Programme Title & Number	Country, Locality(s), Thematic Area(s)
Programme Title: Institutional Development Support to the Independent High Electoral Commission (IHEC) **Programme Number :** G11-23 **MDTF Office Atlas Number:** 76508	**Country:** Iraq **Locality:** All governorates **Thematic area:** Sector: Governance; Sub-sector: Electoral Support

Participating Organization(s)	Implementing Partners
UNDP (lead agency), UNOPS	IHEC, UNAMI

Programme/Project Cost (US$)		Programme Duration (months)	
MDTF Fund Contribution:	**UNDP:** USD 13, 947,279 **UNOPS:** USD 10, 914,712 **Total:** USD 24, 861,991	Overall Duration	36 months
Agency Contribution		Start Date	18 October 2010
Government Contribution		End Date or Revised End Date,	18 October 2013
Other Contribution		Operational Closure Date	Anticipated 2014
TOTAL:	**Total:** USD 24,861,991	Expected Financial Closure Date	

Programme Assessments/Mid-Term Evaluation	Submitted By
Assessment Completed - if applicable *please attach* ☐Yes X No Date: _____ Mid-Evaluation Report – *if applicable please attach* ☐Yes N☐ Date: _____	o Name: Katie Green o Title: Programme Coordinator o Participating Organization (Lead): UNDP o Email address: katie.green@undp.org

<u>**NARRATIVE REPORT FORMAT**</u>

I. Purpose

This programme has been jointly developed by the UN and the Iraqi Independent High Electoral Commission (IHEC) to support the IHEC in its continued institutional development as a sustainable institution within the government structure of Iraq, carrying out its constitutional mandate independently, efficiently, transparently and accountably, in line with professional standards.

The programme aims to promote the Governance sector outcome and Joint Programme outcome *Strengthened electoral processes in Iraq.* The programme objectives aim to address significant gaps in the IHEC's institutional capacity to conduct electoral events in key areas, as defined in the following three outputs:

- Output 1: IHEC has strengthened institutional framework and organizational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution;
- Output 2: IHEC has enhanced human resource capacity by improving staff skills, knowledge and resources at both central and governorate office level, to enable staff to fulfill their functions effectively;
- Output 3: IHEC has improved technological capacity to manage electoral processes in a sustainable manner.

Outputs 1 and 2 are divided into sub-components. (See Section IV for further details).

- The Programme relates to the Strategic (UN) Planning Framework guiding the operations of the Fund/JP as the following

UN Security Council Resolution (SCR) 1770 (extended by SCR 1830, 1883 and 1936) defines the mandate of UNAMI to provide assistance, support, and advice to the Iraqi government and the IHEC in order to maintain, administer and develop the electoral system in Iraq. Based on this SCR and existing strategy planning frameworks, the UNCT Sector Outcome Team "Governance" included "Support to Institutional Development of the IHEC" in its Assistance Strategy for 2008/2010.

Iraq National Development Strategy (NDS 2007-2010): The programme contributes to the achievement of Pillar 4 of the Iraq NDS, *strengthening good governance and improving security.* The NDS specifically mentions that to achieve the goals of Pillar 4 it is required, among other things, to support the Iraqi electoral commission. This programme directly supports the development of the electoral commission to fulfil its constitutional mandate independently, transparently and professionally. The credibility of results and trust of stakeholders in electoral processes is key to consolidation of democratic processes in Iraq.

International Compact with Iraq (ICI): The programme contributes to the realisations of the objectives of the ICI, in particular Section 3.1.2, *implementation of political/legislative timetable.* Developing the capacities of IHEC within its institutional environment better enables it to fulfil its responsibilities effectively in conducting electoral events, as requested by the Government of Iraq. Furthermore, electoral events will be carried out in a transparent and efficient manner and in respect of Iraq's international obligations such as those arising from the United Nations International Covenant on Civil and Political Rights to which Iraq is a signatory country.

Millennium Development Goals (MDGs): The programme is not directly related to the achievement of the MDGs, although it does contribute to MDG 8: *Develop a global partnership for development*, which includes a commitment to good governance. The ability of the IHEC to implement fair and transparent electoral processes is a key element in building a stable and accountable political system in Iraq. Additionally, enhanced participation of Iraqi voters in electoral processes and the exercise of their democratic rights contribute towards development of good governance in Iraq.

The programme also contributes to the achievement of MDG 3: *Promote gender equality and empower women.* In the broad context of access to electoral processes, the programme's institutional development activities aim to enhance awareness of how to ensure all target groups, including women, have equitable access to electoral processes and how to promote full participation. Promoting women's access is a specific component of IHEC's public outreach for electoral events, which is assessed on an ongoing basis. The programme also aims to promote gender equality in IHEC's internal processes, through consideration of its principles in all recommendations on policy and processes (particularly relevant to Output 1.2 'Improved institutional management structures and practices') and to ensure both men and women benefit from the proposed programme activities.

During 2010, the UN Country Team made a transition in the frameworks which it uses. Key new documents were development, which have a direct impact on this programme:

UN Development Assistance Framework (UNDAF) 2011-2014: The UNDAF was prepared by the UN Country Team in Iraq in consultation with the Government of Iraq (GoI) and other partners with the aim of improving the lives of the people of Iraq, and particularly the most vulnerable, in alignment with the national priorities and the MDGs. This programme contributes to the achievement of Priority 1: *Improved governance, including the protection of human rights.* Under this priority, the UNDAF specifically states that 'Institutionalization of international standards regarding gender, free and fair elections, and accountability of the government to the people will be at the core of the UNCT's interventions'. Support to the IHEC in its purpose to conduct elections transparently, accountably and in line with professional standards within the context of the broader electoral environment directly promotes the Key Development Outcome 1.2 *The Iraqi state has more efficient, accountable and participatory governance at national and sub-national levels.*

The programme also contributes to UNDP frameworks which have been developed in close consultation and recently agreed between UNDP and the GoI.

