

United Nations Development Group Iraq Trust Fund
Project #: G11-23
Date and Quarter Updated: 01 July – 30 September 2012 - 3rd Quarter 2012

Participating UN Organisation: UNDP (lead agency), UNOPS	Priority Area : Governance and Human Rights (formerly Governance sector)
Government of Iraq – Responsible Line Ministry: Independent High Electoral Commission (IHEC)	

Title	Institutional Development Support to the Independent High Electoral Commission				
Geo. Location	All Governorates of Iraq				
Project Cost	Total ITF Budget: USD 24, 861, 991 UNDP: USD 13, 947, 279 UNOPS: USD 10, 914, 712				
Duration	36 months				
SC Approval Date	29.09.2010	Starting Date	18.10. 2010	Completion Date	18.10.2013
Project Description	<p>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.</p> <p>The programme objectives are based on the results of a comprehensive IHEC capacity assessment in October/November 2009, recommendations from the IHEC and inputs of international advisors working closely with the IHEC on a day-to-day basis, and lessons learned from recent electoral events. These objectives aim to address significant gaps in the following areas:</p> <ol style="list-style-type: none"> 1. Institutional framework and organisational capacity of the IHEC as Iraq’s permanent electoral institution, established under the constitution; 2. Human resource capacity of the IHEC (staff skills, knowledge and resources) at both central and governorate office levels; 3. Technological capacity of the IHEC to manage electoral processes in a sustainable manner. 				

Development Goal and Immediate Objectives
<p>Development goal: To contribute to an enhanced implementation of electoral processes in Iraq in line with the Governance Sector Outcome 1: <i>Strengthened electoral processes in Iraq</i> and the Iraq National development goal: <i>Strengthening good governance and improving security.</i></p> <p>UNDAF (Links with but after project initiated.): Outcome 1: <i>Improved governance, including the protection of human rights</i> 1.2 <i>The Iraqi state has more efficient, accountable and participatory governance at national and sub-national levels.</i></p> <p>The programme’s immediate objective is: To support the IHEC in its continued institutional development as a sustainable institution within the</p>

government structure of Iraq, carrying out its constitutional mandate independently, efficiently, transparently and accountably, in line with professional standards.

Outputs, Key activities and Procurement	
Outputs	<p>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</p> <p>Output 1.1: IHEC has improved institutional transparency and accountability Output 1.2: IHEC has improved institutional management structures and practices Output 1.3: IHEC has enhanced electoral management policies and processes</p> <p>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</p> <p>Output 2.1: IHEC has enhanced internal professional development and capacity building strategy Output 2.2: IHEC staff have improved technical skills to fulfil their functions effectively</p> <p>JP Output 3: IHEC has improved technological capacity to manage electoral processes in a sustainable manner</p>
Activities	<p>1.1.1 CoR reporting requirements reviewed with the IHEC 1.1.2 Board decisions published in Kurdish and Arabic 1.1.3 IHEC electoral regulatory framework reviewed 1.1.4 Electoral legal framework reviewed in cooperation with CoR Legal Committee 1.1.5 IHEC complaints process reviewed 1.1.6 Institutional framework for dispute resolution reviewed in cooperation with CoR Legal Committee, Accountability and Justice Commissioner, Electoral Judicial Panel 1.1.7 IHEC processes reviewed in relation to GoI regulations and procedures (admin, finance, contracts) 1.1.8. Number of capacity building activities¹ organised on transparency, accountability and legal framework 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 1.1.10 Percentage of participants satisfied with the relevance and usefulness of the activity 1.1.11 Number of consultants providing technical support to IHEC on improved transparency and accountability 1.2.1 IHEC SOPs drafted (finance, human resources, information management, administration approval processes) 1.2.2 IHEC reporting guidelines drafted 1.2.3 IHEC finance, human resources and inventory management systems assessed and upgraded 1.2.4 Number of management capacity building activities organised for enhancement of management structures and practices 1.2.5 Number of personnel (male/female) engaged in management capacity building activities 1.2.6 Percentage of participants satisfied with the relevance and usefulness of the activity 1.2.7 Number of consultants providing technical support to IHEC to improve institutional management structures and practices</p>

¹ Capacity building activity/ refers to training, study visit, workshop, seminar, roundtable or election lessons learned event.

