutions')
10	What is the likelihood of the benefits arising from this project being sustained beyond the end of the project period?	

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11	To what extent were human rights and gender equality considerations, marginalised groups and people with disability included in project design and implementation?	
12	What lessons can be drawn from project implementation for the future?	

Online survey

The survey was provided to two categories of respondent – Prison Officers'-in-Charge, and District Prison Health Coordinators. The survey was delivered via Google Forms, which allows for a simple mode of delivery and response, and sufficient ability to capture, analyse and report results.

Introductory text:

Project Evaluation - 'Response to Malawi Prison Crisis'

Thank you for participating in this survey. The data being collected will be used to inform the independent project evaluation currently underway into the 'Response to Malawi Prison Crisis' project, funded by the Government of Norway and implemented by UNODC between October 2017 and June 2022.

This project was designed to address the challenges relating to health care, water and sanitation, ventilation, and persistent food shortages in Malawi prisons. Implementation was to focus on immediate, acute, health-oriented crises that affected the existing prison population in Malawi, and longer-term prison-service-wide systems, strategies, and capacities to contain and/or mitigate the chronic harms related to institutional overcrowding.

The stated project goal is:

‘Developing an effective and sustainable national response to the chronic drivers of the existing prison challenges/crisis, and overcrowding, thereby improving the health and living conditions for Malawi’s prison population.’

The stated project outcomes are:

1. Improved prison management in Malawi
2. Improved prison health delivery and management
3. Improved criminal justice process aimed at prison population reduction.

The purpose of the evaluation is to assess the achieved results of the project to date, identify lessons learnt and best practices, and derive recommendations for future decision-making and learning. This evaluation will also provide accountability to the donor by assessing the extent to which the project objectives have been met and how resources have been utilised.

Responding to this survey is voluntary. Any information collected shall be treated confidentially and not be

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shared outside the independent evaluation team. Evaluation data will only be presented in aggregated form within the evaluation report. The evaluation report will be a public document and put on the UNODC website. The evaluation follows UNEG evaluation ethics and standards.

Questions

- Are you familiar with this project?
 - Yes
 - No [if selected, survey ends]

- What is your role?
 - Prison Officer-in-Charge
 - District Prison Health Coordinator
 - Other [if selected, survey ends]

- To what extent did the project meet beneficiaries' needs?
 - Fully met
 - Partially met
 - Neutral
 - Partially unmet
 - Fully unmet

- Are you familiar with the 'Nelson Mandela Rules'?
 - Yes
 - No [if selected, the following question is skipped]

- To what extent were activities implemented through the project relevant to address the 'Nelson Mandela Rules'?
 - Completely relevant
 - Partially relevant
 - Not relevant
 - Don't know

- To what extent has the project delivered outputs in a timely and efficient manner?
 - Completely
 - Partially
 - Not at all
 - Don't know

- Were there contextual factors which affected the potential for timely and efficient delivery? If so, what were they and what was the effect?
[long form response]

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- To what extent did the project achieve its planned objective and outcomes?
 - Completely
 - Partially
 - Not at all
 - Don't know
- What were the major factors influencing the achievement (or non-achievement) of the project's objective and outcomes?
[long form response]
- How did COVID-19 affect project delivery?
[long form response]
- What is the likelihood of the benefits arising from this project being sustained beyond the end of the project period?
 - Highly likely
 - Somewhat likely
 - Neutral
 - Somewhat unlikely
 - Highly unlikely
 - Don't know
- What are the reasons for your response?
[long form response]
- To what extent were human rights and gender equality considerations, marginalised groups and people with disability included in project design and implementation?
 - Completely
 - Partially
 - Not at all
 - Don't know
- What are the reasons for your response?
[long form response]
- What lessons can be drawn from project implementation for the future?
[long form response]

