UNITED NATIONS DEVELOPMENT GROUP IRAQ TRUST FUND
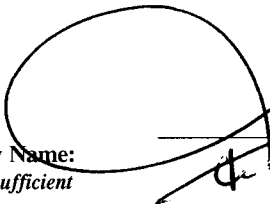
PROJECT DOCUMENT COVER SHEET

Participating UN Organisation: *(acronym is sufficient)* UNDPA-EAD / UNDP		Cluster: *(number and area)* 11 – Electoral Assistance
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Programme/Project Title: Support to Elections (Phase III) Programme/Project Number:		Programme/Project Location: Iraq
Programme Description: This project is aimed at providing timely the Independent Electoral Commission for Iraq (IECI) with essential and urgent services, to conduct free and fair elections by January 2005.		**Programme/Project Costs:** **UNDG ITF:** USD 34,501,257 Direct Costs: USD 33,174,286 Indirect Costs: USD 1,326,971 **Government Input:** **Other:** **Total: USD 34,501,257**
Govt of Iraq Line Ministry Responsible: The Independent Electoral Commission of Iraq (IECI)		**Programme/Project Duration:** 4 months

Review & Approval Dates:
Cluster Review Date: Fast track
Cluster Manager Group Review Date: Fast track
Steering Committee Approval Date: 8 October 2004
ISRB Approval Date: n/a

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	Signature	*Date*	*Name/Title*
UN Agency Name: *Acronym is sufficient* EAD		8 October 2004	Boualem Aktouf UNDP Country Director
Chairman UNDG ITF SC:		8 October 2004	Roger Guarda Acting Chairman of UNDG ITF Steering Committee

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Development Goal and Key Immediate Objectives: *(no more than one paragraph)*

The Independent Electoral Commission of Iraq (IECI) is the exclusive electoral authority in Iraq during the transitional period. The first mandated elections are to take place no later than 31 January 2005 and will include elections to the National Assembly, the Kurdistan National Assembly, and Governorate Councils.

In order to preserve the possibility of holding timely elections, the IECI has requested the services of UNDP through the NEX modality with the IECI serving as the executing entity on behalf of the Interim Government of Iraq.

This project addresses simultaneously two specific issues:
- the personal security of the members of the IECI during a period of the 12 months;
- the timely preparation of an Iraq voter registration data base

The document sets forth the technical specifications, scope of responsibilities and management arrangements for the IECI to procure and contract both above-mentioned contracts with UNDP executing the payments resulting from these contracts on behalf of the IECI after due certification by EAD.

Outputs and Key Activities: *(Please be concise and ensure the narrative above does not exceed this page)*

The objective and outputs of this project are to contribute to the electoral process in Iraq, by:
- providing adequate security to members of the board of commissioners of the IECI for a duration of twelve months and in so doing allow for the smooth discharge of their duties as the key officials in Iraq responsible for elections
- supporting the scanning and entry of registration data and in doing so ensure the inclusion of all those eligible to vote in the upcoming elections
- facilitating the smooth transfer of electoral equipment and materials into Iraq and in so doing allowing for the timely set up of the governorate electoral offices and registration centers
- diseminating in Arabic (and Kurdish when applicable) the regulatory and administrative procedural framework for elections to the population at large as well as the registration and polling procedures to those involved in the electoral process

... all in order to meet the objectives set forth in SCR 1645 (2004).

Note: This cover page supersedes any other cover page for the same project Elections Phase III. The total budget of the project has been increased from the earlier release of $15,750,000 to reflect the final price of the contract for the data center as well as to include a 12-month contract for close protection services to the IECII at an additional cost of 10,239,286 USD. It also reflects a decrease in the Agency General Management Service fee from 5 to 4 %.