	<p>1.3.1 Assessment of voter registration policies, operational processes and systems completed, in cooperation with relevant Iraqi government bodies</p> <p>1.3.2 Study of IDP data and voting patterns completed, in cooperation with Ministry of Displacement and Migration</p> <p>1.3.3 Systems for managing political entity and candidate data assessed and upgraded</p> <p>1.3.4 Voter information campaign evaluated</p> <p>1.3.5 IHEC governorate helpdesk and call centre services assessed and improved</p> <p>1.3.6 Number of capacity building activities held to enhance electoral management policies and processes</p> <p>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</p> <p>1.3.8 Percentage of participants satisfied with the relevance and usefulness of the activity</p> <p>1.3.9 Number of consultants providing technical support to the IHEC to enhance electoral management policies and processes</p> <p>2.1.1 Internal capacity building procedures and evaluation tools developed by IHEC</p> <p>2.1.2 Number of personnel (male/female) using resources provided to the IHEC resource centre (books, publications)</p> <p>2.1.3 Number of capacity building activities organised for IHEC CB personnel</p> <p>2.1.4 Number of IHEC CB personnel (male/female) engaged in capacity building activities</p> <p>2.1.5 Percentage of participants satisfied with the relevance and usefulness of the activity</p> <p>2.1.6 Number of capacity building activities organised by IHEC CB Department</p> <p>2.1.7 Number of personnel (male/female) engaged in capacity building activities organised by IHEC CB Department</p> <p>2.1.8 Number of personnel (male/female) fully accredited as BRIDGE facilitator</p> <p>2.1.9 Number of consultants providing support to the IHEC in delivery of capacity building activities</p> <p>2.2.1 Number of capacity building activities⁷ organised to enhance technical skills</p> <p>2.2.2 Number of personnel (male/female) engaged in capacity building activities to improve technical skills</p> <p>2.2.3 Percentage of participants satisfied with the relevance and usefulness of the activity</p> <p>2.2.4 Number of personnel (male/female) trained in use of graphic design and translation equipment</p> <p>2.2.5 Number of consultants providing technical support to improve IHEC staff technical skills</p> <p>3.1.1 Number of technological assessments completed (IT and communications)</p> <p>3.1.2 Voter registration systems and equipment upgraded</p> <p>3.1.3 GIS system developed</p> <p>3.1.4 Number of personnel (male/female) trained on the usage and maintenance of IT systems</p> <p>3.1.5 Percentage of trainees passing the end of training technical test</p> <p>3.1.6 ITC Disaster Recovery Plan is developed</p> <p>3.1.7 Strategy for improving data entry centre processes is developed</p> <p>3.1.8 Number of IHEC staff participating in a study visit on effective and efficient tabulation of results</p> <p>3.1.9 IHEC call centre systems assessed and upgraded</p> <p>3.1.10 Number of consultants providing technical support to improve IHEC's IT communication and technology</p>
Procurement	<p>Procurement planned under the project:</p> <ul style="list-style-type: none"> • Resources for the IHEC resource centre (books, publications, equipment) • Graphic Design equipment • Translation equipment (dictionaries, glossaries, simultaneous interpretation)

	<ul style="list-style-type: none"> • Call centre equipment and software • Voter registration equipment and systems • GIS hardware and software equipment • Equipment for implementation of ITC disaster recovery plan
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Funds Committed (UNDP)	3,760,741	% of approved	27 %
Funds Disbursed (UNDP)	3,189,758	% of approved	22.9 %
Forecast final date	18 October 2013	Delay (months)	0

