



**UNITED NATIONS DEVELOPMENT GROUP  
IRAQ TRUST FUND**

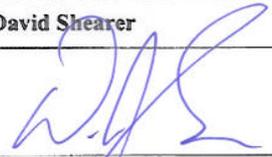
**Programme Cover Page**

<b>Participating UN Organisation(s):</b> UNOPS, UNAMI	<b>Sector Outcome Team(s):</b> Governance																
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<b>Programme Title:</b> Support to National Electoral Observer Groups for Provincial Council Elections in Iraq	<b>Programme Number:</b> <b>G11-18</b>																
<p align="center"><b>Programme Description</b> (limit 1,000 characters):</p> <p>Based on assessments conducted by the Independent High Electoral Commission of Iraq (IHEC), the International Electoral Assistance Team (IEAT), and various NGOs, the UN has been requested by the IHEC to support national electoral observer networks to increase the number of trained electoral observers from 20,000 to 40,000 and to mobilize them during the upcoming provincial elections in Iraq.</p> <p>In order to prevent the perception of a conflict of interest between the UN's assistance to the IHEC and the independent observer groups, all support for the electoral observers is implemented through international partner organizations (FES, ACHRS) who will coordinate, jointly with their local NGO network partners, the training sessions (800 workshops in 14 governorates) and the observation process.</p> <p>UNAMI/Electoral Support will be responsible for technical supervision and monitoring (trainings and observer reports). UNOPS will be in charge of financial management (incl. procurement, legal, monitoring).</p>																	
<p align="center"><b>Programme Costs:</b></p> <table border="1"> <tr> <td><b>UNDG ITF:</b></td> <td>USD 6,913,900</td> </tr> <tr> <td><b>Govt. Contribution:</b></td> <td></td> </tr> <tr> <td><b>Agency Core:</b></td> <td></td> </tr> <tr> <td><b>Other:</b></td> <td></td> </tr> <tr> <td><b>TOTAL:</b></td> <td>USD 6,913,900</td> </tr> </table>	<b>UNDG ITF:</b>	USD 6,913,900	<b>Govt. Contribution:</b>		<b>Agency Core:</b>		<b>Other:</b>		<b>TOTAL:</b>	USD 6,913,900	<p align="center"><b>Programme Location:</b></p> <table border="1"> <tr> <td><b>Governorate(s):</b></td> <td>14 governorates (all except KRG and Kirkuk)</td> </tr> <tr> <td><b>District(s):</b></td> <td>All</td> </tr> <tr> <td><b>Town(s)</b></td> <td>n/a</td> </tr> </table>	<b>Governorate(s):</b>	14 governorates (all except KRG and Kirkuk)	<b>District(s):</b>	All	<b>Town(s)</b>	n/a
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<p><b>Govt of Iraq Line Ministry Responsible:</b> Independent High Electoral Commission (IHEC)</p>	<p><b>Programme Duration:</b> Total # of months: 6 Expected Start date: 01 November 2008 Expected End date: 30 April 2009</p>
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Review & Approval Dates	
Line Ministry Endorsement Date:	24 July 2008
Concept Note Approval Date:	06 October 2008
SOT Approval Date:	06 October 2008
Peer Group Review Date:	16 October 2008
ISRB Approval Date:	n/a
Steering Committee Approval Date:	23 October 2008

#### Signatures of Agencies and Steering Committee Chair

I.	Name of Representative	F. Gerhard Pansegrouw
	Signature	
	Name of Agency	UNOPS IQOC
	Date	23 Oct. 08
II.	Name of Steering Committee Chair	David Shearer
	Signature	
	Date	26/10/08

**National priority or goals (NDS 2007- 2010 and ICI as per the Joint Monitoring Matrix 2008):**

**NDS:** Strengthen good governance and improve security

**ICI:** Although there is not a specific benchmark for elections, this project supports Section 3.1.2 ('Implementation of political/legislative timetable')

**Sector Team Outcome(s):**

Outcome 1: Strengthened electoral processes in Iraq

**Integrated Programme/Project Outcome(s):**

1. Strengthened capacity of electoral observer networks in Iraq
2. Successful observation of provincial elections in Iraq in 2009

**Detailed Breakdown of Budget by Source of Funds and  
Distribution of Programme Budget by Participating UN Organisation**

<b>Participating UN Organisation</b>	<b>Portion from ITF Budget (US \$)</b>
UNAMI	USD 0
UNOPS	USD 6,913,900
<b>Total ITF Budget (US \$)</b>	<b>USD 6,913,900</b>

<b>Total budget (in US \$):</b>	USD 6,913,900
<b>Sources:</b>	
<ul style="list-style-type: none"> <li>• Government</li> <li>• ITF (earmarked) *</li> <li>• ITF (un-earmarked)</li> </ul>	USD 6,913,900
<b>UN Core/non-core sources</b>	
<ul style="list-style-type: none"> <li>• UN Org (specify:)</li> <li>• UN Org (specify: )</li> </ul>	

\* EC (incl. EIDHR, RRM), Australia, Belgium, Canada, Denmark, Finland, Italy, Japan, Korea, Luxembourg, Netherlands, New Zealand, Norway, Spain, Sweden, UK

## 1. Executive Summary

Over the period 2004-2008, the UN, as part of the International Electoral Assistance Team (IEAT), assisted the Independent Electoral Commission of Iraq (IHEC) through a range of projects addressing operational and capacity building requirements. In addition, UNAMI/UNOPS supported national NGO networks to train and mobilize electoral observers for the three electoral events in 2005 and the Voter Registration Update (VRU) in 2008. All support for the electoral observers was implemented through international partner organizations: Friedrich-Ebert-Stiftung (FES), Amman Center for Human Rights (ACHRS), National Democratic Institute (NDI). As of mid 2008, the number of NGO members with up-to-date training and relevant observation experience stands at a total of ca. 20,000 in all 18 governorates.

