



**UNITED NATIONS DEVELOPMENT GROUP IRAQ TRUST FUND
ANNUAL PROGRAMME NARRATIVE PROGRESS REPORT
REPORTING PERIOD: 1 JANUARY – 31 DECEMBER 2010**

Programme Title & Number
<ul style="list-style-type: none"> • Programme Title: Support to the Expanded Humanitarian Fund (ERF) • Programme Number (if applicable): F8-07 • MDTF Office Atlas Number: UNDG 66937

Country, Locality(s), Thematic Area(s)
<i>(if applicable)</i> Iraq in all Governorates Protection and Emergency Response

Participating Organization(s)
UNDP

Implementing Partners
❖ UNOCHA <ul style="list-style-type: none"> • National counterparts (government, private, NGOs & others) and other International Organizations This project at the end of 2010 was working with 43 Iraqi NGO and 9 INGO (Please consult the Annex for a list of partners), and Relevant Iraqi Local Authorities

Programme/Project Cost (US\$)
MDTF Fund Contribution: \$19,912,595.50
Agency Contribution
Government Contribution
Other Contribution (donor)
TOTAL: \$19,912,595.50

Programme Duration (months)	
Overall Duration	3 years
Start Date	19 November 2009
End Date	31 October 2011
Operational Closure Date	Formally 31 October 2011 but an extension request anticipated to request till 31 October 2012
Expected Financial Closure Date	April 2013 (CDR)

Programme Assessments/Mid-Term Evaluation
Assessment Completed - if applicable <i>please attach</i>
<input type="checkbox"/> Yes <input type="checkbox"/> No Date: _____
Mid-Evaluation Report
X Yes Date: Evaluation completed 2010 Final Report anticipated 2011

Submitted By
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I. Purpose

- Main outputs and outcomes/objectives of the programme.

The Expanded Humanitarian Response Fund (ERF) has the aim to help fill critical humanitarian gaps within different sectors through readily available flexible funding for emergency response to:

1) Save lives or protect threatened livelihood, 2) Meet critical short-term humanitarian needs, and 3) respond to sudden-onset complex humanitarian emergencies. The ERF quickly responds to undertake urgent humanitarian activities in Iraq reflecting a flexible and localized approach to humanitarian action. Specifically, the programme provides a useful channel to better target funds for unmet/urgent needs as a result of geographic, sectoral and funding gaps in humanitarian response and/or government capacity

General Objective	
	<ul style="list-style-type: none"> • Outcome 1: Improved support to vulnerable Iraqis through timely delivery of humanitarian assistance and protection.

Outputs and Key Activities	
Outputs	<p>Output 1.1: Protection needs and gaps in essential services for vulnerable communities affected by crisis in Iraq are met (OCHA lead, UNDP).</p> <p>Output 1.2: Improved capacity, coverage, coordination and impact of humanitarian action (OCHA lead, UNDP).</p> <p>a) Enhanced Capacity of NGOs at the field level through support of Projects responding to key gaps.</p> <p>b) ERF projects respond to identified needs based on updated data analysis (information).</p> <p>Output 1.3: Strengthened links between immediate action for families in crisis and support for early recovery (OCHA lead, UNDP).</p> <p>Output 1.4: Enhanced emergency preparedness to respond to crises in Iraq (OCHA).</p>
Activities	<p>1.1.1 Actively invite, process, and select projects responding rapidly to humanitarian key gaps, and disburse funds accordingly.</p> <p>1.1.2 Monitor and evaluate impact of funded projects.</p> <p>1.1.3 Administer the processing of funds directly to implementing partners.</p> <p>1.1.4 Consult with SOTs and relevant partners to invite projects targeting key humanitarian gaps.</p> <p>1.2.1 Actively invite, process, and select Iraq NGO projects responding rapidly to humanitarian key gaps.</p> <p>1.2.2 Monitor and evaluate impact of funded projects.</p> <p>1.2.3 Provide TRC with regular updates on current humanitarian trends.</p> <p>1.3.1 Prioritize projects that have the potential for creating an enabling environment/compliment recovery activities already taking place.</p> <p>1.4.1 Consult with relevant partners inviting projects for pre-positioning of essential items for sudden onset crisis.</p> <p>1.4.2 Pre-position by relevant agencies both within Iraq and Jordan essential items to facilitate rapid response capacity.</p>

- Relationship of the Project to the Strategic (UN) Planning Framework guiding the operations of the Fund/JP.

UN Assistance Strategy for Iraq

Through the involvement in different sectors, the programme directly addresses the joint UN Assistance Strategy for Iraq within several clusters:

- Education: By funding projects to rehabilitate schools facilities, along with hygiene awareness programs.
- Water and Sanitation: By funding several projects for drilling wells and rehabilitating water centers to improve drinking water availability and quality.
- Health: By contributing to emergency preparedness and providing life-saving medical items to emergency departments in Iraq.
- Housing and Shelter: By reducing the number of people living without adequate shelter in vulnerable areas. The programme rehabilitated several shelters for people in need, in addition to distributing aid materials for winter and summer.
- Agriculture: By funding water storages provisions to save agricultural lands in vulnerable areas.
- Food Assistance: By projects providing food baskets to IDPs, returnees and other vulnerable groups.