Funds Committed (UNOPS)	5,062,628.49	% of approved	46%
Funds Disbursed (UNOPS)	4,718,197.20	% of approved	43%
Forecast final date	18 October 2013	Delay (months)	0

Funds Committed (total)	8,823,369.49	% of approved	35.5 %
Funds Disbursed (total)	7,907,955.2	% of approved	31.8%

Direct Beneficiaries	Number of Beneficiaries	% of planned (current status)
Men (Target: 1,471)	1,000	68 %
Women (Target: 368)	232	63%
Children	n/a	n/a
IDPs	n/a	n/a
Others	n/a	n/a
Indirect beneficiaries	By contributing to a transparent democratic electoral process, the programme benefits the population of Iraq.	n/a
Employment generation (men/women)	Employment generation does not fall directly within the framework of this programme. However, consultancies or service provision contracts may take place during implementation of the programme, utilising Iraqi trainers and service providers wherever possible.	n/a

Quantitative achievements against objectives and results	Target	Actual	% of planned
Output 1 / UNDP 1.1 IHEC has improved institutional transparency and accountability			38 %
1.1.1 CoR reporting requirements reviewed with the IHEC	Yes	Initiated	8%
1.1.2 Board decisions published in Kurdish and Arabic	All	Yes	100%
1.1.3 IHEC electoral regulatory framework reviewed	Yes	Initiated	7%
1.1.4 Electoral legal framework reviewed in cooperation with CoR Legal Committee	Yes	Partially	30%
1.1.5 IHEC complaints process reviewed	Yes	Yes	100%
1.1.6 Institutional framework for dispute resolution reviewed in cooperation with CoR Legal Committee, AJC, EJP	Yes	Not yet initiated	
1.1.7 IHEC processes reviewed in relation to GoI regulations and procedures (admin, finance, contracts)	3	1	33%
1.1.8. Number of capacity building activities ² organised on transparency, accountability and legal framework	19	6	32%

² Capacity building activity' refers to training, study visit, workshop, seminar, roundtable or election lessons learned event.

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	105 (84 male/21 female)	31%
1.1.10 Percentage of participants satisfied with the relevance and usefulness of the activity	80%	93%	
1.1.11 Number of consultants providing technical support to IHEC on improved transparency and accountability	5	3	60%
Output 1.2 / UNDP IHEC has improved institutional management structures and practices			31 %
1.2.1 IHEC SOPs drafted (finance, human resources, information management, administration approval processes)	5	0	0%
1.2.2 IHEC reporting guidelines drafted	Yes		
1.2.3 IHEC finance, human resources and inventory management systems assessed and upgraded	3	0	0%
1.2.4 Number of management capacity building activities organised for enhancement of management structures and practices	19	14	74%
1.2.5 Number of personnel (male/female) engaged in management capacity building activities	400	196 (145 male/51 female)	49%
1.2.6 Percentage of participants satisfied with the relevance and usefulness of the activity	80%	96%	
1.2.7 Number of consultants providing technical support to IHEC to improve institutional management structures and practices	5	4	80 %
Output 1.3 / UNDP lead w UNOPS IHEC has enhanced electoral management policies and processes			44 %
1.3.1 Assessment of voter registration policies, operational processes and systems completed, in cooperation with relevant Iraqi government bodies	Yes	Initiated	15%
1.3.2 Study of IDP data and voting patterns completed, in cooperation with MoDM	Yes	Initiated	5%
1.3.3 Systems for managing political entity and candidate data assessed and upgraded	Yes	Not yet initiated	
1.3.4 Voter information campaign evaluated	Yes	Not yet initiated	
1.3.5 IHEC GEO helpdesk and call centre services assessed and improved	Yes	Initiated	5%
1.3.6 Number of capacity building activities held to enhance electoral management policies and processes	27	22	81%
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	368 (302 male /66 female)	82%
1.3.8 Percentage of participants satisfied with the relevance and usefulness of the activity	80%	96%	
1.3.9 Number of consultants providing technical support to the IHEC to enhance electoral management policies and processes	4	3	75%
Output 2.1 / UNDP lead w UNOPS IHEC has enhanced internal capacity building and professional development strategy			68%
2.1.1 Internal CB procedures and evaluation tools developed by IHEC	Yes	Part	75%
2.1.2 Number of personnel (male/female) using resources provided to the IHEC resource centre (books, publications)	50	30 (16 male/14 female)	60%
2.1.3 Number of capacity building activities organised for IHEC CB personnel	8	4	50%
2.1.4 Number of IHEC CB personnel (male/female) engaged in capacity	67	107 (86	100%