Recent assessments of the observer coverage, conducted by the IHEC, the IEAT, UNAMI/Electoral Assistance Team in Baghdad as well as the international and national NGOs involved with electoral observation in Iraq, revealed that there is a strong requirement to further increase the number of qualified electoral observers Iraq-wide and the IHEC Board of Commissioners requested UNAMI/UNOPS to support the training and mobilization of at least 40,000 observers for the upcoming provincial elections in 14 governorates of Iraq. Without sufficient coverage by independent observers, it is likely that the process and the results of the local elections in early 2009 will not receive wide national and international recognition as fair and transparent, necessary for the political and democratic advancement of Iraq's local governance sector. The fact that the presence of international observers is expected to be minimal, due to security and travel restrictions, will only add to the importance of independent Iraqi observers from all parts of the geographical and ethnic spectrum.

Electoral observation will also offer significant value to the Iraqi electoral system and specifically the IHEC: the verification that processes have been implemented in full accordance with the legal and policy framework would acknowledge the IHEC's effective organization and management of electoral processes; reported failures would form the basis for investigations and could also serve as valuable lessons learned for future electoral events.

In order to mobilize 40,000 qualified electoral observers for the elections currently scheduled for 31 January 2009, the UN, through its independent partner organizations, could rely on approximately 20,000 Iraqis already trained in 2008 who were IHEC-accredited and active observers during the 2008 VRU operation. This would mean that an additional 20,000 Iraqis require training so that a total of 40,000 electoral observers could be mobilized on Election Day.

As Iraqi NGOs, at this stage, have only very limited access to financial support and are very fragile in terms of independence from political and commercial interests of local funding sources, especially in the context of their function as independent observers of an important electoral process, they would greatly benefit from neutral funding through the United Nations and its partners. The IRFFI has been identified by the donor community as a suitable mechanism to support the electoral processes in Iraq and sufficient funds have been earmarked for this specific purpose.

The project will be implemented by the following partners:

- UNAMI – SCR 1770-mandated technical coordination and liaison with IHEC, technical monitoring and evaluation of trainings and observation reporting;
- UNOPS – executing agency: procurement, contracting, financial monitoring and evaluation.

The IHEC will provide the necessary input for the electoral observer networks to train and prepare for the provincial elections (e.g. dissemination of procedures, locations, timelines, accreditation criteria) and will be in charge of the accreditation process itself (January 2009).

In order to avoid any perception of a conflict of interest between the UN's close relation with the IHEC and the independent observation of the IHEC-managed electoral process, the coordination and implementation of the trainings and observation will be carried out by the international and independent organizations FES and ACHRS on behalf of the UN.

The project design is also based on significant input from other stakeholders, including NDI (previously engaged in the support of an electoral observer network which has now partnered with ACHRS).

## **2. Situation Analysis**

This project has been designed to ensure the credibility of the upcoming provincial elections in 14 governorates of Iraq.

Previous provincial council elections in January 2005 had been boycotted by significant numbers of members of the Iraqi society. The subsequent issue of their non-representation within democratically elected governance forums at the provincial level has been the cause of much debate on whether these bodies properly reflect the structure of Iraqi society. In order to validate the authority of the provincial councils and to ensure that all parts of the local electorate are represented and provided with a mechanism to allow them to participate in democratic decision making, the Council of Representatives has passed the Law on Provincial Elections to take place in 14 of Iraq's 18 governorates in early 2009 (all governorates except Dohuk, Erbil, Sulaymaniyah and Kirkuk).

Given the continuing volatile political environment in Iraq, it is now essential that the provincial elections are not only conducted in as open and transparent a manner as possible but that there is independent confirmation of this fact. For this reason, the effective observation of the electoral process (on Election Day only) by fully qualified national observers will be crucial in safeguarding the integrity of its outcomes. This can be achieved by ensuring through observation that the administrative process has been equitably and fairly carried out for all parties and that there has been free and open participation for all political entities, candidates and other indigenous interest groups. Furthermore, the public reporting by observers will also serve to increase transparency and promote accountability, thence increasing public acceptance of the electoral results.

However, in order to be able to undertake such a role, the Iraq-wide existing independent national observation networks, such as EIN and IDFN that will be supported through this project, are in need of support for capacity building training as well as for the mobilization of sufficient numbers of qualified electoral observers at all locations on Election Day. Recent assessments by the IEAT, the IHEC and various Iraqi NGOs conclude that the number of observers trained through the electoral networks partnering with ACHRS and FES would need to be increased from currently 20,000 to 40,000 and that 40,000 electoral observers were required to be mobilized on Election Day to ensure sufficient coverage in all 14 governorates and in the Northern Governorates where absentees voting will take place.

## **3. Lessons Learned, NDS and ICI Relevance, Cross-Cutting Issues, and Agency Experience in Iraq/in the Sector**

### **3.1. Background**

UNOPS will execute this project with UNAMI/IEAT providing technical supervision. This project will support the objectives of NDS, ICI, UNCT/RC & Sector Outcome Teams:

**Table 1: Project Contribution - NDS, ICI, UNCT Workplan + Sector Team Outcomes**

Plan	Ref.	Description
NDS		Strengthen good governance and improve security
ICI	3.1.2	Implementation of political/legislative timetable
UNCT/RC Workplan		Governance, Output 1.4 (Page 21/22)
<b>Sector Outcome Team: Governance</b>	Outcome 1	Strengthened electoral processes in Iraq Output 1.4: Capacity of electoral and media observers strengthened
MDG	n/a	The project will contribute indirectly to the MDGs in general as widespread acceptance of Iraqi electoral results will facilitate a general environment conducive to their more effective realisation.

### 3.2. Lessons Learned

Both UNAMI and UNOPS have gained significant experience in supporting electoral observer networks in Iraq through training and mobilizing them in preparation and during the electoral events in 2005 and the VRU in 2008. In all cases and in order to prevent any perception of a conflict of interest, implementation of such activities was carried out through international organizations such as FES, ACHRS and NDI.