2. Logical framework			
Objectives	**Measurable Indicators**	**Means of Verification**	**Important Assumptions**

Development Objectives
 	
Within very tight timeline, assist the IECI to contract a data-management company in order to be able to start producing voters registry based on the PDS
   1- 1st October- Develop software and test it
   2- 1st November + December, input of data
   3- Jan Printing of voters Register
	IECI took possession of the current version of the database (august 2004) from the ministry of trade. Further crucial activities are required by the database management company to migrate the date into forms that will be used to start and complete the registration exercise.		Availability of funds
			
			Smooth and orderly provisions of instructions from IECI
			
			Identifying a company with the capacity to complete the task within timeframe

Immediate Objectives Assist the IECI to immediately contract a data-management company to establish data center	Timely and orderly delivery services		
Outputs Voters Register	Timely conduction of contracting a data management company via UNDP with the assistance of EAD electoral experts and IECI in identifying supplier.		Intended outputs subject to smooth delivery of services in a timely schedule Waivers for competitive bidding timely granted (only on exceptional basis)
Activities	**Inputs**		
1 Retrieve data from the ministry of trade and IECI to take possession. – completed. 2 Signing of a contract no later than 26 September 2004 to manage and prepare database in a manner to be used for the registration exercise. For immediate action 3 Appoint, a database expert by EAD to assist the IECI in this activity which is extremely essential to the electoral operation. Done	EAD advisory management UNDP – sign contract with database management company Total Budget Estimated: 15,750,000 – Cluster 11 earmarked		

3. Programme Justification

3.1 Background

1. Ideally, a new and independent voter registration exercise, under the control of the IECI, should be conducted to develop a voters register for Iraq. Through such an exercise, the IECI would have full ownership of the database and be able to better ensure the credibility and legitimacy of the register. A full and visible field exercise would also be more transparent and trustworthy to the Iraqi public than the use of other datasets to develop a voters register.
2. To develop a voters register using a full registration model, several key infrastructural aspects need to be in place before registration can start. These include:
   a) Recruitment and training of one Regional and 18 Governorate Electoral Officers (three weeks – to be completed by end of August) through a recruitment effort to be initiated by the Board of Commissioners of the IECI.
   b) Establish Regional and Governorate Electoral Offices and recruitment of all staff for the R/GEOs (four weeks – to be completed by end of September) through action initiated by the Chief Electoral Officer.
   c) Recruitment of 900 Election Officers (2 Election Officers for each of 450 Sub-Governorate Electoral Offices) (two weeks, completed mid-October).
   d) Training of the 900 Election Officers (two weeks, completed end October)
   e) Identification and securing approximately 6,000 registration/polling locations (each registration/polling location would service an average of 2,500 voters), together with the recruitment and training of associated staff. Each pair of Election Officers would be responsible to identify and secure on average 15 Registration/Polling Centres (six weeks, to be completed mid-December)
   f) All data (e.g. geographic information, name of the facility, contact details, etc.) from Registration/Polling Centres should be imported into the voters register database (simultaneous to identification - to be completed mid-December).

3. Simultaneous to these activities, the following should also be in place before registration can start:
   a) Recruitment of Senior Trainers in the Governorates (two weeks, completed by end of September). Note, this can only start once the Governorate Electoral Officers have been appointed.
   b) Design of a registration procedural training programme, followed by the training of Senior Trainers in the Governorates (two weeks – completed mid-October). Senior Trainers would then be instrumental in implementing a cascade training model of all other registration staff.
   c) Advertising and recruiting approximately 30,000 registration clerks (5 clerks at each of the 6,000 registration centres) (five weeks – to be completed during the third week of November)
   d) Training of 30,000 registration clerks (three weeks – to be completed mid-December.

e) The development and implementation of a public information programme to get Iraqis to attend and register at the newly created registration centres.
f) The development and approval of all the regulations, the design of procedures and the printing of procedural manuals necessary to implement the registration process.
g) Designing, printing and distributing all registration forms (at least 20 million forms) to 6,000 registration centres.
h) Designing, preparing and testing the database for the production of the voters register.
i) All procurement of equipment and material for the registration process should be completed.
j) Negotiating a data-entry contract with an external source, or setup a secure data centre within the international zone (including building refurbishment, cabling, etc. to a data centre standard, procurement and installation of all associated computer equipment, recruitment and training of data-entry staff and supervisors, provision of security, etc.).

