

**2010 ANNUAL PROGRESS REPORT FOR PROJECT  
IRFFI/UNDG IRAQ TRUST FUND (UNDG ITF)**

**Participating UN Organization:**  
UNOPS

**Old Cluster:** Governance  
**New Sector:** Governance

**Project No. and Project Title:**  
C9-32:  
Conducting Lessons Learned and Project  
Evaluations for the IRFFI

**Report Number:**  
ATLAS Project Number: 75455  
ATLAS Award Number: 60076

**Reporting Period:**  
14 June 2010 – 31 December 2010

**Project Budget**  
USD 990,038

**List Implementing Partners:**  
UNOPS  
UNAMI  
Ministry of Planning Development and  
Cooperation (MoPDC)

**Geographic Coverage/Scope:**  
  
Iraq- National

**Abbreviations and Acronyms:**

- MOPDC- Ministry of  
Planning and  
Development  
Cooperation
- NDP – National Development Plan
- GoI- Governorate of Iraq
- UNAMI- United Nations Assistance  
Mission to Iraq
- UNOPS-United Nations Office for  
Project Services
- PWC- PRICEWATERHOUSE  
COOPERS
- DC- Donor Committee

**Project Status: On Going**  
**Duration: 6 months**  
Start date: 14 June 2010  
Original end date: 14.12.2010  
Extended until 14 June 2011

## NARRATIVE REPORT FORMAT

### I. Purpose

The Seventh IRRFI Donor Committee (DC) meeting requested to commission a comprehensive lessons learned and evaluation exercise to distil accomplishments, lessons and experiences gained during the implementation of the UNDG ITF to assist Iraq to strengthen future programming and aid effectiveness while informing the UN System and the donors of the mechanism, what worked and what did not work and why. The Eighth IRRFI DC meeting in November 2009 emphasized the need to look at both development and operational effectiveness of the UNDG ITF following a participatory process involving all stakeholders including non-IRRFI donors and the Government of Iraq. Additionally, the donors reiterated their earlier request to follow up on the recommendations and findings of the ScanTeam report.

The UNDG ITF Lessons Learned Exercise (LLE) is intended to provide lessons learned during the course of implementation of programmes and projects and their respective contributions in terms of achievements, constraints and failures, while critically reviewing the UNDG ITF processes and procedures and their role in maximizing the operational effectiveness of the UNDG ITF. To the extent possible, the LLE will gain from the ongoing independent evaluations of 37 UNDG ITF programmes/projects to objectively assess the programmatic contributions to development priorities and challenges in Iraq. The ongoing evaluations will significantly contribute to the LLE by providing a strong evidence base for the UNDG ITF contributions towards development results, while equally reflecting on the operational effectiveness of the programmes/ projects.

The LLE will aid the GoI and donors to identify the added value of the UNDG ITF as part of broader international recovery, reconstruction and development efforts in Iraq, as well as strengths and weaknesses of the GoI's and donors' roles in the management, coordination and oversight of the UNDG ITF. It was intended that this exercise will provide a basis for designing an effective Iraq-led aid coordination mechanism that builds on the effective UNDG ITF processes and mechanisms. The project will be managed by UNOPS, in close coordination with the UNDG ITF Steering Committee and its Support Office, and MoPDC.

The outputs of this project will be in line with the UNCT GOT Outcome 4: Strengthened institutions, processes and regulatory framework of national and local governance.

#### **Joint Programme/Project Outcome(s):**

**JP 1:** Strengthened institutions, processes and regulatory frameworks of national and local governance

*JP Output 1.* GOI and UNCT supported to generate lessons on development and operational effectiveness of the UNDG-Iraq Trust Fund.