Lessons learned include:

- Training content to be based on international best-practice but also specifically on procedures/guidelines issued by the IHEC;
- UNAMI/Electoral Support Team to serve as facilitator for communication between IHEC and electoral observer networks, in addition to direct contact between NGOs and IHEC both on the national and provincial level (e.g. for accreditation process and for observation results);
- Support to NGO networks to remain independent from IHEC (including transparent accreditation process);
- Coordination of coverage between various NGOs and NGO networks to avoid overlap and 'white spots';
- Ultimate responsibility for coverage and quality of observation lies with the national electoral observer networks (including flexibility to manage last-minute changes by IHEC, such as delays, extensions, movement of polling centre locations, etc.);
- Good planning of IHEC electoral timelines to allow for sufficient training, accreditation, mobilization as well as funding for observer activities;
- NGOs' full accountability for financial expenditure and reporting (incl. supporting documents) and extensive validation process to clear payment requests (including spot-checks for supporting documents);
- Where possible, monitoring of NGO training on the ground.

Specific attention is drawn to the issue of how the UN will gradually withdraw from its role as main funding source for the electoral observer networks. Discussions with the NGO counterparts, their international partner organizations and the IHEC show that direct IHEC funding would not be made available but that specific guidelines and direct contact between the IHEC and the civil society is being strengthened through a number of ongoing efforts, including the establishment of Electoral Education Forums at the national and provincial level. The exchange of information in these forums will facilitate the process of ensuring sustainability of observer capacity within the civil society. Furthermore, UNAMI/UNOPS, FES/ACHRS and the relevant electoral support networks have agreed on modalities to reduce the financial support for training and mobilization of individuals (e.g. lower compensation for travel expenditure etc.) and thus on gradually moving observer activities onto a voluntary basis where in the future only certain core expenditure (e.g. printing of training materials) would require funding coverage. For the provincial elections, it is planned to mobilize twice the number of observers at the same total cost, compared to the previous electoral events.

### **3.3. Assessment of Cross-Cutting Issues**

#### *a) Human Rights*

The project will deal indirectly with the needs of particularly vulnerable and marginalised groups by contributing to improving the overall organisation of the upcoming electoral processes through the provision of support to independent observer groups. This support will assist these groups in their activities and increase public trust in the overall electoral processes, thus encouraging overall participation in these electoral processes and a better representation of all of Iraq's ethnic/religious groups.

More directly the project will assure the presence of Electoral Observer groups in areas with ethnic minorities and high numbers of displaced, and also in specific institutions such as hospitals and prisons.

#### *b) Gender*

This project aims at ensuring that the rate of female training participants as well as female electoral observers mobilized on Election Day is at least 25 percent, the equivalent to the minimum constitutional requirement for elected officials. Female participation has therefore been included in the indicators for both outputs. Among the 20,000 observers trained in the first half of 2008 and later deployed during the Voter Registration Update 18% were women. A further effort will be made in order to reach the 25% target of the 40,000 observers beneficiaries of this project.

The observer trainings themselves will also include gender-relevant aspects, such as the voting conditions for women.

#### *c) Environment*

This project does not pose any environmental risks.

#### *d) Employment*

This project will not have any direct impact on employment.

### **3.4. Agency Experience in Iraq**

#### - UNAMI/Electoral Assistance Team (EAT)

Under UN-SCR 1770 of 10 August 2007 (as under previous SCRs for Iraq), UNAMI has the clear mandate to strengthen electoral processes in Iraq by providing assistance, support and advice to the Iraqi Government and the Iraqi Electoral Commission.

The UNAMI/EAT consists of electoral experts who have been working with the Electoral Commission since 2004 providing significant assistance in the IHEC's institutional development and the implementation of electoral events.

UNAMI/EAT has a permanent and high-calibre presence in Baghdad and daily contact with the IHEC. UNAMI/EAT also heads the International Electoral Assistance Team, a platform for international actors supporting the IHEC and the electoral system in Iraq (incl. IFES, Scuola Superiore Sant' Anna, several UN agencies, donors, etc.).

#### - UNOPS

UNOPS provides project management services to the UN, international financial institutions (incl. bilateral donors, development banks, and other non-private and non-profit entities), and governments.

UNOPS began operations in Iraq in the late 1990s and the structure of its current Iraq Operations Centre has been established in 2004. The total budget value of UNOPS operations in Iraq since 2004 exceeds USD 240m. Current project activities range widely and include electoral support, local development and employment creation, constitutional support and human rights, support to IDPs, water and sanitation, waste management, rehabilitation of maternity wards, de-mining, environmental support, and support services to the International Compact with Iraq and UNAMI.

Project activities are funded through the United Nations Development Group (UNDG)/Iraq Trust Fund (ITF) and bilateral sources (incl. other UN agencies and UNAMI as well as donor countries). In the successful implementation of its project portfolio, UNOPS has partnered with multiple stakeholders, including more than 150 Iraqi NGOs, many of whom have also been recipients of significant capacity building support.

- UNAMI/Electoral Assistance Team and UNOPS joint activities in Iraq  
UNAMI and UNOPS have successfully teamed up in providing support in the following areas (all UNDG/ITF-funded):
  1. Assistance to the Electoral Commission for electoral operations
  2. Institutional Development of the Electoral Commission
  3. Electoral Awareness and citizen engagement (incl. support to Iraqi electoral observer networks for the 2005 elections/referendum and the 2008 voter registration update).

This successful team-based partnership with clearly defined roles and responsibilities, established SOPs and proven ability to deliver will also form the basis for the implementation of this Project.

- Amman Center for Human Rights (ACHRS) and Friedrich-Ebert-Stiftung (FES)  
ACHRS and FES are two international organizations, based in Jordan and Germany respectively, with close partnerships with Iraqi electoral support networks in all governorates that they have supported in coordination, training and mobilization since 2004.