building activities		male/23 female)	
2.1.5 Percentage of participants satisfied with the relevance and usefulness of the activity	80%	100%	
2.1.6 Number of capacity building activities organised by IHEC CB Department	tbd by IHEC ³	82	n/a
2.1.7 Number of personnel (male/female) engaged in capacity building activities organised by IHEC CB Department	tbd by IHEC	717 (596 male/121 female)	n/a
2.1.8 Number of personnel (male/female) fully accredited as BRIDGE facilitator	4	11 (10 male/1female)	100%
2.1.9 Number of consultants providing support to the IHEC in delivery of capacity building activities	8	2	25%
Output 2.2 / UNOPS IHEC staff have improved technical skills to fulfil their functions effectively			76 %
2.2.1 Number of capacity building activities ⁷ organised to enhance technical skills	15	15	100 %
2.2.2 Number of personnel (male/female) engaged in capacity building activities to improve technical skills	298	254 (211 male/43 female)	85%
2.2.3 Percentage of participants satisfied with the relevance and usefulness of the activity	80%	96%	
2.2.4 Number of personnel (male/female) trained in use of graphic design and translation equipment	10	8	80%
2.2.5 Number of consultants providing technical support to improve IHEC staff technical skills	5	2	40%
Output 3.1 / UNOPS IHEC has improved technological capacities to support electoral processes in a sustainable manner			15 %
3.1.1 Number of technological assessments completed (IT and communications)	2	1	50%
3.1.2 Voter registration systems and equipment upgraded	Yes	Initiated	60%
3.1.3 GIS system developed	Yes	Initiated	10%
3.1.4 Number of personnel (male/female) trained on the usage and maintenance of IT systems	252	12 (11 male /1 female)	5%
3.1.5 Percentage of trainees passing the end of training technical test ⁴	80%	95(Test 1) /98 Test 2)	97%
3.1.6 ITC Disaster Recovery Plan is developed	Yes	Initiated	5%
3.1.7 Strategy for improving data entry centre processes is developed	Yes	initiated	10%
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	Initiated	5%
3.1.10 Number of consultants providing technical support to improve	3	2	67%

³ The IHEC has not yet fully developed its plan to 2013, so there is not yet a target against which to measure this. 2010 activities: 35 activities with 492 participants (421 male / 71 female).
2011 activities: 43 activities with 154 participants (112 male / 42 female).

⁴ Some components of graphic design and database training are included in Output 2.2

IHEC's IT communication and technology			
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Qualitative achievements against objectives and results

During the reporting period, the institutional development programme has continued to provide ongoing support to enhancing IHEC capacity in key priority areas of procurement, public outreach, database development, ICT, project cycle management, and incorporation of gender considerations into electoral processes.

On 17 September, eight IHEC Commissioners were appointed, and the ninth commissioner was appointed on 27 September to serve in the Board of Commissioners for the next four years. Out of the nine commissioners only one is a woman. It is encouraging to note that seven of the commissioners are former IHEC senior and middle managers. The appointment of the Board of Commissioners came as a welcome development for the UN electoral support programme as it will remove constraints on institutional development support and management issues.

The IHEC-UN-IFES held a meeting to discuss the IHEC's Electoral Activity Matrix which outlined activities that will be implemented during the 2013 Governorate Council Elections. The purpose of sharing the matrix was to identify activities that will be undertaken by respective institutions. In view of the Governorate Council Elections, the electoral activity matrix will form the basis of the UN capacity building support to the IHEC for the fourth quarter 2012 as well as the first quarter of 2013.

