

United Nations Development Group Iraq Trust Fund

Project: 66937: F8-07

Date and Quarter Updated: 1 July 2012 – 30 September 2012 - 3rd Quarter 2012

Participating UN Organisation: UNDP Sector: Protection/Priority Area One: Governance & Human Rights

Government of Iraq – Responsible Line Ministry:

Relevant Iraqi Local Authorities who support NGO and INGO in realising projects. Please kindly refer to list at end of report for partner NGOs.

Title	Support to the Expanded Humanitarian Response Fund (ERF)				
Geo. Location	Iraq–Countrywide				
Project Cost	USD\$19,912,595.50				
Duration	24 months extended to 25 months				
SC Approval Date	13/11/2008	Starting Date	19/11/2008	Completion Date	19/11/2010 extended to 31/12/2012
Project Description	<p>The Expanded Humanitarian Response Fund has the aim to help fill critical humanitarian gaps within different sectors through readily available flexible funding for emergency response to:</p> <ol style="list-style-type: none"> 1) Save lives or protect threatened livelihood; 2) Meet critical short-term humanitarian needs; 3) Respond to sudden onset complex humanitarian emergencies. <p>The ERF quickly responds to undertake urgent humanitarian activities in Iraq reflecting a flexible and localized approach to humanitarian action. Specifically, the Programme provides a useful channel to better target funds for unmet/urgent needs as a result of geographic, sectoral and funding gaps in humanitarian response and/or government capacity.</p>				

Development Goal and Immediate Objectives

Outcome 1: Improved support to vulnerable Iraqis through timely delivery of humanitarian assistance and protection.

Outputs, Key activities and Procurement

Outputs	<p>Output 1.1: Protection needs and gaps in essential services for vulnerable communities affected by crisis in Iraq are met.</p> <p>Output 1.2: Improved capacity, coverage, coordination and impact of humanitarian action</p> <ol style="list-style-type: none"> a) Enhanced capacity of NGOs at the field level through support of projects responding to key gaps. b) ERF projects respond to identified needs based on updated data analysis (information). <p>Output 1.3: Strengthened links between immediate action for families in crisis and support for early recovery.</p> <p>Output 1.4: Enhanced emergency preparedness to respond to crises in Iraq.</p>
Activities	<ol style="list-style-type: none"> 1.1.1 Actively invite, process, and select projects responding rapidly to humanitarian key gaps, and disburse funds accordingly. 1.1.2 Monitor and evaluate impact of funded projects. 1.1.3 Administer the processing of funds directly to implementing partners. 1.1.4 Consult with SOTs and relevant partners to invite projects targeting key humanitarian gaps. 1.2.1 Actively invite, process, and select Iraq NGO projects responding rapidly to humanitarian key gaps. 1.2.2 Monitor and evaluate impact of funded projects. 1.2.3 Provide TRC with regular updates on current humanitarian trends.

	1.3.1 Prioritize projects that have the potential for creating an enabling environment/compliment recovery activities already taking place.
	1.4.1 Consult with relevant partners inviting projects for pre-positioning of essential items for sudden onset crisis.
	1.4.2 Pre-position by relevant agencies both within Iraq and Jordan of essential items to facilitate rapid response capacity.
Procurement	The modality of programme execution is through grants/MOUs to implementing partner NGOs. Therefore, implementing partners are responsible for procurement of project inputs in accordance with the programme's guidelines which is monitored by UNDP staff.

Funds Committed	USD 19,247,816	% of approved	96.66%
Funds Disbursed	USD 18,626,591	% of approved	93.54%
Forecast final date	31/12/2012	Delay (months)	25

Direct Beneficiaries	Number of Beneficiaries	% of planned (current status)
Men	111,357	N/A
Women	330,192	N/A
Children	271,956	N/A
IDPs	183,314	N/A
Others	516,858	N/A
Indirect beneficiaries	39,563	N/A
Employment generation (men/women)	1,238	N/A

Quantitative achievements against objectives and results		% of planned
Protection needs and gaps in essential services for vulnerable communities affected by crises in Iraq are met.	<ul style="list-style-type: none"> Ninety six (96) projects for the total amount of USD \$18,205,818 have been funded by the programme as of 30 September 2012. The unused funds from closed grants and reprogrammed amounted to USD 493,759 at the end of Q3 2012. During the reported Quarter, six new projects were funded for USD 899,961. Four new projects are under WatSan and two projects are under the Education Sector. Sectors most frequently funded to date are: <ul style="list-style-type: none"> - WatSan 38%; - Shelter 23%; - Education 16%; - Agriculture 12%; - Health 6%; - Food 3%; and - Protection is 2%. By the end of reporting period, eighty (80) projects are completed with operational and financial closure with final reports submitted by implementing partners and reviewed. Seven (7) additional projects are operationally completed with the implementing partners either working on their required closure reporting or their submitted reporting is 	100% of the total dedicated programme budget is committed for this output. 94% of dedicated budget is disbursed.