ACHRS' partners include EIN Network, Shams Network for Election Monitoring, Hamourabi Organization for Human Rights and Democracy Monitoring, Women Congregation of Cultural for Democracy, Congregation of Cultural for Democracy, Iraqi League for Human Rights Trainers, Al-Rafidain Center for Human Rights, Iraqi National Center for Human Rights and Democracy Development, Women Center for Human Rights, and Larsa for Legal Studies, Programming & Human Rights.

FES works with the Iraqi Democratic Future Network (IDFN) which includes Tammuz Organization for Social Development, Iraqi Women's League, Iraqi Raising Women, Iraqi Democratic Youth Federation, Iraqi Federation of Trade Unions, Iraqi Assembly for Supporting the Families of Martyrs and the Disappeared, Sabia Mindanian Society, General Union of Students in Iraq, Assur Banibal, Iraqi Kurdistan NGO Network, Iraqi Organization for Athletic Development, National Association for Defending Human Rights in Iraq, Nenurta Group for the Art, People's Rights for the Defense of Culture and Media, Al-Nas Organization.

Both ACHRS and FES have previously successfully assisted the UN in its support to national electoral observers. These two organizations have selected their local partners based on experience in the field, outreach capacity and positive track record in past cooperation.

## **4. The Proposed Integrated Programme**

### **4.1. Project Strategy**

The project's objectives are (a) to increase the number of trained electoral observers in Iraq from currently 20,000 to up to 40,000 and (b) to mobilize up to 40,000 electoral observers on Election Day for the provincial elections in 14 governorates in early 2009.

The training strategy will follow the approach of previous trainings conducted in 2008 and will cover general areas relevant to electoral observation (principles, techniques, reporting, etc.) as well as Iraq-specific information (including electoral system, legal framework, security aspects, procedures for Provincial Elections, etc.). It will also benefit from previous 'Train-the-Trainers'-workshops where Iraqi NGO staff had been trained on how to organize trainings, develop training materials, conduct

workshops, report on results, etc. It is planned that 800 workshops will be organized with a total number of 20,000 participants. UNAMI, through ACHRS and FES, will be responsible for validating that training agendas and materials are in line with international standards and Iraq-specific requirements. All training sessions will take place inside Iraq. All trainings will be reported on and narrative and financial reports will be reviewed by FES and ACHRS as well as the UN. Based on the acceptance of the training results and financial reporting (including full supporting documentation), the UN will compensate the NGO networks for actual expenditure incurred (including rental of training venues, travel allowances, communication costs, etc.).

The mobilization of up to 40,000 accredited observers on Election Day will be carried out in line with a detailed mobilization plan which will be developed by UNAMI, FES and ACHRS, and the Iraqi NGO networks, based on the actual observer requirements and the capacity of the NGOs in the various governorates. The observation will mainly cover electoral activities at the polling station level on Election Day.

However the implementing partners have indicated that some pre-balloting observation will also be carried out, including the tracking of ballot boxes, observation of the ‘the silence day’, and the observation of balloting in jails and hospitals and in the KRG where there is a large number of IDPs. FES already committed resources to such activities, which however will not impact on the project’s budget as they will be partly covered through organization’s resources and partly they will avail of the voluntary contributions of the observers. ACHRS will try to replicate this example; final proposal is expected in the next coming days.

Reporting will follow the structure of the electoral observer networks and consolidated reports will be submitted to UNAMI for review and acceptance. For reimbursement of actual mobilization costs (allowances for observers) NGOs will submit full financial reports, complete with supporting documents.

UNOPS will be responsible for narrative and financial reporting to the UNDG/ITF as well as reporting against the target outputs and indicators of the UNCT Sector Outcome Team ‘Governance’.

#### **4.2. Project Beneficiaries**

Direct project beneficiaries are the observer groups inside Iraq that will receive support through the capacity building training provided by the project. This will include 20,000 Iraqis who will receive observation training in Iraq and a total of 40,000 Iraqis who will receive a small compensation for their active observation and reporting on the provincial elections.

Ultimately, Iraqi voters will benefit from an improved electoral framework granting comprehensive participation and fair process.

## 5. Results Framework

Project results will be in line with the targets defined by the Sector Outcome Team ‘Governance’ (GOT), which in turn are derived from goals/priorities defined by the UNCT Assistance Strategy, the ICI, the NDS and SCR 1770. Below table also includes reference to the indicators and partner roles defined in the GOT Results Matrix.

**TABLE 2: RESULTS FRAMEWORK AND INDICATORS**

<b>Programme Title:</b>	Support to National Electoral Observer Groups for Provincial Council Elections in Iraq						
<b>NDS/ICI priority/ goal(s):</b>	<u>NDS Goals</u> NDS: Strengthen good governance and improve security ICI: Section 3.1.2 Implementation of political / legislative timetable						
<b>UNCT Outcome</b>	Strengthened electoral processes in Iraq						
<b>Sector Outcome</b>	Governance Outcome 1: Strengthened electoral processes in Iraq (Output 1.4: Capacity of electoral and media observers strengthened)						
<b>Outcome 1</b>	Strengthened capacity of electoral observer networks in Iraq				<b>NDS / ICI Priorities:</b> NDS: Strengthen good governance and improve security ICI: Section 3.1.2 Implementation of political / legislative timetable		
<b>Outputs</b>	<b>UN Agency Specific Output</b>	<b>UN Agency</b>	<b>Partner</b>	<b>Indicator(s)</b>	<b>Source of Data</b>	<b>Baseline Data</b>	<b>Indicator target</b>
<u>Output 1</u> Sufficient number of qualified national electoral observers are available to cover the Provincial Elections in 14 governorates of Iraq	1.1 Identified Iraqis for the training in electoral observation (through Iraqi NGO networks)  1.2 Enhanced capacities of selected Iraqis on electoral observation	UNOPS; UNAMI	FES and ACHRS and their respective local NGO partners	Number of training workshops conducted; Number of electoral observers newly trained; Ratio female/male trainees	Monitoring/ evaluation reports from ACHRS and FES; Accreditation information from IHEC	20,000 electoral observers trained in 2008; Ratio female/male trainees for VRU (18%).	800 training workshops; total of 40,000 electoral observers trained in Iraq prior to Provincial Elections; At least 25% female trainees.