#### Key Activities

1. Preparatory Phase
2. Field work/ Data Collection
3. Data Analysis
4. Preparation/ finalization of the UNDG LLE document
5. Presentation of LLE document

## **NDS:**

Indirectly contributes to Goal 6 (Improving the quality of life) and Section 10.2 (Monitoring and Evaluation)

## **ICI Benchmarks (as per the Joint Monitoring Matrix 2008):**

Indirectly contributes to Section 4.4 (Human Development and Human Security)

The key objectives of this comprehensive lessons learned exercise are:

1. To assess the development effectiveness of the programmes and projects administered under the UNDG ITF and to showcase the contributions and results of the UNDG ITF activities towards recovery, reconstruction and development efforts vis-à-vis Iraq's national priorities stipulated in NDS, ICI and MDGs.
2. To assess the effectiveness of the UNDG ITF processes in supporting compliance with the Paris Declaration principles and the UN reform process in Iraq.
3. To understand the relevance of design, legal arrangements and governance mechanisms of the UNDG ITF as well as internal UN coordination arrangements within a two-window MDTF vis-à-vis recovery, reconstruction and development priorities and challenges.
4. To provide an evidence base for the UN System and the MDTF office for the development and refinement of new and existing MDTFs respectively.
5. To guide the GoI, donors, and the UNCT in establishing effective coordination and operational mechanisms in support of aid and development effectiveness.

### • **Iraq NDS**

The project will contribute to the achievement of Pillar 4 of the Iraq National Development Strategy (NDS), *strengthening good governance and improve security*. The NDS specifically mentions that to achieve the goals of Pillar 4 it is required, among other things, to support the Ministry of Planning and Development Cooperation (MoPDC). Under this project, the MoPDC is supported through the services provided by the consulting firm (PRICEWATERHOUSECOOPERS-PWC). PWC was competitively selected to provide consulting Services to perform the Lessons Learned Exercise to the Iraq trust Fund.

### • **ICI**

The Project will contribute to the realisations of the objectives set in the International Compact with Iraq (ICI). In particular the Project will play a role in the achievement of the *implementation of political/legislative timetable*.

The Compact aims to consolidate peace and pursue political, economic and social development. Within this framework, the strengthening of the institutional capacity of the Ministry of Planning and Development Cooperation (MoPDC) is a significant contribution to promote good governance.

### • **UN Assistance Strategy for Iraq**

By providing lessons on the IRFFI and how to best coordinate international assistance to Iraq this project will contribute toward outcome four of the UN Assistance for Iraq 2008-2010 which is "Strengthened

regulatory frameworks, institutions and processes of national and local governance.” This project specifically supports output 4.2 under outcome 4, which is “Enhanced Iraqi capacities to plan, coordinate, implement and monitor public sector reforms and international assistance.”

## II. Resources

- Good practices and constraints in the mechanics of the financial process, times to get transfers, identification of potential bottlenecks, need for better coordination, etc.

Funding was transferred in a timely manner and there have been no constraints to date.

### *Human Resources:*

- National Staff: Provide details on the number and type (operation/programme).
  - Part time Procurement Manager: Main responsibilities, oversee the issuing and the advertising of the RFP and the contracting of the company. Location: Amman, Jordan
  - Part time Procurement Officer: Main responsibilities: processing of invoices, payment and financial analysis. Location: Amman, Jordan
- International Staff: Provide details on the number and type (operation/programme)
  - Part time Project Manager-Operation UNOPS staff: Main responsibilities: project management, oversight, financial and narrative reporting, including the evaluation and selection of the selected consultancy company  
Location: Amman, Jordan with missions to Baghdad/Iraq as required.

## III. Implementation and Monitoring Arrangements

- The implementation mechanisms primarily utilized and how they are adapted to achieve maximum impact given the operating context.

The project was designed to maximize implementation capabilities given the security situation in Iraq. The project incorporated lessons learned from previous operations while working in Iraq. It also required an independent third party to perform the work and therefore sought to use one who could continuously deploy consultants as required for field visits and reviews.

- The procurement procedures utilized.

Standard UNOPS procurement procedures have been applied for procurement under this project.