	<p>presently under review.</p> <ul style="list-style-type: none"> • The funded projects served and will be serving an estimated 713,505 beneficiaries in all sectors. 35% of mentioned beneficiaries are under each of Health and WatSan sectors, 11% under Shelter, 9% under Agriculture, 7% under Education, 3% under Food and less than 1% under Protection. • During the reported quarter, the funded projects were to conduct seven activities in six governorates (Diyala, Salaldin, Wassit, Anbar, Babil, and Ninawa) 	
<p>Improved capacity, coverage, coordination and impact of humanitarian action.</p>	<ul style="list-style-type: none"> • The eighteen (18) Field Information and Coordination Officers (FICOs) cover all Governorates nationwide. The IFCOs strengthen the monitoring and follow-up on the execution in the field. FICOs are funded by UNAMI to cover the previous role of OCHA’s Iraq Field Coordinators , which was abolished with OCHA phasing out. Some FICO positions were not filled yet, but coverage was obtained through the support of DHS/UNAMI. • Sector Outcome Teams (SOTs) are groups of UN agencies and international partners who have technical expertise in specific areas, such as health, shelter, water and sanitation. The SOTs confirm the need and priorities of their relevant sectors based on statistics and information, including known gaps with approval by the Human Coordinator. With the signing of the UNDAF a new structure was established which transformed the SOTs into eight Priority Working Groups covering UNDAF sectors. • All projects (100%) are reviewed by Priority Working Groups (PWGs) and a Technical Review Committee before the approval of funding. • To improve the roles of the Priority Working Groups (PWGs) and Technical Review Committee (TRC), they are updated on ERF progress and spending related to each sector through PWG meetings and upon request. • A training workshop was held in Erbil during February 2010 for NGOs that are based in the northern part of Iraq. 22 participants from 22 different NGOs attended the workshop, introducing the full cycle of the ERF programme as a funding mechanism. The workshop discussed ERF’s criteria and procedures starting from submitting and approving proposals, through funding and execution, ending up with submitting required reporting. • To assure maximum coverage, another two training workshops were held in Erbil in March 2010 covering NGOs in the central and southern governorates of Iraq. More than 49 participants attended the two (2) workshops representing 	<p>94% of the planned progress was accomplished based on indicators, taking in consideration the geographic coverage.</p>

	<p>49 Iraqi and international NGOs.</p> <ul style="list-style-type: none"> • 83% of funded NGOs under the programme were national Iraqi NGOs. This Programme as of 30 September 2012 partnered with 54 Iraqi NGOs and 11 International NGOs. Please refer to list of implementing partners at the end of this report. • The programme covers all of Iraq, conducting 117 activities in 18 Governorates. 	
Strengthened links between immediate action for families in crisis and support for early recovery.	All ERF projects are prioritized by the Priority Working Groups (PWGs) and TRC Committee to support projects with potential early recovery activities and critical shortfalls in the MDGs.	100%
Enhanced emergency preparedness to respond to crisis in Iraq.	<p>The Programme funded one grant to supply life saving medical items to Public Emergency Departments in Iraq, covering nine (9) Central and Southern Governorates targeting an estimated 21,000 crisis-affected individuals accessing emergency rooms. The project originally was targeting 15 governorates, but actually covered 9 based on continuous rapid assessment. The estimated gender ratios of beneficiaries are: 40% children, 35% women and 25% men.</p> <p>62% of the distributed items were consumed and 38% of distributed items were pre-positioned at the Ministry of Health Emergency Departments/Hospitals. The above is reflected in the project's final narrative and financial project reports.</p>	75% of planned activities taking in consideration the geographic coverage and the programme's new period. Progress remained static as the ERF Fund Management Cell did not receive any valid emergency preparedness proposals up to the reporting period

Qualitative Achievements against Objectives and Results

- The ERF Charter was improved and finalized by OCHA in March 2009, providing a detailed description of the requirements and procedures of ERF as a funding mechanism. The Charter enhanced and detailed most of the guidelines and procedures indicated in the ITF Programme Document.
- Several procedures and forms were reviewed and created for a better execution of projects.
- A new structure was established with additional analysis and formality to determine eligibility of applicants, to avoid wasting the efforts and time of SOTs and TRC in reviewing proposals from ineligible organizations 3rd Q 2009.
- Established the position of Iraq Field Coordinators in Iraq: Seventeen (17) IFCs were hired by OCHA covering Iraq's Governorates, with recruitment in process for the IFC Ninewa. The IFCs strengthened the

programme's abilities in monitoring and follow-up on the executed projects in the field.