<b>IP Outcome 2</b>	Successful observation of provincial elections in Iraq in 2009			NDS: Strengthen good governance and improve security ICI: Section 3.1.2 Implementation of political / legislative timetable			
<b>Outputs</b>	<b>UN Agency Specific Output</b>	<b>UN Agency</b>	<b>Partner</b>	<b>Indicator(s)</b>	<b>Source of Data</b>	<b>Baseline Data</b>	<b>Indicator target</b>
<u>Output 2</u> Sufficient numbers of national electoral observers mobilized on Election Day for Provincial Elections in 14 governorates of Iraq in 2009	2.1 Accredited national electoral observers through partner networks with IHEC  2.2 Electoral observers are available on Election Day	UNOPS; UNAMI	FES and ACHRS and their respective local NGO partners	Number of electoral observers accredited for the observation of the Provincial Elections in Iraq;  Number of electoral observers mobilized on Election Day	Reports from NGO networks and ACHRS and FES; Election Day reporting from IHEC	20,000 observers during VRU in 2008; Ratio female/male trainees for VRU (18%)	40,000 electoral observers accredited and mobilized during Provincial Elections; At least 25% female observers.

## 6. Management and Coordination Arrangements

### 6.1. Project implementation and supervision arrangements

The project will be executed by UNOPS and will be supported by UNAMI/IEAT in Baghdad and Amman through provision of technical supervision. Management and oversight of the project will be according to UNOPS' standard procedures and other reporting requirements agreed between UNOPS, UNAMI and the UNDG/ITF.

All project activities shall be carried out in accordance with this project document and the attached workplan. Should there be any changes or additions in these instructions and the support to be provided by UNOPS, they will be issued in writing by the responsible UNAMI/IEAT personnel. Upon receipt of such changes in instructions, UNOPS will alter the relevant budget requests submitted to UNDG/ITF to reflect the new requirements and seek approval from the funding source if necessary.

The Project will engage two international organisations ACHRS and FES to assist in the implementation of the Project's activities as noted above. Both of the implementing partners have been pre-selected in line with the respective criteria set by UNAMI, based on their extensive experience in similar projects in Iraq and regionally. This past experience has permitted both ACHRS and FES to develop mid and long-term strategies for Electoral Observation related activities and in addition their experience specific to Iraq has enabled them to develop partnerships with the Iraqi electoral networks. The budget makes provision of USD 3.15m for each organisation which will cover their respective costs for:

- 400 training sessions and allowances for 10,000 trainees (per organization),
- Allowances for 20,000 mobilized observers (per organization).

The reasonableness of each cost element will be verified by the UNOPS project team and will be subject to review by the UNOPS HQ Contracts and Procurement Committee and the approval by the UNOPS Chief Procurement Officer.

Overall management of this project shall come under the direction of a UNOPS Project Manager who will ensure that the Project's objectives are realised through the delivery of the outputs by the Project's implementing partners delivering their project components to schedule and taking the required corrective action whenever necessary.

Recruitment of project personnel will be carried out in line with UNOPS HR rules and procedures. At all times, project personnel will operate according to the appropriate UN procedures (including UN-DSS rules for deployment and mission travel). Any personnel engaged by project sub-contractors will come under the responsibility of the contracted organisation/company.

The following table (Table 3) provides information on the project personnel to be involved:

No	Position Title	Full-time/part-time	National/international	Location
1	Project Manager - Main responsibilities: project management, oversight, financial and narrative reporting	50%	International	Baghdad/Iraq*
2	Programme Support Officer - Main responsibilities: procurement, finance, legal support	20%	International	Baghdad/Iraq*
3	Project Associate - Main responsibilities: financial	100%	National	Amman/Jordan (proximity to

	analysis (proposals, financial progress and final reports)			UNOPS Finance and Procurement units)
4	Support staff	50%	National	Amman/Jordan

\* If not possible due to UNDSS restrictions/non-availability of UN slots then Amman/Jordan with frequent missions to Iraq.

The project budget makes provision for an independent monitoring and evaluation exercise.

All payments made by UNOPS to the NGO partners and other service providers and suppliers under this project will be carried out in line with UNOPS standard procurement rules (including verification that cost items are reasonable and in line with market rates etc.), requiring review and approval by the relevant procurement authority. The project will be subject to standard UNOPS reviews and audits.

## 6.2. Delivery mechanism

Project activities (training and actual electoral observation) will take place inside Iraq.

Local NGOs, jointly with FES and ACHRS will develop the training curriculum and its content will be subject to review and endorsement by UNAMI/Electoral Assistance Team.

The selection of training participants will be done by the local NGO networks and ACHRS/FES will coordinate between the NGO networks to avoid duplications.

The training sessions will be conducted by the local NGOs and they will report on implementation and results through ACHRS/FES to the UN. ACHRS and FES will also be in charge of monitoring and evaluating the individual sessions and respective reports will be submitted to UNAMI and UNOPS.

The mobilization of observers for Election Day will again be managed by the local NGO networks and coordinated between the networks by ACHRS and FES. Observer reports will be submitted by the individual observers to their respective NGO and then attached to a consolidated report document and submitted through ACHRS and FES to UNAMI and UNOPS for review. Final reports will also be shared with the IHEC.

## 6.3. Line ministry counterparts and management role

There is no ministerial entity involved in this area of UN assistance. Instead, the Iraqi counterpart for electoral support is the IHEC, an independent commission, established under the Iraqi constitution with the mandate to manage and implement electoral operations.

For this particular Project, which aims at independent Election-Day observation and evaluating the Provincial Elections organized and managed by the IHEC, the role of the Electoral Commission will be reduced to being an indirect recipient of final reports.

The IHEC has endorsed the role of independent electoral observers and will issue respective procedures for observers to be accredited and granted access to polling stations on Election Day. The IHEC has also endorsed this project proposal for the UN and its independent partner organizations to support local electoral observer networks to train and mobilize observers for the Provincial Elections.