- ***Country Programme Document (CPD):*** The first Country Programme was endorsed by the GoI and approved by the Executive Board of UNDP on 03 September 2010. It is aligned with the National Development Plan and nested within the UNDAF. The current programme targets Country Programme Outcome 1: *GoI and civil society have strengthened participatory mechanisms in place for electoral processes, national dialogue and reconciliation*. Institutional development of the IHEC is relevant to this Country Programme Outcome not only in promotion of IHEC policies which enhance equitable inclusion of all voters, but also in the enhancement of the electoral context in which the IHEC operates, encouraging inclusive participation of all electoral stakeholders.
- ***Country Programme Action Plan (CPAP):*** The CPAP is a signed legal agreement between the GoI and UNDP based on the CPD, which defines the mutual cooperation and programme of work shared between the Government and UNDP for 2011-2014. This further elaborates the CPD outcomes and respective outputs of UNDP, which are directly reflected in the current programme.

II. Resources

Human Resources:

During the reporting period, the following staff members were in place to implement the programme:

No	Position Title - UNDP[1]	International/National
1	Institutional Development Programme Coordinator	International
2	Project Officer	National

No	Position Title - UNOPS	International/National
1	Electoral Programme Manager UNOPS	International
2	Project Manager	International
3	Project Officer	National

The following consultants were recruited to undertake specific components and activities:

No	Consultant	Duration (months)	Output	Agency
1	Graphic Design Advisor	1	2.2	UNOPS

III. Implementation and Monitoring Arrangements

The programme is implemented as part of the portfolio of support, advice and assistance activities extended to the IHEC by the International Electoral Assistance Team (IEAT). The IEAT is headed by the Chief Technical Advisor (CTA) of the UNAMI Electoral Team. Various UN agencies, offices and programmes are members of the IEAT. These are currently UNDP, UNOPS and UNESCO.

UNDP and UNOPS are the executing agencies for this programme, and therefore responsible for the implementation of all programme activities, standards and procedures agreed upon with the IHEC and UNAMI, and in line with UNDP and UNOPS financial and administrative policies, rules and procedures for contracting, procurement and recruitment.

Based on their respective mandates, UNDP implements those activities that focus on the managerial and institutional development of the IHEC, and UNOPS is responsible for activities that mainly require procurement, contracting and recruitment services. As the lead agency, UNDP undertakes overall coordination of the programme, under the technical oversight of the UNAMI CTA.

While not an implementing agency, the role of UNAMI, based on its mandate extended through SCR 1936, is to coordinate all UN electoral support activities in Iraq. UNAMI will therefore maintain technical oversight of the programme and provide detailed technical input through its advisors. This includes management of the balance in focus between institutional development and operational activities arising from the constantly evolving electoral calendar.

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[1] UNDP staff in 2010 were funded from a different project, and will be funded from this project from 2011 onwards.

When necessary, external consultants and specialists are contracted for specific targeted activities. Private contractors or NGOs may also be contracted to provide specified services and implement components of the programme, working closely with all programme partners.

The overall performance of the programme is supervised through the two joint IHEC-UN management forums: the Steering Committee for Electoral Support Projects and the Institutional Development Programme Board, within their established terms of reference. Both forums consist of three relevant senior IHEC staff and one representative from each of the three UN partners: UNDP, UNOPS and UNAMI.

The IHEC-UN Steering Committee for Electoral Support Projects is responsible for policy development for all IHEC-UN electoral support projects. In relation to this programme, it is responsible for programme development, for ensuring there is no duplication between projects, for overall monitoring of progress and for policy guidance and relevant policy decisions as required.

The IHEC-UN Institutional Development Programme Board serves as the platform for reviewing and revising the workplan for submission to the Steering Committee. It meets on a regular basis to develop individual activities, plan and agree their implementation modalities. This includes: preparation of activity outlines, development of agendas, determining location and timing of each activity and selection of any service provider. The Programme Board is responsible for the monitoring of progress and achievements of individual outputs, the completion of quarterly progress report as agreed, and technical monitoring and evaluation of activities, including review of activity reports and evaluations. It is also the function of the Programme Board to ensure proper consultation with other IHEC senior management and working level staff in the design of the workplan.

On a day-to-day basis, UN agency presence in Baghdad, through the IEAT, ensures regular coordination with the IHEC on planning and implementation of activities. In order to promote coordination and regular sharing of up-to-date information between UN agencies, UNDP, UNOPS and UNAMI actively contribute to and participate in weekly IEAT meetings where results are shared, lessons learned are addressed, activities coordinated, and partners updated on developments.

- The procurement procedures utilized.

Standard UNDP and UNOPS procurement procedures have been applied for any purchase or contract under this programme in the reporting period. There has been no variance in standard procedures.

UNDP Iraq follows the Financial Regulation and Rules (FRR) and the Procurement Manual posted under the Programme and Operations Policies and Procedures (POPP) which provides the framework to carry out procurement processes. The following bullets serve as guiding principles within the procurement process at UNDP Iraq. These principles are:
- Best Value for Money
- Fairness, Integrity, Transparency
- Effective International Competition

UNDP defines procurement as the overall process of acquiring goods, civil works and services which includes all functions from the identification of needs, selection and solicitation of sources, preparation and award of contract, and all phases of contract administration through the end of a services' contract or the useful life of an asset. UNDP has two primary documents, the Financial Regulations and Rules and Procurement Manual, which specify solicitation procedures for supply of goods, services, or works, including appropriate methods for evaluating and selecting awardees and possible contracts. The

Regulations and Rules and Procurement Manual also indicate which conditions justify waiving the competitive tendering process in favor or direct contracting.

UNOPS utilizes standard procurement process according to its procurement manual and the following principles:
- Best Value for Money
- Fairness, Integrity, Transparency
- Effective Competition
- The best interests of UNOPS and its clients

UNOPS procures goods and services in close collaboration with the clients, Iraqi authorities, and the beneficiaries. While the individual arrangements vary depending on the client and the specific project requirements, the general modalities meet agreed standards in terms of requirements, shortlisting, tendering and contracting. Relevant procurement rules and regulations can be found at http://www.unops.org/english/whatwedo/services/procurement/Pages/Procurementpolicies.aspx.

In order to ensure compliance with respective UNDP and UNOPS regulations, rules, policies and procedures, all procurement activities at UNDP-Iraq and UNOPS are subject to a review and approval process prior to an award of a procurement contract.