Output 1.1: IHEC has improved institutional transparency and accountability

As a follow up to recommendations on support to the IHEC on legal issues identified at the institutional development programme mid-year review, a hiring process for a national legal expert was initiated during the quarter in order to have a legal expert on board who take forward specific recommended activities.

A second, advanced training on 'Designing Public Opinion Surveys', took place in Baghdad on 12-15 July for 14 relevant IHEC staff, 12 male and 2 female. The objective of the workshop was to train IHEC staff on how to design public opinion surveys. The evaluation report revealed that the training provided more detailed information to participants on the concept of surveys and how to plan and implement them. The training included a practical exercise in developing surveys and their questionnaires. These were later reviewed by the IHEC and developed into pilot survey projects.

Output 1.2: IHEC has improved institutional management structures and practices

During the reporting period, UNDP continued to provide support in the priority areas of gender and board management.

A four-day introductory workshop on gender principles for the newly established IHEC Gender Working Group took place in Baghdad on 02-05 July 2012, facilitated by the UNDP National Gender Specialist. This aimed to initiate consideration with the Gender Working Group on how to incorporate gender equality principles into electoral processes. Outcomes of the workshop included a draft workplan for the Working Group. 15 participants, 1 male and 14 female attended the workshop. The workshop came up with an annual work plan for gender activities.

A workshop to review lessons learned in board management was held in Erbil on 08 - 12 July. This aimed to review internal management issues for the five-year term of the outgoing Board of Commissioners to identify lessons learned and best practices for the new Board. The workshop came up with a set of best practices and recommendations for consideration by the new Board. The workshop was attended by 12 IHEC participants, 10

male and 2 female, comprising a cross-section of Board of Commissioners, Deputy Commissioners and senior managers.

Output 1.3: IHEC has enhanced electoral management policies and processes

Support under this output focused on enhancing knowledge of electoral processes and broaden awareness of the different options for electoral policies and their technical implementation. In this, support was continued in the area of security management and voter registration.

A workshop on Voter List Quality Control and Electoral Cascade Training took place in Erbil from 2 to 6 September 2012. The workshop reviewed quality control mechanisms of Voter List and Cascade Training, including monitoring reporting, anti-fraud measures and transparency. 30 IHEC staff members, 26 male and 2 female, from the National Office Operations Department and Governorate Elections Offices participated in the workshop. The major outcome of the workshop was a set of standard operating procedures and best practices for electoral cascade trainings. The workshop was organized by UNDP and internally facilitated by the IHEC. A member of the Electoral Assistance Team observed the entire workshop.

A second session of the workshop aimed at improving Voter List Quality Control and Electoral Cascade Training took place in Erbil from 9 to 13 September 2012. Just like in the first workshop, this session reviewed quality control mechanisms and best practices for Voter List and Cascade Training, including monitoring reporting, anti-fraud measures and transparency. 31 IHEC staff members, 29 male and 2 female, from the National Office Operations Department and Governorate Elections Offices participated in the workshop. The workshop had been organized by UNDP and was internally facilitated by the IHEC. During the workshop, the UNDP Electoral Project Assistant made a presentation on Libya Out of Country Voting (OCV) which took place in Jordan. A member of the Electoral Assistance Team was also in attendance to observe the workshop.

A first session of the GIS (Geographic Information System) / GPS (Global Positioning System) training took place in Erbil from 10-13 September, 2012. Participants included 25 IHEC staff, all male, (one facilitator and four staff from the National Office, and 20 staff from the GEO Security Coordination Sections). The course was designed to provide an understanding of the fundamentals of GPS; to familiarize participants with GPS devices; to ensure participants are able to properly obtain position coordinates; to provide an overview of entering information accurately into a GIS database and verifying coordinates in a GIS database and to better assist the IHEC Security personnel in tracking vehicles transporting voter ballots as well as other election related items for upcoming elections. The reports from the workshop indicated that it was successfully implemented with a strong focus on practical applications of GIS/GPS technology. The GPS part of the training was delivered by the UN Information and Analysis Unit (IAU). The training was implemented by UNOPS and the GIS software training was conducted by the UNAMI- Database Advisor and the UNOPS Database Administrator. GIS software was developed for IHEC specific but limited use as an initial step with an intention of getting IHEC full GIS software license when capacity of staff advances further.