## 6.4. Sector Outcome Team Cooperation

This project falls into the Sector Outcome Team 'Governance' and its specific area of 'Electoral Support' and follows the SOT's 2008-2010 strategy.

The project was developed jointly by UNAMI, UNOPS, ACHRS and FES (all members of the Sector Outcome Team 'Governance'). The concept and proposal have been presented to the SOT and were discussed and agreed upon.

## **7. Feasibility, Risk Management and Sustainability of Results**

### **7.1. Feasibility**

This project was designed based on methodologies and experience in similar activities implemented through UNAMI/UNOPS and their international and national partner organizations from 2004 to 2008. Based on this successful implementation and achievement of project objectives in the past and the proven capacity of the implementing partners engaged, it is expected that the envisaged objectives of this Project will also be feasible within the parameters defined in this document.

A timeframe of three months would be fully sufficient for the training component to be implemented. The proposed project end date was determined taking into consideration (a) the need for sufficient time for final financial and narrative reports to be prepared, submitted, reviewed and processed as well as (b) the possibility that the Election date is postponed up to six weeks beyond the current schedule (31 January 2009).

### **7.2. Risk Management**

#### Security situation

If the security situation on the ground prevents observers to attend training or to access polling stations on Election Day, then this will have a negative impact on the coverage of the electoral event on the ground. Mitigating measures have been taken by the IHEC who, supported by the UN, are in dialogue with various actors in the field of security provision (Iraqi army, police, multi-national forces) to ensure that the situation on the ground is safe enough for voters and observers to come to the polling centres and to vote and observe in a protected environment. For the trainings, the responsibility will lie with the local NGOs to organize the sessions in a safe area or to postpone individual trainings in accordance with the development on the ground.

#### Available capacity of implementing partners

The capacity of the various international project partners has already been described in section 4.4. However, if local NGO partners face problems in identifying the planned number of trainees, implementing the planned number of training sessions or mobilizing them on Election Day, then this would negatively impact on the results of this Project. Mitigating measures are taken by engaging ACHRS and FES who have been in dialogue with their local partners discussing and reviewing their capacity to achieve the results described and by assigning the responsibility for geographical coverage in each governorate to NGO partners based on their assessment. Financially, UNOPS will only reimburse costs for actual participation and successful mobilization numbers.

The workplan's timeline for implementing the training component is approximately six weeks for 800 workshops in-country. These workshops would be based on Training-of-Trainers workshops already conducted under a project in support for VRU-observers. Training materials are already being developed and/or updated. Previously, the 'roll-out' sessions (also 800 and also for a total of 20,000 observers) were successfully concluded in about four weeks.

#### Political development

The project and its workplan are designed under the assumptions (a) that there will be sufficient time prior to the Election Day to train observers and (b) that the elections will take place no later than mid March 2009.

If the project approval is delayed and funding received only after 01 November, then there is a risk that training activities will need to be reduced and that less observers will be qualified for

accreditation and mobilization. This risk will be reduced by submitting this project on 'Fast Track' modality.

If the elections are postponed beyond mid March 2009, then this would require a project extension to be submitted to the funding source (without budget movements and change in scope).

#### Exit strategy

If for some reason, the situation arises where the UN would wish to terminate the project before completion of all activities, then this would require the terminating of the agreements with FES and ACHRS (which are to be signed in the first project phase). The UNOPS Project team, supported by the UNOPS Legal Office, will ensure that the tri-partite contract agreement between UNOPS, UNAMI and ACHRS/FES will make provision for such early termination to be carried out without significant risk to the UN (and thus the funding source). UNOPS project staff will be engaged only on short-period contracts with short notices for termination as well.

### **7.3. Sustainability of Project Results**

The project aims at two main results:

1. Strengthened capacity of the electoral observer networks in Iraq

Sustainability of this result will require that the national electoral observer networks succeed to retain observers for future electoral events (scheduled for 2009 and 2010) and to institutionalize some of the capacity (coordination structure, training materials, updating of relevant information, etc.). In order to support such efforts, UNAMI/IEAT and ACHRS/FES also facilitate direct contact between the various elements of civil society involved in electoral education and observation as well as the IHEC (HQ and governorate level).

2. Successful observation of the 2009 Provincial Elections in 14 of Iraq's governorates

This component by itself has no element of sustainability other than the extraction of lessons learned that would allow for subsequent observation processes to be handled more efficiently/effectively. ACHRS/FES with the input from UNAMI and indirectly the IHEC will aim to work with the local partner networks to ensure that lessons learned are drawn, shared and applied. UNAMI/IEAT supports other initiatives which interface with this exercise (e.g. Electoral Forums between Iraqi civil society and IHEC on the national and provincial levels) and minimize the risk of loss of institutional memory.

UNAMI/IEAT are advocating for the IHEC to implement its strategy to partner with civil society organizations and support them in their activities. For observer groups, this would be limited to non-financial support to avoid any perception of electoral observers being dependent on the IHEC.

UNAMI/UNOPS have discussed with ACHRS and FES ways for the NGO partners to reduce costs and to diversify funding sources. While this is a process that will require a longer implementation period, discussions have already led to significant cost reductions for individual allowances etc. Also, during the recent VRU process, NGOs have demonstrated that they are able, to a very limited extent, to mobilize a number of volunteers if and when there was an acute need and no immediate funding available.

The project makes provision for independent monitoring and evaluation and it is planned that such evaluation will include a review on how sustainable the support for this specific election has been and on how the UN could increase sustainability for future electoral events.