- The monitoring system.

Monitoring and evaluation is integral to the design of this programme. UNDP and UNOPS follow up on the quality and successes of programme implementation utilizing a three-pronged approach as outlined in the table below.

M&E Stakeholder	*M&E Roles and Responsibilities*
Programme Management Staff: Managers of Electoral Programme for UNDP and UNOPS and Project Managers for each agency for this programme.	– Programme management staff are responsible for monitoring all of the electoral activities conducted by their respective agency on a regular basis. This includes the monitoring of both technical and financial components of this programme. – Programme management staff also ensure that service providers' contractual obligations are implemented on time and stipulated services are delivered to designated beneficiaries. They assess service providers from both operational and programmatic perspectives, ensuring that services are of the highest quality possible, while maintaining cost-efficiency and transparency. – In addition, programme management staff participate in the M&E activities of the Project Management Committee and Steering Committee as described below.
IHEC-UN Projects Steering Committee: Comprised of IHEC Commissioners, UNDP and UNOPS Managers of Electoral Programme, Head of UNAMI Elections Team.	– The Steering Committee meets at least every three months to maintain oversight of programme activities and achievements. – The Steering Committee specifically examines programme successes from a policy perspective. This is to ensure that specific activity progress is in line with overall programme objectives, ensuring the relevance and context-appropriateness of all interventions. – The Steering Committee is also responsible for reviewing programme progress reports completed by the Project Management Committee and activity workplans to ensure they are coordinated with other electoral support activities and avoid duplication of efforts.
Programme Board (IHEC-UN Project Management Committee): Comprised of IHEC technical staff of the Electoral Administration, UNDP and UNOPS Project Managers, and a senior UNAMI staff	– The Project Management Committee meets at least once every month and is responsible for monitoring every capacity building activity conducted under this programme to ensure quality and appropriateness. – The Project Management Committee's monitoring activities examine the success of each capacity building intervention, identify any problems, as

member.	well as recommend future activities where appropriate. All of the activity evaluations utilize inputs from the participants themselves, according to agreed criteria, and by relevant UN advisors. Standards and criteria for activity assessments are built into the planning process during the development of each capacity building intervention. This allows the Committee to assess the activity based on pre-determined, objective indicators of success.
	– All Project Management Committee programme progress reports and recommendations will be submitted to all partner agencies, the Steering Committee and the IHEC.

In addition to the specific M&E responsibilities outlined above, additional monitoring and evaluation activities are conducted as follows:

1. IEAT Capacity Building Advisors provide M&E support to the programme to track realisation of the programme's outcome and outputs according to their respective areas of expertise.

2. Annual review and planning exercises will be conducted each year to reflect achievements of the previous year and to identify areas for follow up or incorporation into the plan for the following year.

3. The IHEC needs assessment has been reviewed prior to start of programme activities. Rapid assessments (snapshots) are conducted periodically with focus on specific IHEC departments or units, in cooperation with the relevant IEAT advisors and the IHEC.

4. An internal mid-term review will be conducted half-way through the programme period to review progress, consider best practices and lessons learned in implementation, and re-assess programme priorities for the second half of the programme. The mid-term review will be conducted by the IHEC, UNDP, UNOPS and UNAMI with an external facilitator.

External Independent Evaluation

1. Provision for an independent evaluation is within the programme budget. This will be undertaken towards the end of the programme period.

2. The programme will also be subject to UNDP and UNOPS' standard reviews and audits, coordinated through the respective HQs.

- Assessments, evaluations and studies undertaken.

This programme builds upon ongoing institutional development support to the IHEC by UNDP, UNOPS and UNAMI. It is developed as a follow up, and similar in concept, to project G11-14, "Institutional Development – Organisational and HR Capacity Building for the IECI/IHEC" (phase I, implemented by UNDP and UNOPS) and G11-19 (phase II, implemented by UNOPS), completed in 2010. These projects aimed to increase the IHEC's organisational and human resource capacity to conduct future electoral events, based on priorities outlined in the UNEAD Capacity Building Assessment Report of 2006. Through these projects, a number of different activities were completed in support of a diverse range of sectors of the IHEC, implemented by UNDP and UNOPS in coordination with UNAMI.

IHEC institutional development needs were reviewed in a comprehensive IHEC needs assessment, which took place during October-November 2009. This analysed the needs of all departments and sections of the IHEC at both national and governorate level. It broadly reviewed areas requiring attention to conduct future electoral events, and recommended priorities for institutional development. This assessment confirmed that significant progress has been made in a number of sectors, while also

highlighting that the IHEC as an institution has areas remaining which require improvement in its capacity to implement its constitutional mandate efficiently, transparently and accountably, in line with professional standards.

The assessment has been confirmed and further developed as part of a comprehensive lessons learned review process following the March 2010 Council of Representatives election. Through this, priorities have been further refined for institutional development support for the next three years. The lessons learned review process was completed in December 2010 and the workplan for 2011 has been agreed by the joint IHEC-UN project management forums incorporating priorities highlighted during this exercise.

IV. Results

- Programme progress in relation to planned outcomes and outputs;.

Extensive time was assigned to ensuring a focused and coordinated initiation of the programme in agreement with the IHEC. Following agreement of the terms of reference for the IHEC-UN Projects Steering Committee and Project Management Committee (Programme Board), a series of meetings were held to define priorities for institutional development over the coming months. In total fourteen meetings were held with the Projects Steering Committee and four with the Project Management Committee, in addition to extensive discussions with the IHEC Capacity Building Department. Significant focus in 2011 will be given to reviewing areas of the legal framework, training on software development skills and ITC, public outreach and media, as well as initiation of work in the areas of information management and reporting. This reflects priorities previously agreed between the IHEC and the UN. The initial workplan was approved by the Project Management Committee (23 November 2010), Projects Steering Committee (13 December 2010) and IHEC Board of Commissioners (21 December 2010).

Output 1.1 IHEC has improved institutional transparency and accountability.

Discussions were held to put in place a comprehensive plan for reviewing all relevant provisions of the electoral legal framework during the programme. Initial priorities were determined, for discussion in the first quarter of 2011 in order to develop a comprehensive plan with timelines for the required components.