A second session of the GIS/GPS training which took place in Erbil from 15-16 September, 2012, was successfully implemented. Participants included 25 IHEC staff, all male, (one facilitator and 24 staff from the Data Management Sections from the National Office and the Governorate Elections Offices). The training was implemented by UNOPS and the GIS software training was conducted by the UNAMI- Database Advisor and the UNOPS Database Administrator.

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

Electoral programme staff continued to provide guidance to the IHEC Capacity Building Department on development and implementation of internal IHEC projects and activities. This includes improving coordination with the Governorate Elections Offices on implementation of activities, developing appropriate activity tracking mechanisms and the establishment of a resource centre. All guidance to the IHEC Capacity

Building Department is undertaken jointly by UNDP, UNOPS and UNAMI.

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

Following consultations with IHEC, UNOPS will proceed with an RFP for services in software and database development for IHEC. This step will ensure that IHEC staff will be properly supported while developing essential software for the voter registration as well as for tabulation of results.

UNOPS contacted the PRINCE 2 service providers in order to get recommendations for IHEC participants in the next level of training based on their previous performance.

Discussions took place with the Head of Administration and the Capacity Building Department on how best to support the development of IHEC's Human Resources Section's administrative systems, processes, skills in paper and electronic archiving and database management. Plans to hold a workshop in paper and electronic archiving were finalized and two sessions of training have been approved for implementation in the fourth quarter. Further to this, discussions will be held on the possibility of supporting human resources systems of the IHEC, in line with priority areas identified during the recently held Institutional Development Programme mid-term review. However, due to the IHEC's shift of priority towards strictly election-specified activities, it remains to be seen whether the above-mentioned workshops will be implemented or not.

Output 3: IHEC has improved technological capacities to support electoral processes in a sustainable manner

UNOPS hired an International ICT advisor to oversee the continued implementation of this output. The advisor was deployed in August 2012.

Four IHEC Staff from HQ IT and Database sections completed a study visit to UNAMI Erbil office from 12 to 13 August 2012. The IHEC team visited the UNAMI primary data centre as well as the Business Continuity and Disaster Recovery (BCDR) facilities. The team also reviewed the data centre power conditioning and cooling systems in use by UNAMI to provide critical services round the clock to its users. The UNAMI team presented an overview of the Metropolitan Area Network (MAN) which extends between UNAMI and Kurdistan Regional Elections Office providing telephony and data connectivity between the two offices over Radio Frequency (RF).

Following a review of the ICT infrastructure, the UNAMI team presented the process and procedures in place in line with IT Service Management (ITSM) best practices framework. This included an overview of the Service Desk tool and process as well as Network Management System (NMS) for proactive and reactive event and incident management.

UNOPS completed a procurement process for Network testing equipment and Network Monitoring System for the IHEC. Expected delivery is by the end of October 2012.

The ICT Advisor finalized the TOR for the DEC network cabling. UNOPS started the procurement process for the required support.

Main implementation constraints & challenges (2-3 sentences)

Two main developments presented challenges to timely implementation of some activities of this project:

- 1- Delay in the appointment of new members of the Board of Commissioners: Repeated delays and short term extensions for the incumbent Board of Commissioners term with limited authority caused some of the essential decisions such as training activities to be delayed. In addition, political pressure on the outgoing board prevented them from initiating new activities.
- 2- The shift of IHEC's focus from institutional capacity building to operational priorities due to the preparations for the Governorate Council Elections that are scheduled for the first quarter of 2013.