UNOPS utilizes standard procurement process according to its procurement manual\* and following principles

- a) Best value for money
- b) Fairness, integrity and transparency
- c) Effective competition

d) The best interests of UNOPS and its clients

UNOPS procures goods and services in close collaboration with the Clients, Iraqi authorities, and the Beneficiaries. While the individual arrangements vary depending on the Client and the specific project requirements, the general modalities are:

### **Requirements**

- Upon request of Client, and together with the Iraqi counterparts, identify the goods and services for UNOPS to provide or contract.
- Preparation of detailed specifications of equipment and services and work plan, by UNOPS, based on input and with the support from the Client, the Iraqi authorities and the beneficiaries.
- UNOPS utilizes standard procurement process, including; Request for Quotations (RFQ), Invitation to Bid (ITB), Request for Proposal (RFP)

### **Short-listing**

- UNOPS has developed and maintains a database of known suppliers and service providers in Iraq (incl. performance assessment, capacity, registration in Iraq, etc.) and a roster of registered experts.
- Qualified and potentially interested vendors in the area can also be drawn from the local authority's relevant company registration offices.
- Alternatively, interested companies can be requested to submit their profiles in response to an Expression of Interest ad published in the Iraqi and/or international media (incl. internet).
- Where necessary and relevant, information on companies/vendors can also be drawn from other UN agencies and entities operating in Iraq.
- The short-list of companies selected to be included in the procurement exercise requires approval by the Regional Director, confirming that all relevant sources of information have been utilized for compiling the list.

### **Tendering Process**

- UNOPS issues an Invitation to Bid/Request for Proposal to all short-listed companies, requesting them to submit an Offer/Proposal in line with the specific requirements. The document also stipulates the exact process of submission, receipt, opening, and evaluation of bids and it informs on the nature of the contract/purchase order the selected bid could result in.
- Requests for clarification received from potential bidders are responded to by UNOPS, if necessary upon consultation with the Client, relevant Iraqi authorities, and/or Beneficiaries.
- After expiration of the submission deadline, all Bids received are opened by a UNOPS Bid Opening Committee. The opening ceremony is open to observers from the Client, relevant Iraqi authorities, the Beneficiaries, as well as for companies participating in the tender.

- The evaluation follows UNOPS standard procedure, varying on procurement type and value, and should result in a recommendation for award of contract to the lowest, compliant bid. This recommendation requires approval by the relevant authority within UNOPS.

\*<http://www.unops.org/english/whatwedo/services/procurement/Pages/Procurementpolicies.aspx>

- The monitoring system:

The project manager monitors the implementation of all project activities and initiates corrective action where required. The project manager makes trips to Baghdad to further monitor implementation. Furthermore, UNAMI has been in close cooperation with the service provider, PWC, to ensure that the TORs were met. Finally, frequent reports on work progress were received.

- Assessments, evaluations or studies undertaken.

The entire project is an assessment and evaluation of all projects funded through the UNDG ITF. Although none have taken place on this project, it's purpose is evaluation.

#### IV. Results

- A summary of Programme progress in relation to planned outcomes and outputs; explain any variance in achieved versus planned outputs during the reporting period.

PWC have completed the majority of their interviews and presented initial findings in Baghdad to the international donor community and the MDTF management. This has included the production of power point presentations and initial finding reports. Remaining stakeholders are in the process of being interviewed and reviews of other MDTFs will begin shortly.

UNAMI and the UNDG MDTF Office developed an extensive set of TORs, further to the competitive tender and evaluation of offers PWC was selected as the company to perform the independent Lessons Learned Evaluation.

PWC mobilised their team in August and work has been progressing well with all UNCT and most major donors being interviewed at least once. Other stakeholders are in the process of being interviewed and field visits have begun.

At the request of UNAMI UNOPS extended the duration of the project by 6 months, as by the time the contract had been signed there were less than 6 months left on the project, making it impossible to complete the necessary work. The variance was in the extended duration of the competitive process to ensure appropriate and positive responses by companies to perform the required services.