UN Millennium Development Goals

This programme addresses MDGs through projects within different sectors. The ERF programme contributes to MDG1 through several projects under food and shelter sectors, which aim at reducing poverty and hunger. Moreover, the programme has contributed to MDG2 through rehabilitating schools, which assists in achieving universal primary education. MDG 4, 5 and 6 are related to the health projects. The programme also addresses MDG 7 Target 3 sustainable access to safe drinking water and basic sanitation and MDG 3 on gender

Iraqi National Development Strategy (NDS)

The programme addresses several NDS goals for improving quality life.

- NDS Goal 1: Mitigate Poverty and Hunger, through food assistance projects.
- NDS Goal 2: Achieve primary education for all, through school rehabilitation projects.
- NDS Goal 6: Full access to water and health services, through several water and health projects as a cornerstone of welfare and economic development.
- NDS Goal 7: Decent houses for all, by shelter projects to reduce the number of families living in destroyed or unsuitable houses. Additionally addressing the needs of IDPs, refugees and returnees while enabling them to realize their potential as contributing members of the economic community.

The International Compact with Iraq (ICI)

- This programme responds to several targets of the ICI as it assists in covering emergency gaps under all different sectors like education, health, water & sanitation, agriculture, shelter and education. Particular to note is ICI Section 4.4 related to Human Development and Human Security with the following ICI areas specific to this programme:
 - 4.4.1: Assist in achieving universal access to basic education.
 - Improve access to primary health care and nutrition, including improved access to safe drinking water.

- Undertake universal measures to ensure universal access to services (water and sanitation, housing).
- 4.4.2: Protect the poor and vulnerable groups from the fallout of change and reintegrate them into society, community and economy; address the needs of IDPs, refugees, and returnees while also enabling them to realize their potential as contributing members of the economic community.
- Undertake specific measures to strengthen the targeted safety net.
- 4.6: Support the development of the agriculture sector to achieve food security.

The National Development Plan

The National Development Plan is the Government of Iraq priorities for 2010-2014. At present, this programme is aligned.

United Nations Development Assistance Framework for Iraq 2011-2014 (UNDAF)

The United Nations Development Assistance Framework (UNDAF) was prepared by the United Nations Country Team in Iraq in consultation with the Government of Iraq and other partners, with the aim of improving the lives of the people of Iraq, and particularly the most vulnerable, in alignment with the national priorities and Millennium Development Goals. The United Nations Development Assistance Framework (UNDAF) 2011-2014 is the first for Iraq, marking a significant milestone in the nation's recovery and transition towards longer term development. Based upon and prepared in parallel with the Iraq Five Year National Development Plan (NDP) 2010-2014, the UNDAF provides a coherent and coordinated strategy for the delivery of UN assistance that embodies the Paris Principles, and supports the newly elected Iraqi administration in meeting its various obligations. The focus of the UNDAF implementation is to foster national capacity and leadership of the development process, within governmental, non-governmental and social institutions, in order to transition the country from the impact of violence and repression characterizing recent decades. Five UNDAF priorities have been identified, providing the scope and strategic direction of the UN system's support to Iraq in the next four years, namely:

1. Improved governance, including the protection of human rights.
2. Inclusive, more equitable and sustainable economic growth.
3. Environmental management and compliance with ratified international environmental treaties and obligations.
4. Increased access to quality essential services.
5. Investment in human capital and empowerment of women, youth and children.

The ERF programme supports several UNDAF Outcomes namely:

- Outcome 1.4 related to human rights.
The ERF programme builds capacity of non-governmental organizations through their receipt of ERF funds, as well as through formal training opportunities offered to them.
- Outcome 3.4 related to disaster management.
Where possible and relevant, some ERF projects are able to incorporate sustainability into the design of the emergency interventions.
- Outcome 4.4 related to water.
The ERF supports this outcome through projects aiming to create or repair water systems for small communities in rural areas that are extremely vulnerable.

- Outcome 4.6 is supported by the ERF through its food and agriculture related projects.