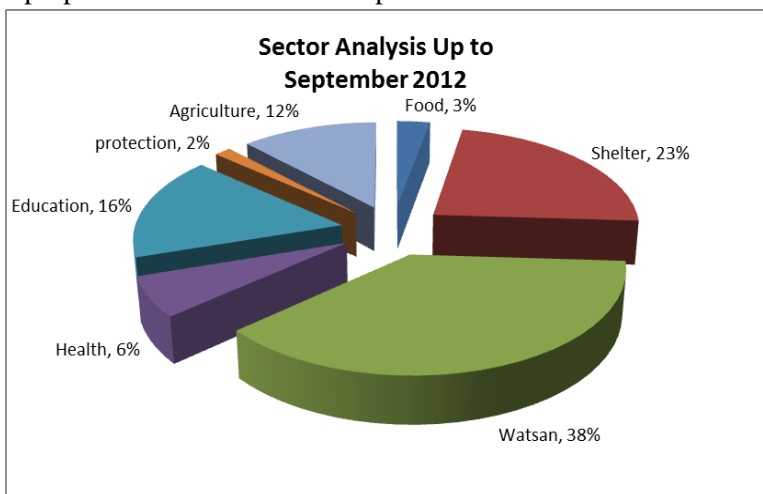
- A new Technical Review Committee (TRC) for reviewing ERF proposals under all sectors was assigned for another six-month term through June 2010.
- Payment cycle has been reviewed, tracked and improvements were made within areas under our control.
- The approval process with Sector Outcome Teams (changed to Priority Working Groups) and TRC has been reviewed and improved where possible. OCHA increased their follow-up efforts and created new mechanisms to improve the time needed for the process.
- A training workshop was conducted during 13–16 December 2009 in Erbil Iraq for seventeen (17) IFCs and eleven (11) Information Management Officers who can become involved in the future. The content of the Workshop was on the full cycle of the ERF Programme from receiving proposals, through approving/funding them, to proper closure of executed projects. Based on the feedback of the trainees, the workshop helped the participants understand the phases of the programme, which enriches OCHA's staff capacity in the field to conduct proper monitoring, follow up and reporting on executed projects.
- A draft Standard Operation Procedures (SOPs) was made to cover the full cycle of ERF Programme's steps and procedures, and to specify roles and responsibilities of the implementing partners, OCHA and UNDP.
- Three workshops were conducted for partner Iraqi and international NGOs during February and March 2010. The workshop's aims were to promote the programme and increase the professional capacity of NGO partners in their proposal and reporting quality. The workshops introduced the full cycle of the programme, covering all major steps that NGOs go through from submitting the proposal, funding and execution, ending with reporting and closure. About seventy-five (75) participants attended the three workshops representing seventy-five (75) Iraqi and international NGOs. The received feedback from participants was positive, indicating more understanding to the process and the reporting requirements.
- OCHA and UNDP conducted a presentation with a status report for the ITF Steering Committee requesting approval for the second earmarked budget for the programme which the Steering Committee approved releasing the second budget of \$4.9 million to the project. UNDP submitted all required documents for the budget revision and fund release.
- UNDP commissioned a mid-term evaluation for the programme. A professional consulting firm was contracted to evaluate the ERF programme. Areas of evaluation include the programme as a funding mechanism, and to evaluate a representative sample of funded/executed projects during 2009, analysing the projects impact. Lessons learned and conclusions are finalized and are shared with stakeholders in reported quarter. Feedback from stakeholders with responses to them was included in the evaluation report which was finalized Q3 2011.
- To improve the programme's strategy in attracting quality proposals that respond to the priorities within the different Sector Outcome Teams after the UNDAF Priority Working Groups, a request was sent to all sectors to identify their needs and priorities that can be supported within the ERF mandate. The WatSan and Shelter Sectors responded and their priorities have been posted on the ERF webpage.
- The ERF Fund Management Cell started to utilize the identified needs by respective SOTs/Priority Working Groups in screening and prioritizing the submitted proposals.
- In order to improve and expedite the approval process of ERF proposals, ERF Project Manager conducted several meetings and discussions with the Humanitarian Coordinator (HC), OCHA and the Steering Committee Support Office (SCSO) to discuss the role of Technical Review Committee (TRC). The consensus was to develop a different role for the TRC from directly reviewing proposals to an advisory role on the programme's direction and strategy. The suggested new role was officially presented to the UNCT through a modified version of the ERF Charter. However, and due to the short remaining time left for receiving and reviewing, it was decided to keep the role of TRC as it is.
- UNDP Project management went through all aspects related to OCHA phasing out by end of Q1 2011, to be prepared for a full implementation by UNDP starting from Q2 2011. This included maintaining the ERF webpage, maintaining the role of Field Coordinators (funded by UNAMI), and personnel were recruited. In April 2011, UNDP took full implementation responsibility of the ERF programme.
- As UNDP took the full implementation of the programme, the project management conducted a thorough analysis to the programme's outputs, and put strategies to respond to the output gaps. Based on that, additional screening criteria were set when screening for ERF proposals, taking in consideration