Output 1.2 IHEC has improved institutional management structures and practices.

Preparations were initiated for training of IHEC procurement staff by the UNDP Procurement Support Office (PSO) in Copenhagen, Denmark. An outline proposal has been agreed by PSO and UNDP Iraq. The training is envisaged to provide an overview of large scale international tendering and bidding, and see this in practice. The training targets 14 IHEC procurement staff and is currently scheduled for May 2011.

Output 1.3 IHEC has enhanced electoral management policies and processes.

Planning was undertaken for a study visit to the Australian Electoral Commission, scheduled to take place in late February/early March 20011. This study visit aims to allow relevant IHEC staff to assess an established example of a decentralised and continuous voter registration process conducted by an established electoral management body. The study visit is intended for 6-8 IHEC staff involved in policy development and operational planning for voter registration. This activity will be implemented by UNDP.

Output 2.1 IHEC has enhanced internal capacity building and professional development strategy.

During the reporting period, UNDP and UNOPS programme staff worked on a day to day basis with the IHEC Capacity Building Department on the preparation, execution and follow-up on a series of IHEC funded Council of Representative Elections Lessons Learned Activities. Detailed work with the IHEC Capacity Building Department has also been initiated on review of their standard operating procedures for implementation of capacity building activities. Procedures cover workshops organised internally by the IHEC as well as those implemented by the UN and IFES, in cooperation with the IHEC. The procedures are expected to be finalised in early 2011.

At the invitation of International IDEA, UNDP arranged for two IHEC staff to attend a regional BRIDGE[2] workshop on the Foundation Module "An Introduction to Electoral Administration" in Amman, Jordan on 24-28 October 2010. This was also attended by representatives from electoral management bodies in Palestine, Sudan and Yemen and from civil society organizations in Jordan. The BRIDGE project is a multi-institutional initiative that focuses on professional development of election practitioners. This workshop aimed to provide an outline of the BRIDGE programme and promote appropriate incorporation of BRIDGE into the capacity building strategies of electoral management bodies in the region. The workshop included sessions on electoral principles, electoral systems, political financing, electoral management bodies and an overview of the BRIDGE programme and its methodology.

UNDP additionally supported the participation of another two IHEC staff from the National Office Training and Procedures Section in a 10-day BRIDGE Train the Facilitators course in Amman on 21 November - 02 December 2010. This was organised by International IDEA in cooperation with BRIDGE partners to provide opportunities for electoral management bodies in the region to enhance their ability to utilize the BRIDGE programme and its materials. The two participants successfully achieved semi-accreditation as BRIDGE facilitators.

Output 2.2 IHEC staff have improved technical skills to fulfil their functions effectively.

UNOPS deployed a Graphic Design Advisor to support the work of the IHEC Graphic Design Unit for an initial period of one month from mid-December 2010 to mid-January 2011. The Graphic Design Advisor worked closely with the IHEC graphic design staff and provided guidance on future training requirements and hardware / software upgrades. When the required equipment has been procured it is envisaged that the Graphic Design Advisor will return to support the Graphic Design Unit in installing the equipment and provide the necessary training and mentoring.

UNDP, UNOPS and UNAMI worked closely with the IHEC Operations Department to develop a longer term strategy for database development and data management. The strategy encompasses the need for increased in-house capacity for software development and for a long-term integrated plan that addresses software application needs for all relevant sections and departments of the IHEC. UNOPS issued an RFP for the first two modules of the agreed database training. The RFP will close in mid January 2011 and training will start as soon as the contracting with the winning company completed.

Output 3.1 IHEC has improved technological capacities to support electoral processes in a sustainable manner.

The implementation of Output 3, UNOPS initiated the recruitment process for an ICT consultant.

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[2] "BRIDGE" stands for Building Resources in Democracy, Governance and Elections.

- The key outputs achieved in the reporting period including # and nature of the activities (inputs), % of completion and beneficiaries.

Quantitative achievements against objectives and results			
	Target	Actual	**% of planned**
Output 1 / UNDP **1.1 IHEC has improved institutional transparency and accountability**			**1%**
1.1.1 CoR reporting requirements reviewed with the IHEC	Yes		
1.1.2 Board decisions published in Kurdish and Arabic	All		
1.1.3 IHEC electoral regulatory framework reviewed	Yes		
1.1.4 Electoral legal framework reviewed in cooperation with CoR Legal Committee	Yes		
1.1.5 IHEC complaints process reviewed	Yes		
1.1.6 Institutional framework for dispute resolution reviewed in cooperation with CoR Legal Committee, AJC, EJP	Yes		
1.1.7 IHEC processes reviewed in relation to GoI regulations and procedures (admin, finance, contracts)	3		
1.1.8. Number of capacity building activities organised on transparency, accountability and legal framework	19		
1.1.9 Number of personnel (male/female), representatives of relevant Iraqi partner institutions and external stakeholders engaged in capacity building activities on transparency, accountability and legal framework	340		
1.1.10 Percentage of participants satisfied with the relevance and usefulness of the activity	80%		
1.1.11 Number of consultants providing technical support to IHEC on improved transparency and accountability	5		
Output 1.2 / UNDP **IHEC has improved institutional management structures and practices**			**1%**
1.2.1 IHEC SOPs drafted (finance, human resources, information management, administration approval processes)	5		
1.2.2 IHEC reporting guidelines drafted	Yes		
1.2.3 IHEC finance, human resources and inventory management systems assessed and upgraded	3		
1.2.4 Number of management capacity building activities organised for enhancement of management structures and practices	19		
1.2.5 Number of personnel (male/female) engaged in management capacity building activities	400		
1.2.6 Percentage of participants satisfied with the relevance and usefulness of the activity	80%		
1.2.7 Number of consultants providing technical support to IHEC to improve institutional management structures and practices	5		