4. If all of these activities have been completed on time, actual registration can start mid-December. To register all Iraqi voters, a minimum of 4 weeks should be allowed. According to this model, the earliest the registration exercise can possibly be completed would be mid-January 2005.
5. The four-week registration period must be followed by a minimum of three weeks for data-entry and data-management, and the printing and distribution of the Provisional Voters Register to all 6,000 registration centres. This brings the process up to the end of the first week in February, 2005, when a one-week Additions and Challenges period can take place.
6. The data-entry, preparation, printing and distribution of the Final Voters Register would take a minimum of three weeks after that, bringing the process up to the First week in March, 2005
7. Leaving one week for final distribution of polling material and preparation of polling centres, the earliest the election can possibly take place using a full registration model is, optimistically, mid-March 2005.
8. This timeline does not take into account security issues. A major concern of this model is the need to open up at least 6,000 registration centres for a four-week period. This creates numerous opportunities for opponents of the electoral process to disrupt the registration process through violent act. Recent opinion polling indicate that many potential registrants would not register if there are threats of violence at registration locations.
9. It must also be remembered that at the same time as the full field registration process is being established and conducted, staff of the IECI will also be required to prepare for the election itself. Competing priorities between the two processes may lead to failures in either one or both of the processes.

3.2 Programme Approach

The sole objective of this project is to continue providing operational support to the IECI with a view to assist it in holding credible and

legitimate elections in accordance with internationally recognized criteria. The operational support in this project will be to assist IECI in contracting a data-management company.

UNDP Iraq will directly execute this project out of its Amman office in close coordination with EAD for specific inputs, advice and support.

In view of the general situation in the country of Iraq and the specific dates set by the TAL the IECI decided to use the option of the PDS database and convert them to become under the full control of IECI and its management.   The following was taken into consideration:-

Principles of the Public Distribution System Database:

1. The primary function of the Public Distribution Database is to provide a record of people in Iraq who are entitled to receive food rations. It was never intended to serve as the basis for a voters register. Despite this, the design of the database and the process of regular interaction with food recipients make it possible to adapt this process and associated database for the use as the **basis of a voters register** in Iraq:
    a) Although ration cards are issued by family, each individual is treated as a unit in the database. In addition to a unique ration card number for the family, the database contains personal details of each individual, including full name and date of birth.
    b) Each family is assigned to a food agent. Food agents serve between 500 and 3000 individual Iraqis. Since recipients of food rations know their food agents, and since food agents serve manageable numbers of people, the food agent structure lends itself to be easily adapted to serve as the basis for allocating voters to polling stations.
    c) Families visit their food agents every month, normally during the first week of the month, to collect their food rations. Since most Iraqis have a monthly interaction with their food agent, the food agent can be used to distribute information to potential voters.
    d) Recipients visit their Ration Centres, of which there are around 600 throughout Iraq, each year during December to collect their ration cards. In addition, they may visit these Ration Centres during any month to make changes to their details, for instance if they moved residence and need to receive their rations from a new food agent. Since most Iraqis have an annual interaction with their Ration Centres, the Ration Centres can be used as points to collect information about voters.

The Process of Developing a Voters Register using the Public Distribution System Database.

1. The IECI would take possession of the current version of the database (August 2004) and contract database development specialists to develop the database for the voters register and to convert the PDS database to this new format. The IECI would be the master of the voter database once possession is taken of a copy of the Public Distribution System Database in August.