underfunded governorates and sectors.

- In order to maintain the quality of funded projects, and considering the time needed for implementing and reporting funded project, UNDP submitted a comprehensive time extension request indicating the need for a one year no-cost extension to assure a proper closure to the Programme as a granting fund. A comprehensive and detailed plan was set for an operation closure to the programme by 31 October 2012 which was approved by the Iraq Trust Fund Steering Committee..

- Extra efforts were invested to promote proposal submission that responded to needs in under-funded governorates, seeking full coverage of Iraqi governorates during 2012. Which has been successfully reached in 2nd Quarter 2012.

- The ERF Programme was selected for an audit under UNDP's regular auditing efforts for its projects that are directly implemented (DIM). In 4th Quarter 2011, one auditing firm out of five was selected through the process that is managed by UNDP's Regional Office. The Regional Office was responsible for supervising the auditing process, and for reviewing and accepting the final audit report. In



December 2011, the ERF Programme was audited by the selected auditing firm, going through the financial management of the ERF fund starting with the approval process of proposals, through the execution of funded projects, and ending with the closure of grants after full execution of funded projects. The audit covered all financial and managerial aspects related to the programme for two fiscal years (2009 and 2010), for programme expenditures that was roughly USD 12 million. The auditor report was finalized and submitted 1st Quarter 2012, with a conclusion of no reportable issues within the Expanded Humanitarian Response Fund.

- Through continuous efforts to support needs within the mandate of the ERF in the under-funded governorates, the ERF Programme successfully managed during Q2 2012 to go nationwide, covering all of Iraq and conducting activities in each of the 18 governorates.
- To insure proper closure of the fund, a time extension request was submitted to the Head of Steering Committee to extend the programme by two months through end of December 2012. Reason for the extension was to the delay with some NGOs to provide updated registration certificates under the new NGO laws in Iraq, which is a criteria for the NGOs to be granted funds. This delayed the granting process, and in order to achieve proper closure more time was required. The time extension request was approved by the Head of SC.
- Analysis of funded projects up to the end of Q3 2012 by Sector:

Sector	Amount (\$)	%	# of Beneficiaries	%
Food	533,255.93	3%	21,596	3.03%
Shelter	4,190,239.38	23%	78,372	10.98%
WatSan	6,851,071.50	38%	249,652	34.99%
Health	1,160,856.62	6%	248,215	34.79%
Education	2,999,038.38	16%	46,429	6.51%
Protection	275,518.00	2%	3,008	0.42%
Agricultural	2,195,838.00	12%	66,233	9.28%
Total	\$18,205,817.81	100%	713,505	100%

Note: Awarded amounts and results of projects can differ after closing the projects for the actual

expenditures and results.