## 8. Monitoring, Evaluation, and Reporting

### 8.1. Monitoring and Evaluation (M&E)

#### a) *Internal Project M&E*

##### *Trainings*

1. Information on trainings organized by the NGOs will be communicated to FES/ACHRS and UNAMI. FES/ACHRS and UNAMI will attend some of the sessions as monitors. Due to the high number of events to take place within a short timeframe and across the country as well as the prevailing security situation/movement restrictions, such spot-checks will only be feasible for a limited number of training sessions.
2. Feedback on the training sessions will be received from the IHEC Governorate Electoral Offices which will be informed in advance and allowed to attend as observers.
3. Every training workshop will be evaluated by the respective NGO and by ACHRS/FES (based on actual observation and/or based on reports received from NGO partners and participants).
4. An over-all evaluation will be provided by UNAMI and UNOPS based on actual workshop observation, reporting received from the NGOs and ACHRS/FES as well as feedback received from participants and the IHEC.

##### *Election Day observation*

5. The Election Day activities themselves include an element of evaluation of the IHEC organized operation.
6. It will be impossible to monitor all 40,000 observers but FES/ACHRS will ensure that certain feedback on actual presence in the polling stations etc is obtained (e.g. through spot checks organized by electoral NGO networks etc.).
7. Evaluation of observation activities and their quality will be carried out by ACHRS/FES based on the reports received from all polling stations (incl. reporting on non-coverage of certain locations where applicable).
8. UNAMI/UNOPS will review all reports received and match against information received through IHEC (e.g. locations, incidents, etc.).

##### *Financial monitoring and evaluation*

9. Prior to entering into financial agreements with the NGOs, UNOPS will review the proposed cost structure and evaluate its reasonableness compared to past operations and current market rates. This exercise will include a detailed review of all costs by UNOPS HQ Contracts and Procurement Committee. Only if confirmed that proposed costs are evaluated to be necessary and reasonable, the UNOPS Chief Procurement Officer will approve that UNOPS Iraq enters into financial commitments vis-a-vis ACHRS and FES.
10. ACHRS and FES will enter into agreements with their NGO partner networks defining financial reporting criteria which will enable detailed monitoring of all expenditure (incl. supporting documentation), incl. information on procurement/contracting, allowance payments, etc.
11. In order to reduce risks to UNOPS and the funding source, advance payments will be kept at a minimum and actual payments will be done post-facto and in line with the agreed budget and payment. The same principle will be applied by ACHRS and FES in their agreements with the electoral observer networks.
12. UNAMI will review all technical/narrative reports received and clear them if satisfied. Progress and final payments through UNOPS will require that narrative reports have been received and were cleared by UNAMI.
13. UNOPS will be responsible for reviewing all payment requests received (incl. supporting documentation). This will include spot-checks to validate invoices, signatures on receipts, etc.

#### b) *External Independent Review*

The budget makes provision for an independent review at the end of the project. Such review will focus on efficiency and effectiveness of the implementation, results achieved, lessons learned as well as on sustainability issues.

The project will also be subject to UNOPS standard audits (coordinated through UNOPS HQ).

## **8.2. Reporting**

The following reporting requirements shall apply:

- The Iraqi NGO networks will submit progress and final reports on both the training and Election Day observation components (financial and narrative).
- ACHRS and FES will prepare and submit to UNAMI and UNOPS progress and final reports on both the training and Election Day observation components (financial and narrative).
- UNOPS will prepare financial and narrative progress and final reports to the funding source UNDG/ITF, in line with the MOU signed with UNDP as the UNDG/ITF Administrator. This will include:
  - o Monthly expenditure status reports;
  - o 3-monthly progress fiches;
  - o 6-monthly narrative and certified financial progress reports;
  - o Final narrative and certified financial reports.

## 9. Work Plan and Budget

**Work Plan for:** Support to National Electoral Observer Groups for Provincial Council Elections in Iraq

**Period Covered:** November 2008- April 2009

<b>Sector Outcome (s): Governance Outcome 1: Strengthened electoral processes in Iraq</b>										
<b>IP Outcome(s): 1. Strengthened capacity of electoral observer networks in Iraq</b>										
UN Organization-specific Annual targets	Major Activities	Time Frame (by activity)							Implementing Partner	PLANNED BUDGET (by output)
		Q1	Q2							
<b>IP Output 1.1: Sufficient number of qualified national electoral observers to cover the Provincial Elections in 14 governorates of Iraq</b>										
n/a	1.1.1 Identify Iraqis for training in electoral observation (through Iraqi NGO networks)	X							UNAMI, UNOPS, FES and ACHRS and their respective local NGO partners	USD 2,304,633
	1.1.2 Organize and conduct training sessions	X	X							
	1.1.3 Monitor training sessions	X	X							
	1.1.4 Evaluate and report (narrative and financial)		X							
<b>IP Outcome(s): 2. Successful observation of Provincial Elections in Iraq in 14 governorates of Iraq in 2009</b>										
UN Organization-specific Annual targets	Major Activities	Time Frame (by activity)							Implementing Partner	PLANNED BUDGET (by output)
		Q1	Q2							
<b>IP Output 2.1: Sufficient numbers of national electoral observers mobilized on Election Day for Provincial Elections in 14 governorates of Iraq in 2009</b>										
n/a	2.1.1 Accredite national electoral observers through partner networks with IHEC		X						UNAMI, UNOPS, FES and ACHRS and their respective local NGO partners	USD 4,609,267
	2.1.2 Mobilize electoral observers on Election Day		X							
	2.1.3 Evaluate and report (narrative and financial)		X							
<b>Total UN organization 1* UNAMI</b>									<b>USD 0</b>	
<b>Total UN organization 2* UNOPS</b>									<b>USD 6,913,900</b>	
<b>Total Planned Budget</b>									<b>USD 6,913,900</b>	

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## Project Budget:

Budget Category	Item Description	Unit	Unit Cost	Qty	Total Budget US\$	ESTIMATED UTILIZATION OF RESOURCES US\$		
						2008	2009	
						Budget	Budget	
<b>1. PERSONNEL</b>								
<b>1.1 National Programme Personnel</b>								
	Project Associate	1	2,300	6	13,800	4,600	9,200	
	Support staff (50%)	1	1,700	6	10,200	3,400	6,800	
<b>1.2 International Programme Personnel</b>								
	Project Manager (50%)	1	6,500	6	39,000	13,000	26,000	
	Programme Support Officer (20%)	1	4,700	6	28,200	9,400	18,800	
<b>1.3 National Consultants</b>								
<b>1.4 International Consultants</b>								
<b>2. CONTRACTS</b>								
	Contracts for training 20,000 electoral observers and mobilizing 40,000 observers on Election Day:							
	- ACHRS	1	3,150,000	1	3,150,000	3,150,000	0	
	- FES	1	3,150,000	1	3,150,000	3,150,000	0	
	Independent monitoring and evaluation	1	20,000	1	20,000	0	20,000	
<b>3. TRAINING</b>								
<b>4. EQUIPMENT</b>								
<b>5. SUPPLIES &amp; COMMODITIES</b>								
<b>6. TRANSPORT (ONLY FOR WFP PROJECTS)</b>								
<b>7. TRAVEL</b>								
	Mission travel and life support		15,000	1	15,000	5,000	10,000	
<b>8. PROGRAMME/PROJECT SUB-TOTAL</b>						<b>6,426,200</b>	<b>6,335,400</b>	<b>90,800</b>
<b>9. MISCELLANEOUS (Should Not Exceed 3% of BL 8)</b>						51,000	17,000	34,000
<b>10. SECURITY (Should Not Exceed 2% of BL 8+BL9)</b>						30,000	10,000	20,000
<b>11. AGENCY MANAGEMENT SUPPORT COST (Including Monitoring &amp; Reporting) (6.5% of BL8+BL9+BL10)</b>						406,700	397,650	9,050
<b>12. PROGRAMME BUDGET TOTAL</b>						<b>6,913,900</b>	<b>6,760,050</b>	<b>153,850</b>

**Budget narrative:****Direct costs**

1. The budget for a tri-partite agreement between UNOPS, UNAMI and ACHRS will be (up to) USD 3,150,000. The amount is an estimation based on discussions between all three partners during the project development phase as well as on previous cooperation agreements. The actual agreement will be based on a detailed proposal (to be submitted by ACHRS to UNAMI and UNOPS), including a cost break-down for the individual cost categories and activities.

The main cost elements for the training component will be

- Small transportation allowances for 10,000 workshop participants;
- Costs related to training materials, workshop venue, stationery, coffee-breaks, etc.;
- Trainer fees.

For the mobilization component, there will be small allowances paid for 40,000 observers to cover their expenses related to travel and communication.

UNOPS will analyze the proposal and its costs and verify the reasonableness of the individual cost elements by comparing with market rates, costs for similar activities when contracted through a competitive process, previous rates (rates for 2009 were agreed to be drastically reduced compared to the 2005 and 2008 support operation – see section 7.3 for details), etc. This analysis will be reviewed by UNOPS HQ and the agreement requires prior approval by the UNOPS HQ Chief Procurement Officer/Deputy Executive Director.

The entire amount is expected to be committed within the first month of the project but disbursement will be made on a post-facto basis and therefore mainly in 2009 only.

Payments will be made for actual expenditure incurred by the partner organization (within the over-all budget and its individual categories). Clearance of payment requests will also include the requirement for extensive supporting documentation to be provided by ACHRS and its partner NGO networks.

Any amount which has not been spent on activities under the tri-partite agreement (or which has not been accepted by UNOPS) will not be transferred and will be made available for other project activities or returned to the funding source at the end of the project.

2. A similar agreement, based on the same process and also budgeted at USD 3,150,000 will be entered into by UNOPS, UNAMI and FES.
3. The project budget makes provision for an independent monitoring and evaluation exercise (up to USD 20,000). This amount is based on past experience for similar activities and is planned to include the recruitment of a short-term consultant.

**Direct support costs**

1. The total budget for personnel is USD 91,200 (1.3% of total project budget). For details on the personnel to be contracted under this Project, please refer to section 6.1.
2. The project's budget also covers estimated costs of
  - USD 15,000 (0.21% of total project budget) for project personnel mission travel and life support;
  - USD 30,000 (0.43% of total project budget) for security-related expenditure; and
  - USD 51,000 (0.75% of total project budget) for communication (USD 300 per month), office supplies and stationery (USD 500 per month), rental of project office space and utilities (USD 2,100 per month), the rental of a vehicle (50% cost-shared with other project – USD 600 per month) as well as miscellaneous other costs (USD 30,000).

**Indirect support costs**

The UNOPS AOS rate is 6.25% of actual disbursement and will cover any indirect costs incurred (in line with the agreement between the EC and the UNDG/ITF and as principally endorsed by the UNOPS Executive Director).

**Annex A: Agency Project Status Profiles:** Please note that all commitment and disbursement figures are non-certified.

Sl. #	Project ID #	Project Title	Total Budget (US\$)	Implementation Rate (% complete)	Commitments (% as at 30 September 08)	Disbursements (% as at 30 September 08)	Remarks
1	C9-19	Human Rights Projects for Iraq (w/ UNAMI-HRO)	3,163,586	85%	81%	75%	
2	C9-20	Facilitating Reconciliation Through Constitutional Review (w/ UNAMI-OCS)	6,033,807	70%	66%	62%	
3	C9-21 e	Support to Parliamentary Affairs and Constitutional Outreach (Constitution II)	1,067,388	70%	59%	45%	
4	C9-22	Assistance for the Establishment of the Secretariat for the International Compact with Iraq	3,414,816	25%	23%	16%	
5	G11-14	Training for IECI (w/ UNAMI)	2,584,466	100%	100%	99%	
6	G11-15	Electoral Education Campaign (w/ UNAMI)	5,006,147	80%	77%	43%	
7	G11-16	Support to Observers for Iraqi elections Phase III (w/ UNAMI)	6,243,599	95%	95%	82%	
8	G11-17	Communication Support and Technical Assistance to IHEC (w/ UNAMI)	4,366,937	70%	62%	47%	
		<b>TOTALS (US\$)</b>	<b>44,109,223</b>	<b>75%</b>	<b>64%</b>	<b>53%</b>	