Output 1.3 / UNDP lead with UNOPS **IHEC has enhanced electoral management policies and processes**			**1%**
1.3.1 Assessment of voter registration policies, operational processes and systems completed, in cooperation with relevant Iraqi government bodies	Yes		
1.3.2 Study of IDP data and voting patterns completed, in cooperation with MoDM	Yes		
1.3.3 Systems for managing political entity and candidate data assessed and upgraded	Yes		
1.3.4 Voter information campaign evaluated	Yes		
1.3.5 IHEC GEO helpdesk and call centre services assessed and improved	Yes		
1.3.6 Number of capacity building activities held to enhance electoral management policies and processes	27		
1.3.7 Number of personnel and representatives of relevant Iraqi partner institutions (male/female) engaged in capacity building activities to enhance electoral management policies and processes	450		
1.3.8 Percentage of participants satisfied with the relevance and usefulness of the activity	80%		
1.3.9 Number of consultants providing technical support to the IHEC to enhance electoral management policies and processes	4		
Output 2.1 / UNDP lead with UNOPS **IHEC has enhanced internal capacity building and professional development strategy**			**5%**
2.1.1 Internal CB procedures and evaluation tools developed by IHEC	Yes	Part	10 %
2.1.2 Number of personnel (male/female) using resources provided to the IHEC resource centre (books, publications)	50		
2.1.3 Number of capacity building activities organised for IHEC CB personnel	8	2	25 %
2.1.4 Number of IHEC CB personnel (male/female) engaged in capacity building activities	67	8 (8/0)	12 %
2.1.5 Percentage of participants satisfied with the relevance and usefulness of the activity	80%		
2.1.6 Number of capacity building activities organised by IHEC CB Department	tbd by IHEC	12	
2.1.7 Number of personnel (male/female) engaged in capacity building activities organised by IHEC CB Department	tbd by IHEC	335	
2.1.8 Number of personnel (male/female) fully accredited as BRIDGE facilitator	4		
2.1.9 Number of consultants providing support to the IHEC in delivery of capacity building activities	8		
Output 2.2 / UNOPS **IHEC staff have improved technical skills to fulfil their functions effectively**			**4%**
2.2.1 Number of capacity building activities organised to enhance technical skills	15		
2.2.2 Number of personnel (male/female) engaged in capacity building activities to improve technical skills	298	8 (7/1)	2.5 %
2.2.3 Percentage of participants satisfied with the relevance and usefulness of the activity	80%		

2.2.4 Number of personnel (male/female) trained in use of graphic design and translation equipment	10		
2.2.5 Number of consultants providing technical support to improve IHEC staff technical skills	5	1	20 %
Output 3.1 / UNOPS **IHEC has improved technological capacities to support electoral processes in a sustainable manner**			**1%**
3.1.1 Number of technological assessments completed (IT and communications)	2		
3.1.2 Voter registration systems and equipment upgraded	Yes		
3.1.3 GIS system developed	Yes		
3.1.4 Number of personnel (male/female) trained on the usage and maintenance of IT systems	252		
3.1.5 Percentage of trainees passing the end of training technical test	80%		
3.1.6 ITC Disaster Recovery Plan is developed	Yes		
3.1.7 Strategy for improving data entry centre processes is developed	Yes		
3.1.8 Number of IHEC staff participating in a study visit on effective and efficient tabulation of results	8		
3.1.9 IHEC call centre systems assessed and upgraded	Yes		
3.1.10 Number of consultants providing technical support to improve IHEC's IT communication and technology	3		

- Delays in programme implementation, the nature of the constraints, actions taken to mitigate future delays and lessons learned in the process.

There are no major delays in programme implementation. During the first two and a half months of the programme necessary time was invested in thorough planning and discussions with the IHEC in order to ensure that all activities were fully agreed upon by all partners, and priorities clearly identified. It is anticipated that the implementation rate will increase throughout 2011.

- The key partnerships and collaborations, and explain how such relationships impact on the achievement of results.

Key to implementation of the programme are the strong partnerships both with the IHEC and also between the various UN entities, mandated and experienced in the sector of electoral support to Iraq. Responsibilities for specific programme activities are assigned to the participating UN agencies, based on their respective mandates, relevant experience and capacity to implement. In addition, UNAMI provides technical input through its electoral advisors. UNAMI advisors work closely with UNDP and UNOPS in the development and implementation of activities relating to their respective areas of expertise. This integrated approach is key to ensuring a cooperative approach, to draw on strengths of all partners and prevent duplication of efforts.

IHEC ownership over the programme is assured through the programme's integrated management structure. All activities and respective implementation arrangements are agreed through the two joint IHEC-UN management committees. Through these committees, the programme supports the IHEC in

developing its relationships with other international partners and potential donors, to broaden the scope of support for future projects and endeavours. This management structure fully integrates all programme partners, ensuring close coordination as well as cooperative planning and monitoring of achievements.

In addition, throughout the programme, in circumstances where expertise outside the IHEC is required, the development of partnerships between the IHEC and local service providers is encouraged.

V. Future Work Plan

Annex I outlines the activities planned for 2011 and Annex II the expected expenditure. The workplan has been developed together with the IHEC with a particular focus on the priorities of database development, development of the electoral legal framework, ITC infrastructure and public outreach. It was also agreed to initiate work in, the areas of reporting and information management.

The programme started in mid-October 2010 so there are not yet any significant lessons learned to be incorporated. However, lessons learned from previous capacity building initiatives have been incorporated into programme planning and implementation. These indicate that inputs are most successful when accompanied by ongoing mentoring and advice, with periods designated for putting into practice knowledge and skills learned during capacity building activities. This was taken into consideration when writing the project document for this programme. An integrated approach will therefore be followed, whereby targeted activities and technical guidance are mutually supportive. Significant focus will be placed on the development of appropriate evaluation and follow-up mechanisms, to try to ensure that staff are able to incorporate lessons learned from activities into their working practices. This has also been identified as a priority by the IHEC during the 2009 capacity building assessment.