ANNEX III: DESK REVIEW LIST

UNODC DOCUMENTS

Number	Title
1)	Draft ToR_Final_Independent_Project_Evaluation_XSSW23, UNODC, 2022
2)	Proposal -UNODC-TO- Norway-Embassy-Malawi, UNODC, 2017
3)	UNODC-Norway-signed-agreement-2017, UNODC, 2017
4)	Norwegian Donor Progress-Interim Report -12 November 2018, UNODC, 2018
5)	MINUTES-ANNUAL-MEETING-UNODC-NORWEGIAN EMBASSY-PROJECT, 2019
6)	Prison-Assessment-Report-3-19022019, 2019
7)	Mission Report_M&E_15th -18th Nov2020, 2020
8)	Norwegian Donor Progress-Report - 1st July 2019- 30th June 2020, UNODC, 2020
9)	Norwegian Donor Progress-Report - 1st July 2020- 31st December-4th-Tranche-Report, 2020
10)	Annual_Project_report_Norway_Prison_Project_year-2020_29062021, UNODC, 2020
11)	Request for no-cost extension letter_6 SEPT 2021, UNODC, 2021
12)	MINUTES-ANNUAL-MEETING-2021-UNODC-NORWEGIAN EMBASSY-PROJECT, 2021
13)	Project_Progress_report_Norway_Prison_Project_01122021-Year 2021, UNODC, 2021
14)	Overview-Achievement Prison-Project-ROSAF-Retreat, UNODC, 2022
15)	Mission Report - Crop-Yield-Production-Estimation-Verification-02102018, UNODC, 2018
16)	Mission Report_Malawi_06Dec-18thDec 2020, UNODC, 2020
17)	Agronomy Planning Meeting Minutes-06th August 2020, UNODC, 2020
18)	Agriculture Technical Report_28th Feb-March14_2021 (1), UNODC, 2021
19)	AGRONOMY MISSION REPORT.docx, UNODC, 2022
20)	Mission Report -SCOPE-Prison-RENOVATION-WORKS, 2019
21)	Mission Report -Building-Materials-Prison-RENOVATION-WORKS, 2020
22)	REPORT ON MAGISTRATE TRAINING ON ALTERNATIVE SENTENCING, 2018
23)	Mission Report -Supervision-District-Prison-Health-Coordination, 2019
24)	Mission-Report-SRHR-Training-Prison-Health-Officer, 2020
25)	Mission Report -Supervision-Health-Service-Delivery-by-DHOs-Centre-East-South, 2021
26)	Mission Report -Supervision-Health-Service-Delivery-by-DHOs-North, 2021
27)	Mission Report -Training-Capacity-Building -Clinicians-Nurse-DHO, 2021
28)	Mission Report -Supervision-Prison-RENOVATION-WORKS, 2021
29)	Mission Report -Supervision-Prison-RENOVATION-WORKS, 2021
30)	Mission Report -Supervision-Prison-RENOVATION-WORKS, 2022
31)	Malawi-Mission Report-Inspection-Prisons, UNODC, 2022
32)	Mission Report -Supervision-Health-Service-Delivery-by-DHOs-Centre-East-South, 2021
33)	Cash Disbursement Schedule and Expenditures-Norway-Project, 2022
34)	Assessment of compliance with Nelson Mandela Rules in Malawi Prisons, 2019
35)	Assessment of compliance with international standards and recommendations on HIV and SRHR in prison settings in all countries under the Regional Office for Southern Africa
36)	HIV prevention, treatment and care in prisons and other closed settings: a comprehensive package of interventions

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37)	HIV/AIDS Prevention, Care, Treatment and Support in Prison Settings: A Framework for an Effective National Response
38)	United Nations Standard Minimum Rules for the Treatment of Prisoners (the Mandela Rules)
39)	The United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders ('the Bangkok Rules')
40)	UNODC –SADC Regional Programme: Making the Southern African Development Community (SADC) Region Safer from Crime and Drugs
41)	Guidance Note on Gender Mainstreaming in UNODC
42)	UNODC website: UNODC and the Sustainable Development Goals
43)	UNODC brochure: UNODC and the Sustainable Development Goals
44)	UNODC brochure: Better Data to monitor violence, trafficking, corruption and access to Justice

Total number of UNODC documents/websites reviewed: 44

EXTERNAL DOCUMENTS

Number	Title
1)	The United Nations Assistance Framework 2019-2023 (Malawi)
2)	DESIGN REPORT FOR THE DESIGNING OF DRIP IRRIGATION SYSTEMS
3)	CROP VOLUME & AGRIC. INPUTS PROC 2020-2021
4)	PROJECT FINALISATION REPORT SOLAR POWERED IRRIGATION-UNODC KASUNGU, FISD Limited Company, 2022
5)	Malawi Inspectorate of Prisons Report-2021, Malawi Inspectorate of Prisons, 2021
6)	ECOSOC Report of the Inter-agency and Expert Group on Sustainable Development Goal Indicators (E/CN.3/2017/2*)
7)	Sustainable Development Goals
8)	UNAIDS Guidance on HIV in prisons and other closed settings
9)	Norway-No-Cost-Extension-Response, Royal Norwegian Embassy, 2021
10)	Agriculture Final Report_2022, D. Chikopa, 2022