2. Preferably, the IECI should sign a contract with a data-management company that would work under the direction of the IECI (in conjunction with a UN appointed election database specialist) to develop the database and do data-entry required to update the voters register. This contract should be signed before the end of the third week in August 2004.
3. The IECI would work with the data-management company to design all forms required for the period of registration and changes to registration details (by end-September).
4. The Department of Trade would make space available to the IECI at each of the 600 Ration Centres. The IECI would conduct the process to register new entries to the database or make changes to the database at these venues.
5. The Department of Trade would assist the IECI in identifying 10 registration clerks at each of the 600 Ration Centres. Once identified and while working on the registration project, these registration clerks would be employed by and report only to the IECI on registration issues. (by mid-October)
6. The IECI will need to design both a public information programme to inform Iraqis of the proposed registration process and also design the required procedures and training processes which would be required by the registration clerks identified by the Department of Trade.
7. The IECI would recruit and train trainers, who would in turn train the 6,000 registration clerks identified by the Department of Trade. These trainers would also supervise the work of the registration clerks. (by end-October)
8. The IECI would prepare and print forms containing the details of each family (to be in the hands of the agents by the end of the third week in October). These forms would be distributed via the food distribution system to each family. This distribution would take place during the November cycle of food distribution.
9. When each family receives their form containing personal details of each family member they should, as instructed by the public information campaign, check the form and make any changes necessary.
10. If changes are necessary, the completed form must be taken to the Ration Centre, where the completed form would be received. Registration Clerks would be trained to ensure that the forms are completed properly. Registrants may choose to complete the form at the Ration Centre with the help of the registration clerks. (This process lasts until mid-December).
11. People not included in the database and who need to register anew can do so at the Ration Centre closest to their homes. (Between 1 November and mid-December).
12. The IECI would be responsible to arrange secure transport of completed registration forms forms to the *data centre for processing*. (Ongoing until 16 December).
13. Data-entry of new or changed records can commence approximately one week after the registration period started. Data entry to be completed by end-December.
14. A provisional voters register would be prepared by the IECI in collaboration with the contracted data-management company. This voters register would be displayed for a period of one week during the third week of January to enable interested parties to inspect the voters register and challenge entries to this register. Challenges would need to be decided locally.
15. A final voters register would be produced following action on any successful challenges. (For practical reasons, the copy of the provisional voters register minus the manual deletion of successful challenges would need to serve as a voters register on polling day. Alternatively, a deletions list would be checked on polling day at the same time as checking the voters register.)

16. The issue of security on the transport and storage of the provisional/final voters register is paramount.

PLEASE NOTE:

17. An enormous logistic effort would be required to print and transport to and throughout Iraq the many tons of paper involved with a voters register of this magnitude given the tight deadline of the end of January.
18. The timeline for this process is extremely tight. Of immediate importance is that a highly experienced election database specialist, working with a representative of the Department of Trade, interrogates the database's usability for this purpose. – *(completed)*

3.3 Objectives and Outputs

Objective

Send out expressions of Interest, tenders, identify and contract an international data-management company which has the capacity to produce the voters lists for the IECI.

This will take place in three steps:-

1- **Starting October 1st, the company will develop software and test it**
2- **Starting November 1st and until the end of December 2004 – Establish and operate our of data center with the capacity to input all live data with the returned forms for all eligible voters in Iraq. (Approx. 15 million) and**
3- **By mid January 2005, Print Voters Register**

Outputs:

- Voters Database to be used as basis for updating and correcting information during the registration exercise in order to,
- Establish a voters registry for eligible voters in Iraq.

4. Management Arrangements

As EAD and Cluster 11 are at the core of the UN's country arrangements on electoral assistance, they will be UNDP's major partners in this project. The IECI will be the main national counterpart institution for the project.