VI. INDICATOR BASED PERFORMANCE ASSESSMENT

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Reasons for Variance (if any)	Source of Verification	Comments (if any)
JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution							
1.1 IHEC has improved institutional transparency and accountability	1.1.1 CoR reporting requirements reviewed with the IHEC	No	Yes	–		IHEC reports to CoR & feedback from CoR	
	1.1.2 Board decisions published in Kurdish and Arabic	Some	All	–		IHEC website	
	1.1.3 IHEC electoral regulatory framework reviewed	No	Yes	–		Applicable regulations; Review; Capacity building activity reports	
	1.1.4 Electoral legal framework reviewed in cooperation with CoR Legal Committee	No	Yes	–		Applicable laws and regulations; Review;	
	1.1.5 IHEC complaints process reviewed	No	Yes	_		Review	
	1.1.6 Institutional framework for dispute resolution reviewed in cooperation with CoR Legal Committee, AJC, EJP	No	Yes	–		Applicable laws and regulations; Capacity building activity reports	
	1.1.7 IHEC processes reviewed in relation to GoI regulations and procedures (admin, finance, contracts)	0	3	–		Review	
	1.1.8. Number of capacity building activities organised on transparency, accountability and legal framework	0	19	–		Capacity building activity reports	
	1.1.9 Number of personnel (male/female), representatives of relevant Iraqi partner institutions and external stakeholders engaged in capacity building activities on transparency, accountability and legal framework	0	340	–		Capacity building activity reports	
	1.1.10 Percentage of participants satisfied with the relevance and usefulness of the activity	n/a	80%	–		Participant post activity assessments	
	1.1.11 Number of consultants providing technical support to IHEC on improved transparency and accountability	0	5	–		Consultant attendance sheet	

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Reasons for Variance (if any)	Source of Verification	Comments (if any)
JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution							
1.2 IHEC has improved institutional management structures and practices	1.2.1 IHEC SOPs drafted (finance, human resources, information management, administration approval processes)	n/a	5	–		SOPs	
	1.2.2 IHEC reporting guidelines drafted	No	Yes	–		Reporting guidelines	
	1.2.3 IHEC finance, human resources and inventory management systems assessed and upgraded	0	3	–		System assessment reports IHEC finance, human resources and inventory management systems	
	1.2.4 Number of management capacity building activities organised for enhancement of management structures and practices	0	19	–		Capacity building activity reports	
	1.2.5 Number of personnel (male/female) engaged in management capacity building activities	0	400	–		Capacity building activity reports	
	1.2.6 Percentage of participants satisfied with the relevance and usefulness of the activity	n/a	80%	–		Participant post activity assessment	
	1.2.7 Number of consultants providing technical support to IHEC to improve institutional management structures and practices	0	5	–		Consultant attendance sheet	

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Reasons for Variance (if any)	Source of Verification	Comments (if any)
JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution							
1.3 IHEC has enhanced electoral management policies and processes	1.3.1 Assessment of voter registration policies, operational processes and systems completed, in cooperation with relevant Iraqi government bodies	No	Yes	–		Assessment report	
	1.3.2 Study of IDP data and voting patterns completed, in cooperation with MoDM	No	Yes	–		Assessment report	
	1.3.3 Systems for managing political entity and candidate data assessed and upgraded	No	Yes	–		Assessment report	
	1.3.4 Voter information campaign evaluated	No	Yes	–		Evaluation Report	
	1.3.5 IHEC GEO helpdesk and call centre services assessed and improved	No	Yes	–		Assessment report and procurement documents	
	1.3.6 Number of capacity building activities held to enhance electoral management policies and processes	0	27	–		Capacity building activity reports	
	1.3.7 Number of personnel and representatives of relevant Iraqi partner institutions (male/female) engaged in capacity building activities to enhance electoral management policies and processes	0	450	–		Capacity building activity reports	
	1.3.8 Percentage of participants satisfied with the relevance and usefulness of the activity	n/a	80%	–		Participant post activity assessment	
	1.3.9 Number of consultants providing technical support to the IHEC to enhance electoral management policies and processes	0	4	–		Consultant attendance sheet	

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Reasons for Variance (if any)	Source of Verification	Comments (if any)
JP Output 2: IHEC has enhanced human resource capacity by improving staff skills, knowledge and resources at both central and governorate office levels for staff to fulfil their functions effectively							
2.1 IHEC has enhanced internal capacity building and professional development strategy	2.1.1 Internal Capacity Building Department procedures and evaluation tools developed by IHEC	No	Yes	–		Internal procedures	
	2.1.2 Number of personnel (male/female) using resources provided to the IHEC resource centre (books, publications)	0	50	–		IHEC resource centre	
	2.1.3 Number of capacity building activities organised for IHEC CB personnel	0	8	2		Capacity building activity reports	
	2.1.4 Number of IHEC CB personnel (male/female) engaged in capacity building activities	0	67	(8/0)		Capacity building activity reports	
	2.1.5 Percentage of participants satisfied with the relevance and usefulness of the activity	n/a	80%	100 %		Participant post activity assessment	
	2.1.6 Number of capacity building activities[7] organised by IHEC CB Department	n/a	TBD by IHEC	12		Capacity building activity reports	The IHEC has not yet fully developed its plan to 2013. IHEC's current plan for 2011 is 23 activities
	2.1.7 Number of personnel (male/female) engaged in capacity building activities organised by IHEC CB Department	0	TBD by IHEC	335		Capacity building activity reports	307 male and 48 female
	2.1.8 Number of personnel (male/female) fully accredited as BRIDGE facilitator	0	4	–		Capacity building activity reports	
	2.1.9 Number of consultants providing support to the IHEC in delivery of capacity building activities	0	8	–		Consultant attendance sheet	

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Reasons for Variance (if any)	Source of Verification	Comments (if any)
JP Output 2: IHEC has enhanced human resource capacity by improving staff skills, knowledge and resources at both central and governorate office levels for staff to fulfil their functions effectively							
2.2 IHEC staff have improved technical skills to fulfil their functions effectively	2.2.1 Number of capacity building activities[7] organised to enhance technical skills	0	15	–		Capacity building activity reports	
	2.2.2 Number of personnel (male/female) engaged in capacity building activities to improve technical skills	0	298	8 (7/1)		Capacity building activity reports	Number refer to the Graphic design staff trained by Graphic Design Consultant
	2.2.3 Percentage of participants satisfied with the relevance and usefulness of the activity	n/a	80%	100%		Participant post activity assessment	
	2.2.4 Number of personnel (male/female) trained in use of graphic design and translation equipment	0	10	–		Capacity building activity reports	
	2.2.5 Number of consultants providing technical support to improve IHEC staff technical skills	0	5	1		Consultant attendance sheet	Graphic Design Consultant