Total number of external documents reviewed: 10

UNODC EVALUATION DOCUMENTS

Number	Title
1)	UNODC Independent Evaluation Section: Meta-Analysis 2011-2014
2)	UNODC Independent Evaluation Section: Meta-Analysis 2015-2016
3)	UNODC Independent Evaluation Section: Meta-Analysis 2017-2018
4)	UNODC Independent Evaluation Section: Evaluation-based analysis of good practices in UNODC's approach to capacity building
5)	UNOV/UNODC's Strategy for Gender Equality and the Empowerment of Women (2018-2021)
6)	Gender-Responsive Evaluations in the Work of UNODC (2018)
7)	UNODC Gender Guidance for Project Managers and Evaluators
8)	UNODC evaluation guidelines, templates, handbook, policy
9)	Evaluation Inception Report Template
10)	Evaluation Report Template IDE, IPE
11)	Evaluation Quality Assessment Template

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12)	UNEG: Integrating human rights and gender equality in evaluations
13)	UNEG Norms and Standards for Evaluation (2016)

Total number of UNODC evaluation documents reviewed: 13

ANNEX IV: STAKEHOLDERS CONTACTED DURING THE EVALUATION

Number of interviewees*	Organisation	Type of stakeholder (see note below)	Sex disaggregated data	Country
5	UNODC/Government of Norway	Project implementer/Donor	Male: 3 Female: 3	Austria, South Africa, Malawi
4	Lighthouse, H2O, Dreamweaver, EGPAF	Partner	Male: 3 Female: 1	Malawi
13	Malawi Prisons Service, Ministry of Health, Malawi Judiciary, National AIDS Commission	Government recipient	Male: 11 Female: 2	Malawi
Total: 23			Male: Female:	17 6
Note: A stakeholder could be a Civil Society Organisation; Project/Programme implementer; Government recipient; Donor; Academia/Research institute; etc.				

* Includes total number of Key Informants interviewed. Excludes those contacted but not willing/available for interview, and the 52 individuals surveyed online for which sex disaggregated data is unavailable.

ANNEX V: EVALUATION MATRIX

Evaluation criteria	#	Evaluation Question	Indicators/sub questions to respond to each question	Collection method(s) and sources
Relevance	1	To what extent did project outcomes meet beneficiaries' needs?	<p>Were the needs of beneficiaries clearly articulated?</p> <p>Was the project designed to meet those needs?</p> <p>Can progress in meeting those needs be adequately measured?</p>	<p>Desk review</p> <p>(Project proposal, mission reports, progress reports, technical reports, Malawi Inspectorate of Prisons (MIP) reports)</p> <p>Key Informant Interviews</p> <p>(UN, donor, government officials, CSO representatives)</p> <p>Online survey</p> <p>(Prison Officers' -in- Charge, District Prison Health Coordinators)</p>
	2	To what extent were activities implemented through the project relevant to address the Standard Minimum Rules for the Treatment of Prisoners (Nelson Mandela Rules)?	<p>Were the Nelson Mandela Rules understood by stakeholders, in particular those within the Malawi Government?</p> <p>Which of those Rules did the project most directly address?</p> <p>Were there any Rules not addressed which should have been?</p>	<p>Desk review</p> <p>(Mission reports, progress reports, technical reports, Nelson Mandela Rules, compliance assessment, UN guidance notes)</p> <p>Key Informant Interviews</p>

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				(UN, donor, government officials, CSO representatives) Online survey (Prison Officers'-in- Charge, District Prison Health Coordinators)
Efficiency	3	To what extent has the project delivered outputs in a timely and efficient manner?	<p>Were the planned project outputs clearly articulated?</p> <p>Were there contextual factors which affected the potential for timely and efficient delivery? If so, what were they and what was the effect?</p> <p>What did the project achieve at the output level? How does this align with the logframe?</p> <p>Were project funds efficiently utilised?</p>	<p>Desk review (Mission reports, progress reports, technical reports, MIP reports)</p> <p>Key Informant Interviews (UN, donor, government officials, CSO representatives)</p> <p>Online survey (Prison Officers'-in- Charge, District Prison Health Coordinators)</p> <p>Direct observation</p>
Effectiveness	4	To what extent did the project achieve its planned objective and outcomes?	<p>Were the planned project objective and outcomes clearly articulated?</p> <p>What did the project achieve at the objective and outcome level? How does this align with the logframe?</p>	<p>Desk review (Project proposal, mission reports, progress reports, technical reports)</p> <p>Key Informant Interviews (UN, donor, government officials, CSO representatives)</p> <p>Online survey</p>