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

**JP Outcome 1:** Strengthened institutions, processes and regulatory frameworks of national and local governance

**Output 1.1:** GOI and UNCT supported to generate lessons on Development and operational effectiveness of the UNDG-Iraq Trust Fund. **50 % of planned**

1.1.1: Selection and contracting of Consulting firm. **100 % of planned**

- 1.1.2: Inception/ scoping mission for the Lessons Learned Exercise. **100 % of planned**
- 1.1.3: Agreement on methodology and detailed work plan. **100 % of planned**
- 1.1.4: Participate at the initial stakeholder meeting to launch the LL process evaluation process. **100 % of planned**
- 1.1.5: Review of documents, reports, supporting materials. **75 % of planned**
- 1.1.6: Meetings with relevant stakeholders. **50 % of planned**
- 1.1.7: Finalise questionnaires for primary data collection. **80 % of planned**
- 1.1.8: Field visits. **20 % of planned**
- 1.1.9: Undertake data analysis of the qualitative and quantitative data acquired from the field work and data collection processes following the LL themes and key questions. **50 % of planned**
- 1.1.10: Review of the UNDG ITF programme/ project evaluations and the consolidated evaluation report as well as World Bank programme evaluations to distil lessons, case studies on operational and development effectiveness at project/ programme level. **50 % of planned**
- 1.1.11: Preparation of the draft Lessons Learned report. **75 % of planned**
- 1.1.12: Presentation on draft findings/ report to SC and MDTF, IRFFI Donor Committee, UNDG ITF Steering Committee and GoI. **50 % of planned**
- 1.1.13: Finalisation of the Report based on feedback from all relevant stakeholders. **10 % of planned**
- 1.1.14: Submission of LL report to MDTF/ SCSO. **0 % of planned**
- 1.1.15: Dissemination of the UNDG LLE document (a meeting will be organized in Baghdad to share the findings, key lessons learned and recommendations from the LLE). **0 % of planned**

There were no direct beneficiaries yet to the activities that have taken place.

- Delays in programme implementation, the nature of the constraints, actions taken to mitigate future delays and lessons learned in the process.
  - The start of the contract with PWC coincided with the holy fasting month of Ramadan and the Council of Representatives of Iraq official holiday – key counter parts were therefore difficult to engage with until after the Eid holidays.
  - The ability to meet GoI counterparts has been challenging; this is mostly because of the inability to confirm meetings and therefore their delay as the cost of mobilisation of consultants to Iraq is considered too great without confirmations. The reasons for this seem primarily based on challenges of effective communication and lack of senior appointments (the GoI cabinet) until December 2010.

These challenges were brought to the attention of UNAMI and UNOPS and where possible and if appropriate the UN assisted PWC in arranging meetings.

- The key partnerships and collaborations, and their impact on the achievement of results.
  - The Ministry of Planning and Development Cooperation (MoPDC)- as the main GoI counterpart in this project - assisted with a list of key Government stakeholders to interview.
  - UNAMI-The office of the DSRSG has been involved closely in the planning and development of the project and its implementation.
  - PWC in order to perform Consulting Services to perform the Lessons Learned Exercise of the Iraq trust Fund.

- Cross-cutting issues pertinent to the results.

Given the unique nature of this project vis-à-vis the UNDG ITF guidelines, it is anticipated that the results of the lessons learned exercise will contribute directly both to the GoI's actions towards implementing the Paris Principles, as well as towards identifying areas for improvement for future programming by the UN and the GoI in support of the National Development Plan and achievement of the MDGs as well as the implementation of the UN Development Assistance Framework. Indirectly, the manner in which this exercise will be conducted will provide an example to the GoI and other stakeholders that might serve to guide future lessons learned exercises. It may also guide the final design of the aid coordination mechanisms currently under discussion with the donors and GoI as the successor to the IRFFI Donor and Executive Committees.

Given the nature of the project, it is anticipated that the assessment of the projects will entail the examination of impact on these cross cutting issues, and will elicit lessons learned concerning how the UN succeeded or failed in addressing them through the UNDG ITF-funded interventions.

Human rights: The LLE will potentially assess the degree to which the HRBA approach was applied and reflected in the projects, and will hopefully provide recommendations for improved application of its principles.