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Reasons for Variance (if any)	Source of Verification	Comments (if any)
JP Output 3: IHEC has improved technological capacity to manage electoral processes in a sustainable manner							
3.1 IHEC has improved Technological capacities to support electoral processes in a sustainable manner	3.1.1 Number of technological assessments completed	0	2	–		ITC assessment reports	
	3.1.2 Voter registration systems and equipment upgraded	No	Yes	–		Voter registration systems and procurement documents	
	3.1.3 GIS system developed	No	Yes	–		GIS system and procurement documents	
	3.1.4 Number of personnel (male/female) trained on the usage and maintenance of IT systems	0	252	–		Capacity building activity reports	
	3.1.5 Percentage of trainees passing the end of training technical test	n/a	80%	–		Training report	
	3.1.6 ITC Disaster Recovery Plan is developed	No	Yes	–		ITC Disaster Recovery Plan	
	3.1.7 A strategy for improving data entry centre processes is developed	No	Yes	–		Strategy document	
	3.1.8 Number of IHEC staff participating in a study visit on effective and efficient tabulation of results	0	8	–		Capacity building activity report	
	3.1.9 IHEC call centre systems assessed and upgraded	No	Yes	–		Assessment report and procurement documents	
	3.1.10 Number of consultants providing technical support to improve IHEC's IT communication and technology	0	3	–		Consultant attendance sheet	

VI. Abbreviations and Acronyms

- List the main abbreviations and acronyms that are used in the report.

CoR	Council of Representatives
CTA	Chief Technical Advisor
CPAP	Country Programme Action Plan
CPD	Country Programme Document
GEO	Governorate Electoral Office
GoI	Government of Iraq
ICI	International Compact with Iraq
IEAT	International Electoral Assistance Team
IHEC	Independent High Electoral Commission
ITB	Invitation to Bid
ITC	IT and Communications
ITF	Iraq Trust Fund
MDGs	Millennium Development Goal
NDS	National Development Strategy
RFP	Request for Proposal
RFQ	Request for Quotation
SCR	Security Council Resolution
UNAMI	United Nations Assistance Mission in Iraq
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United National Development Group
UNDP	United Nations Development Programme
UNEAD	United Nations Electoral Assistance Division
UNOPS	United Nations Office for Project Services
VRC	Voter Registration Centre

ANNEX I – PROGRAMME PLANNED WORKPLAN 2011

	Sector	Q 1 to end Mar 2011	Q 2 to end Jun 2011	Q 3 to end Sep 2011	Q 4 to end Dec 2011	Agency
Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution						
1.1 IHEC has improved institutional transparency and accountability						
1	Electoral Legal Framework	IHEC development of full workplan on review of electoral legal framework Support IHEC in review of Electoral Legal Framework for CoR election	Review of law on district / sub-district elections internally and with CoR Legal Committee Initiation of internal review on relevant components of Political Party Law Develop and implement briefings on seat allocation with IHEC	Continuation of review of electoral legal framework according to agreed plan Training in legal drafting	Continuation of review of electoral legal framework according to agreed plan	UNDP (UNAMI lead)
2	GoI Laws and Procedures			Recruitment of national legal consultant to consider IHEC processes in relation to GoI financial and administrative laws Assessment of financial and administrative systems against laws	Development and delivery of training on GoI laws	UNDP
3	Complaints		Comparative example(s) on complaints (case studies from other countries)	Recommendations provided to IHEC on complaints processes		UNDP
4	Relationships with External Stakeholders		ToR developed and consultant recruited for relationships with political entities. Workplan defined	Seminar best practices in working with CSOs on public outreach Lessons learned review on working with political entities GEO training on facilitating seminars/briefings	Contract curriculum specialist to review electoral education component of curriculum	UNDP
5	Transparency		Inclusion of IHEC into e-governance programme	Assessment of publication of decisions	Seminar best practices in electoral transparency and accountability	UNDP

	Sector	Q 1 to end Mar 2011	Q 2 to end June 2011	Q 3 to end Sep 2011	Q 4 to end Dec 2011	Agency
**1.2 IHEC has improved institutional management structures and practices**					
6	Human Resources			Assessment of human resources practices and policies. Recommendations provided to IHEC		UNDP
7	Information Management		ToR developed and consultant recruited	Assessment of internal procedures and information management systems completed; policy recommendations developed with the IHEC	Information Management ToT on internal procedures	UNDP
8	Finance and Audit		Training in how to prepare electoral budgets for National Office and GEO staff Development of internal guidelines on development of electoral budgets Development of capacity building plan on finance and audit	Implementation of capacity building plan on finance an audit as agreed	Implementation of capacity building plan on finance an audit as agreed	UNDP
9	Asset management			Consultant recruited (may be covered by IFES) Assessment completed and recommendations delivered to the IHEC.	Initiation of systems development	UNDP
10	Reporting		Initiation of activities on reporting (to be discussed); both internal and to CoR	Recommendations provided to IHEC Development of internal reporting guidelines ToT on reporting		UNDP
11	Management and Coordination		Management and coordination review of conducting voter education campaigns targeting managers of all relevant sectors of IHEC which coordinate with POD on public outreach (April) Focus groups on gender issues Assess available data and develop baselines on relevant gender issues for elections	Seminar functions of district and regional sub-offices Study visit to review structure and functions of the public outreach department of a different electoral commission Gender awareness training	Seminar: comparative analysis on case studies in functions and structure of EMB public outreach Review of structure of IHEC Public Outreach Department Training Strategic and Operational Planning (may be covered by IFES)	UNDP
12	Procurement		Advanced procurement training by UNDP/PSO, May 2011	Basic Procurement training for GEOs Needs assessment following PSO training	Training on how to write specifications (internal) Regional best practices in procurement	UNDP (and UNOPS)