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				(Prison Officers'-in- Charge, District Prison Health Coordinators) Direct observation
	5	What were the major factors influencing the achievement (or non-achievement) of the project's objective and outcomes?	(COVID-19 to be excluded from this section as covered separately in the next question) How significant were each of the factors identified? Were activities adapted as a result? If so, what/how? Were there factors which could have been identified and/or mitigated/managed earlier/more effectively?	Desk review (Project proposal, mission reports, progress reports, technical reports, MIP reports) Key Informant Interviews (UN, donor, government officials, CSO representatives) Online survey (Prison Officers'-in- Charge, District Prison Health Coordinators)
	6	How did COVID-19 affect project delivery?	Were activities adapted because of COVID-19? If so, what/how? Did this impact the budget?	Desk review (Mission reports, progress reports, technical reports, MIP reports) Key Informant Interviews (UN, donor, government officials, CSO representatives) Online survey (Prison Officers'-in- Charge, District Prison Health Coordinators)
Coherence	7	To what extent did the project cooperate with partners	Who were the key partners?	Desk review

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		(including UN agencies, CSOs, academia, etc.) in the achievement of results?	How were partnerships built, and maintained? Could any partnerships have been managed more effectively?	(Mission reports, progress reports, technical reports, MIP reports) Key Informant Interviews (UN, donor, government officials, CSO representatives)
Impact	8	To what extent is the project likely to generate significant long-term effect?	Are the planned long-term effects clearly articulated? Are the desired long-term effects realistic and achievable? What other factors may influence the potential for the project generating long-term effect?	Desk review (Mission reports, progress reports, technical reports, MIP reports) Key Informant Interviews (UN, donor, government officials, CSO representatives)
	9	To what extent did the project contribute to the Sustainable Development Goals?	Which SDGs were most relevant to the project? Were the SDGs actively considered in project design and/or implementation?	Desk review (SDGs, UN guidance notes, mission reports, progress reports, technical reports, MIP reports) Key Informant Interviews (UN, donor, government officials, CSO representatives)
Sustainability	10	What is the likelihood of the benefits arising from this project being sustained beyond the end of the project period?	Which factors will affect the potential for sustainability? What role did UNODC play in relation to sustainability?	Desk review (Mission reports, progress reports, technical reports, meeting minutes, MIP reports) Key Informant Interviews

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			<p>Was sustainability and project exit adequately considered during project design and implementation?</p> <p>Which benefits are most/least likely to be sustained beyond the project period? Why?</p> <p>Could more be done to increase the potential for sustainability? What?</p>	<p>(UN, donor, government officials, CSO representatives)</p> <p>Online survey</p> <p>(Prison Officers'-in- Charge, District Prison Health Coordinators)</p>
	11	To what extent were human rights and gender equality considerations, marginalised groups and people with disability included in project design and implementation?	<p>Were the key human rights and gender equality issues clearly articulated? If so, what were they?</p> <p>Were marginalised groups and people with disability consulted during project design and/or implementation? How?</p>	<p>Desk review</p> <p>(UN technical/guidance notes, project proposal, mission reports, progress reports, technical reports, MIP reports)</p> <p>Key Informant Interviews</p> <p>(UN, donor, government officials, CSO representatives)</p> <p>Online survey</p> <p>(Prison Officers'-in- Charge, District Prison Health Coordinators)</p> <p>Direct observation</p>
Lessons learned and best practices	12	What lessons can be drawn from project implementation for the future?	What worked well? Why?	<p>Desk review</p> <p>(Mission reports, progress reports, technical reports, MIP reports)</p>

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			<p>What worked less well? Why?</p> <p>How can these lessons be utilised for future programming?</p>	<p>Key Informant Interviews (UN, donor, government officials, CSO representatives)</p> <p>Online survey (Prison Officers'-in- Charge, District Prison Health Coordinators)</p>
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