Role of UNDP (Executing Agency)

- Will manage the project and administer funding in accordance with the attached budget while maintaining accurate financial records and accounts;

- Will be responsible for all financial reporting generated by this project;

- Will secure the mobilization of all necessary inputs including the signing of a service contract with a data-management company

- Will provide the necessary logistical support under the project;

- Ensure the reporting requirements to the donors are fulfilled.

Role of EAD (as Cooperating Partner)

- Will ensure adequate liaison, including protocol requirements, if any, between UNDP, the Independent Electoral Commission of Iraq (IECI), the Electoral Administration, Cluster 11 and UNAMI;

- Be responsible for providing the specifications of the contract details.

- To send out the expressions of interest to potential companies to evaluate companies with needed capacities.

5. *Risks and Assumptions*

The tight timeframe and political importance of this exercise, amidst varying conditions in Iraq may limit the choice of finding companies with the capacities expected. This might put the executing agency in a situation of limited options for negotiating fees for the contract. The budget attached remains estimation and might also be revised when accurate figures are received.

Security continues to be a major element affecting the viability of the electoral process in the established timeframe. Public security remains the critical enabler of the political transition and the electoral process. To date, the multinational force and the Iraqi army and police have been unable to ensure a safe and secure environment within Iraq.

The lack of security can affect the electoral process in a number of ways: first, delaying the electoral preparations; second, limiting the possibility of badly needed international assistance; and third, hampering the establishment of an atmosphere conducive to credible elections.

6. Project Budget

(See attachment)

7. Progress Report and Monitoring

UNDP shall submit narrative and financial reports in accordance with the terms of the contribution agreement through which this project is being funded.

Legal Context

Until such time as a new Iraqi government is established and alternative provisions are made, this project document will be the instrument referred to as "Project Documents or other instruments" in Article 1 of the Standard Basic Assistance Agreement between the Government of Iraq and the United Nations Development Programme, signed by the parties on 20 October 1976.

The following types of revisions may be made to this project document with the signature of the UNDP Resident Representative only, provided he or she is assured that the other signatories of the project document have no objection to the proposed changes:

(1) Revisions in, or addition of, any of the annexes of the project document;
(2) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of inputs already agreed to or by cost increases due to inflation; and
(3) Mandatory annual revisions, which re-phase the delivery of agreed project inputs or reflect increased expert or other costs due to inflation, or take into account cooperating agency expenditure flexibility.

Budget Category	Item Description	DEX/ NEX	Unit Cost	QTY	Total Cost US$	ESTIMATED UTILIZATION OF RESOURCES US$					
	ELECTIONS - Security Addendum					2004			2005		
1. PERSONNEL						Budget	Commitment	Disbursement	Budget	Commitment	Disbursement
1.1 National Programme/Project Personnel											
1.2 International Programme/Project Personnel											
	IT expertise (independent from Contractor)	DEX			30,000	30,000					
	Project manager				200,000	50,000			150,000		
1.3 National Consultants											
	Data management expertise	DEX			10,000	10,000					
	Translation services	DEX			40,000	40,000					
1.4 International Consultants											
2. CONTRACTS											
	Data management company (registration)	DEX			22,500,000	22,500,000					
	Security contract (core)	NEX			10,189,286	5,451,900			4,737,386		
	Strengthening of buildings (security works)	NEX			50,000	50,000					
	Storage services (registration)	DEX			100,000	100,000					
3. TRAINING											
4. EQUIPMENT											
	Rental of vehicles (registration)	DEX			20,000	20,000					

5. SUPPLIES & COMMODITIES									
6. TRANSPORT									
7. TRAVEL									
8. MISCELLANEOUS	DEX			35,000	35,000				
		Sub-Total		**33,174,286**	**28,286,900**			**4,887,386**	
9. SECURITY									
10. AGENCY MANAGEMENT SUPPORT (including Monitoring & Reporting)									
5%				1,658,714	1,414,345	0		244,369	
PROGRAMME/PROJECT BUDGET TOTAL				34,833,000	29,701,245	0		5,131,755	