	Sector	Q 1 to end Mar 2011	Q 2 to end June 2011	Q 3 to end Sep 2011	Q 4 to end Dec 2011	Agency
1.3 IHEC has enhanced electoral management policies and processes						
13	Voter Registration	Study visit to AEC for technical staff, February-March 2011. To review data collection, data management, continuous voter registration Activities to be further defined after the Study Visit	Case studies in voter registration (in cooperation with IFES)		Study visit in comparative example of relevant voter registration processes	UNDP
14	Procedures and Training	Development of workshop content for two workshop session (Q2)	Workshop of two sessions: i. Review case study procedures from other countries in terms of a) processes and b) coherence/presentation of procedural documents. To be combined by a parallel training exercise to feed into the procedures analysis. ii. Session aiming to improve quality of cascade training, including a) theory on development of adult education methodologies; b) practical training techniques; c) review and development of recommendations on how to improve quality control of cascade implementation.	Study visit on polling and counting	Support to development of training package for GEO trainers to deliver to VRC staff	UNDP
15	IDP Voting	Analysis of IDP voting initiated Assessment of internal IHEC data	Contract to obtain statistical data of IDP voting patterns Recommendations developed by IHEC for approach to IDP voting for future elections			UNDP
16	Public Information Skills	Guidance to IHEC development of training for public outreach staff on electoral procedures	Training on preparing information for Radio, TV Broadcasts and Newspapers (content) Training on producing audio-visual and printed materials (production process)	Visit to Call Centre for best practices	Visit to Call Centre to review best practices (Iraq)	UNDP

	Sector	Q 1 to end Mar 2011	Q 2 to end June 2011	Q 3 to end Sep 2011	Q 4 to end Dec 2011	Agency
**JP Output 2 IHEC has enhanced human resource capacity to effectively fulfil its roles and responsibilities, at both central and governorate levels**						
**2.1 IHEC has enhanced internal capacity building and professional development strategy**						
17	Capacity Building	Completion of IHEC capacity building procedures	Capacity building Coordination Workshop with GEOs Initiation of guidance on monitoring and evaluation; Work-placement in UN M&E Office, Amman Introductory BRIDGE module for DGs. Possible full accreditation of 1-2 IHEC staff (contribution to programme led by IFES). CB work placement to UN office in Amman	Continuation of monitoring and evaluation support Management of IHEC Resource Centre to be agreed and procurement of resources Finalization of IHEC strategy on BRIDGE	Workshop on development of a capacity building training activity Case studies in capacity building methodologies CB work placement to UN office in Amman	UNDP / UNOPS BRIDGE: IFES, with UNDP support
**2.2 IHEC staff have improved technical skills and knowledge to fulfil their functions effectively**						
18	Graphic Design	IEAT graphic design consultant recruited and deployed to Baghdad (13 Dec – 12 Jan) to advise the IHEC on identification of graphic design equipment (Mac computers and digital printer) and software; Initiation of procurement - Macs & software Development and implementation of training plan on Macs and software updates (27 training days starting 13 Feb)	Procurement completed for Macs and software, installation completed and training on use of equipment implemented Training of Cartoonist in relevant graphic design software for animation Specifications completed and procurement initiated for digital printer	Procurement completed for digital printer and training on its use and maintenance conducted	Study visit on security features for election printed materials and quality control	UNOPS
19	Security		Election security review of CoR election with the Iraqi High Security Committee for Elections Training IHEC PSDs	Training on security risk management for GEOs Assessment security needs for GEOs for an election operation		UNOPS
20	Warehouse management	Analysis of outcomes of LLW on warehousing and logistics. Development of plan for support	Plan finalized and agreed. Initiation of plan for warehouse reorganization (RFP for Service Provider? Training?)	Continuation of warehouse reorganization	Continuation of warehouse reorganization	UNOPS
21	Translation			Assessment of requirements for translation resources	Procurement of resources and equipment for the Translation Section Translation/interpretation skills training	UNOPS
22	Other	Development of training module on project management together with the IHEC and delivery to CB Department	IHEC delivery of training module on project management to other sections PRINCE2 project management training for targeted IHEC staff Training data tracking and management systems	Office Management Training	Presentation skills training Training: how to write business correspondence	UNOPS

	Sector	Q 1 to end Mar 2011	Q 2 to end June 2011	Q 3 to end Sep 2011	Q 4 to end Dec 2011	Agency
**JP Output 3: IHEC has improved technological capacity to manage electoral processes in a sustainable manner**
23	Database Development	1. Training on software development: Training programme developed (estimated 15 months, 9 modules) Development of ToR, advertising RFP, selection and contracting Target date for start of implementation March 2011 2. Guidance on specifications to contract out software development for next Voter Registration Update	Continuation of 1 and 2	Continuation of 1 and 2	Continuation of 1	UNOPS
24	ITC	Recruitment and deployment of international ITC consultant	Recruitment of national consultant to support ITC development at NO and GEOs. Consultant assessment and development of workplan Finalization of training plan and initiation of procurement required for training on networking and ITC maintenance	Initiation of workplan to streamline and re engineer existing ITC system with a goal of increased efficiency Implementation of training plan	Continuation of Q3	UNOPS
25	Call Centre				Assessment of requirements for call centre systems and initiation of procurement process	UNOPS
26	GIS			Recruitment and deployment of GIS consultant Assessment of requirements for GIS hardware, software and training	Finalization of assessment of requirements for GIS hardware, software and training Initiation of procurement process for GIS hardware and software	UNOPS
27	DEC			Results tabulation research visit		UNOPS

ANNEX II – PROGRAMME BUDGET ESTIMATED EXPENDITURE 2011

BUDGET CATEGORY	ESTIMATED EXPENDITURE 2011		
	UNDP AMOUNT (US$)	UNOPS AMOUNT (US$)	TOTAL AMOUNT (US$)
1. Supplies, commodities, equipment and transport	10,000	215,000	225,000
2. Personnel (staff, consultants and travel)	1,472,000	1,111,000	2,583,000
3. Training of counterparts	1,436,531	947,652	2,384,183
4. Contracts	210,000	319,125	529,125
5. Other direct costs	208,363	149,088	357,451
Total Programme Costs	**3,336,894**	**2,741,865**	**6,078,759**
Indirect Support Costs	208,556	171,367	379,923
TOTAL	**3,545,450**	**2,913,232**	**6,458,682**