Gender equality: The LLE will potentially assess the degree to which gender issues were addressed/ reflected in the projects, and will hopefully provide recommendations for improved gender sensitivity and focus in future programming.

Key environmental issues: The LLE will potentially assess the degree to which environmental impact of interventions was taken into account and reflected in the projects, and will hopefully provide recommendations for improved responsiveness to environmental implications of projects.

Employment generation, The LLE will potentially assess the degree to which employment generation was addressed through and resulted from the projects. The LLE project itself will not generate any employment.

## **V. Future Work Plan**

The projected activities are:

1. Finalisation of the Report based on feedback from all relevant stakeholders.
2. Submission of LL report to MDTF/ SCSO.
3. Dissemination of the UNDG LLE document with all stakeholders and interested parties to share the findings, key lessons learned and recommendations.

## VI. Performance Indicators (optional)

### I. Performance Indicators assessment

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Means of Verification
<b>Output 1.1:</b> GOI and UNCT supported to generate lessons on Development and operational effectiveness of the UNDG-Iraq Trust Fund.					
IP Output 1.1	Indicator 1.1.1: Selection and contracting of Consulting firm	No contracting of Consulting firm	Confirmation of contracting of Consulting firm	Yes	Contract
	Indicator 1.1.2: Inception/ scoping mission for the Lessons Learned Exercise.	No Inception meeting	Inception Meeting	Yes	Minutes of meeting
	Indicator 1.1.3: Agreement on methodology and detailed work plan.	No Agreement on methodology and detailed work plan.	Preparing Agreement on methodology and detailed work plan.	Yes	Agreed detailed work plan
	Indicator 1.1.4: Participate at the initial stakeholder meeting to launch the LL process evaluation process.	No participation at the initial stakeholder meeting to launch the LL process evaluation process.	Participation at initial stakeholder meeting to launch the LL process evaluation process.	Yes	Announcement of launch of process
	Indicator 1.1.5: Review of documents, reports, supporting materials	No review of documents or reports	Review of documents and reports and consolidation of them	Yes	Reference to key information from previous reports in draft
	Indicator 1.1.6: Meetings with relevant stakeholders.	No Meetings with relevant stakeholders.	Meetings with relevant stakeholders	Yes	Meeting minutes and reference to meetings in draft
	Indicator 1.1.7: Finalise questionnaires for	No questionnaire	Questionnaires for	Yes	Questionnaire and responses

primary data collection	s for primary data collection	primary data collection		
Indicator 1.1.8: Field visits.	No Field visits.	Field visits	Yes	Field visit reports
Indicator 1.1.9: Undertake data analysis of the qualitative and quantitative data acquired from the field work and data collection processes following the LL themes and key questions.	No data analysis	Data analysis	Yes	Data analysis in draft reports
Indicator 1.1.10: Review of the UNDG ITF programme/ project evaluations and the consolidated evaluation report as well as World Bank programme evaluations to distil lessons, case studies on operational and development effectiveness at project/ programme level.	No review of programme/ project evaluations	Review and distilled lessons from case studies	Yes	Report on review and distilled lessons
Indicator 1.1.11: Preparation of the draft Lessons Learned report.	No draft LL Report	Draft LL Report	Yes	Copy of Draft Report
Indicator 1.1.12: Presentation on draft findings/ report to SC and MDTF, IRFFI Donor Committee, UNDG ITF Steering Committee and GoI	No presentation	Presentation	Yes	Copy of Presentation
Indicator 1.1.13: Finalisation of the Report based on feedback from all relevant stakeholders.	No final report	Final Report	Ongoing	Final Copy of Report
Indicator 1.1.14: Submission of LL report to MDTF/ SCSO.	No submission of final report	Submission of Final Report	Ongoing	Posting on website of MDTF
Indicator 1.1.15: Dissemination of the UNDG LLE document (a meeting will be organized in Baghdad to share the findings, key lessons learned and recommendations from the LLE).	No dissemination of reports	Dissemination of reports to stakeholders	No – final report not produced yet	Feedback on final report from stakeholders