Main Implementation Constraints and Challenges

- With the change in the MNF-I structure and withdrawal from cities, there is a risk of increased violence with the implications presently not known.
- There are an insufficient number of slots in Iraq for UN staff and limited opportunities for movement into the Red Zone. This makes it more challenging to follow-up and to monitor the executed projects in the field.
- To mitigate the impact of risk, a field coordination structure has been established in each Governorate.
- NGOs are requested to send a signed vendor form that includes all the necessary required banking information. Sometimes the received information is not accurate; as a result, the internal vendor approval process becomes delayed affecting the authorization of payments and transfer of funds.
- The banking system in Iraq can delay receiving payments which in turn can affect the execution timeline of funded projects.
- The main programmatic challenge is to avoid delay in the approval process for the many received proposals due to the following constraints:
 - Lack of consistent and quality feedback on proposals from some of the Sector Teams, which delays the overall approval process.
 - Slow response from some NGOs to the SOTs and TRC questions and concerns, due to weak capacities.
- The unstable changing environment with the Iraqi Government could affect the cooperation and response by the relevant Iraqi Local Authorities to ERF Projects with potential affect on priorities, security measures, budgets and commitment levels of relevant Local Authorities.
- The new registration process for NGOs in Iraq is a very lengthy and difficult process, which is delaying approving the successful proposals or delaying the implementation of approved projects since a valid registration certificate is one of the NGO eligibility criteria for the ERF programme. Direct follow up and communication with the NGO Directorate is taking place by the ERF Fund Management Cell and Field Coordinators in order to expedite the process. This delay will lead to the need for an time extension request toITF for additional time for operational closure. The no-cost extension request will be submitted officially to ITF September 2012.
- With the current situation in Syria, Iraqi refugees from Syria are returning to Iraq, which is making a good number of them to be IDPs and highlighting the remaining and original challenges they face It is anticipated that the problem may grow before the end of the year. Whilst the ERF current funding cannot respond to the needs due to the closure of the ITF and all remaining funds committed to current pipeline proposals, several NGOs are already approaching the ERF Programme on this matter. It is emphasized that the ERF remains in place and can respond quickly if/as the need arises if funding is made available, especially as OCHA is not present.

List of Implementing Partners

Iraqi and International NGOs Up to End of 3rd Quarter 2012

No	Partner NGO
Iraqi National NGOs	
1	Afkar Society for Development
2	The Iraqi Democratic Women Group
3	Dhi Qar Forum for Civil Society Development
4	Humanity Al Zahra Association for Human Rights
5	Al GHAD League for Woman and Child
6	The United Foundation for Relief and Abiding Development (FUAD)
7	Darya Center for Developing Women and Community
8	Iraqi Civil Society Institute
9	New Iraqi Woman Organization
10	Iraq Relief Organization (IRO)
11	PANA Center for Combating Violence Against Women
12	Love and Peace Society
13	Iraqi Salvation Humanitarian Organization (ISHO)
14	Harikar NGO
15	Disabled Children's Care Organization
16	Haraa Humanitarian Organization
17	Iraqi Youth League
18	Brotherhood Association Humanity of Human Rights and Defending the Rights of Deportees and Effecteds
19	Mamoura Humanitarian Establishment
20	The Development Foundation for Culture, Media and Economy (DFCME)
21	Charitable Association for Taking Care of Widows and Orphans / Al Anbar / Al Ramady
22	Smile Organization for Relief and Development
23	Iraqi Health and Social Care Organization (IHSCO)
24	Kurdistan Reconstruction and Development Society Organization (KURDS)
25	Iraqi Al-Firdaws Association
26	Youth Activity Organization
27	Al Erada Organization of Aids and Development
28	Kurdish Human Rights Watch, Inc. (KHRW)
29	Kurdistan Reconstruction and Development Organization (KURDO)
30	Voice of Older People
31	Agrozeo NGO

32	Kanz Organization
33	Happy Family Organization for Relief and Development - HFORD
34	Iraq Reproductive Health & Family Planning Association (IRHFPA)
35	Kurdistan Relief Association (KRA)
36	South Youth Organization
37	Kurdistan Villages Reconstruction Organization (KVRA)
38	Al Janaen Organization for Society Rehabilitation
39	Youth Save Organization
40	Sorouh for Sustainable Development Foundation
41	Al-Ethar Humanitarian Foundation
42	Akad Cultural Institute
43	Al-Tadamon Ligament for Sporting & Youth
44	Voice of Independent Women
45	The Iraqi Development and Peaceful Coexistence
46	Al Salam Humanitarian Organization
47	Iraq Youth League (IYL)
48	Iraq Tent Association for Relief (ITAR)
49	Al-Rafidain Feministic Organization
50	Aalie Al-Furat Foundation for relief & Development & Human Rights
51	Tanmea Wa Al-Nuhud Iraqi Organization
52	Right Owners Organization
53	Ibn Al-Iraq Cultural Humanitarian Institution
54	Al- Rawabit Al Shababia Organization
International NGOs	
1	Peace Winds Japan
2	Premiere Urgence (PU)
3	Islamic Relief Worldwide
4	Millennium Relief & Development
5	Norwegian Church Aid
6	War Child UK
7	Japanese Emergency NGO – JEN
8	Relief International (RI)
9	Human Relief Foundation – UK
10	Un Ponte Per (UPP)
11	ACTED (Agency for Technical Cooperation and Development)