Country Programme Document (CPD)

The first Country Programme was endorsed by GoI and approved by the Executive Board of UNDP on 3 September 2010. The Country Programme is aligned with the National Development Plan and is nested within the UNDAF. UNDP has identified four priority areas of synergy with National Development Plan and UNDAF, namely: a) fostering inclusive participation, b) strengthening accountable and responsive governing institutions; c) promoting inclusive growth, gender equality, climate change mitigation and adaptation and MDG achievement; and d) restoring the foundations for development. The Country Programme takes into account that UNDP operates under the overall mandate of the United Nations Assistance Mission in Iraq (UNAMI) focussing on the role of supporting the Government of Iraq (GoI) in the transition towards national reconciliation, peace and stability through work on governance, poverty alleviation, economic recovery and environment guided by conflict prevention and recovery approaches identified in five outcomes and respective outputs. Five Country Programme priorities have been identified, providing the scope and strategic direction of UNDP to Iraq in the next four years, namely:

- 1) GoI and civil society have strengthened participatory mechanisms in place for electoral processes, national dialogue and reconciliation
- 2) Enhanced rule of law, protection and respect for human rights in line with international standards
- 3) Strengthened regulatory frameworks, institutions and processes in place for accountable, transparent and participatory governance at national and local levels
- 4) GoI has the institutional framework to develop and implement MDG-based pro-poor, equitable and inclusive socio-economic and environmental policies and strategies
- 5) Enabling policy and frameworks for rapid economic recovery, inclusive and diversified growth and private sector development

UNDP Country Programme Action Plan (CPAP)

The UNDP CPAP was in negotiations at the end of 2010 and was signed on 12 March 2011. The CPAP is a signed legal agreement between the Government and UNDP based upon the Country Programme Document. The 2011-2014 CPAP is a four-year living document defining the mutual cooperation and programme of work shared between the Government and UNDP. It is a response to the specific challenges identified in the UN Common Country Assessment 2009 and the UN response as outlined in the UN Development Assistance Framework 2011-2014. These, in turn, take account of the Millennium Development Goals, the Iraq National Development Plan as well as the lessons learned from past UNDP programming in Iraq. The CPAP, has been prepared in close consultation with key stakeholders, defines the goals, and broad outline of strategies and activities that the Government and UNDP jointly subscribe to, with agreed financial parameters. The CPAP further elaborates the five CPD outcomes and respective outputs of UNDP which has incorporated this ITF project.

II. Resources

Financial Resources:

- Funding resources available to the project.

At the end of 2010, the ERF has received \$19,912,595.50 from the Iraq Trust Fund. Additionally, \$450,307 was reported as contributions from the recipients during by the end of 2010. The door will remain open for these kinds of contributions

- Budget revisions details and approved status by the appropriate decision-making body.

In May 2010, based on a presentation of the ERF progress to the ITF Steering Committee, UNDP requested another tranche of funds to support the programme. The revision led to an increase in the programme's funding by \$4,912,595.50 and extended the programme's period with the closing date of 31 October 2011.

- Constraints and Good Practice

Constraints

- With the change in the MNF-I structure and withdrawal from cities, there is a risk of increased violence with the implications presently not known.
- There are an insufficient number of slots in Iraq for UN staff and limited opportunities for movement into the Red Zone. This makes it more challenging to follow-up and to monitor the executed projects in the field.
- To mitigate the impact of risk, OCHA is increasing its coverage inside Iraq, establishing a field coordination structure in each Governorate.
- NGOs are requested to send a signed vendor form that includes all the necessary required banking information. Sometimes the received information is not accurate; as a result, the internal vendor approval process becomes delayed affecting the authorization of payments and transfer of funds.
- The banking system in Iraq can delay receiving the payments which in turn can affect the execution timeline of funded projects.
- The unstable changing environment with the Iraqi Government could affect the cooperation and response by the relevant Iraqi Local Authorities to ERF Projects with potential affect on priorities, security measures, budgets and commitment levels of relevant Local Authorities
- The main programmatic challenge is to avoid delay in the approval process for the many received proposals due to the following constraints:
- Lack of consistent and quality feedback on proposals from some of the Sector Teams, which delays the overall approval process.
- Slow response from some NGOs to the Sector Outcome Teams and Technical Review Committee questions and concerns, due to weak capacities. The unstable changing environment with the Iraqi Government could affect the cooperation and response by the relevant Iraqi Local Authorities to ERF Projects with potential affect on priorities, security measures, budgets and commitment levels of relevant Local Authorities

Programme Issues, Remedial Actions and Good Practices

- **Programme Issue:**
Determining eligibility of NGOs submitting proposals, which was delaying the approval of proposals and/or wasting time and efforts of the reviewing bodies by looking at proposals for ineligible applicants.
- **Good Practice:**
OCHA and UNDP developed a structure for determining eligibility of applicants based on criteria stated in the ERF Charter. The process has been formalized and is the first step of review to ensure that no proposals would to be sent for consideration within the Sector

Outcome Team and Technical Review Committee (TRC) without pre-review and approval of eligibility.

- **Programme Issue:**

Delay in the payment process at UNDP due to procedures and protocol in approving the vendors' profiles. The nature of the ERF requires that new organizations have to be registered in UNDP's payment system and payments cannot be processed before registering and approving the vendor profiles in the system. Any incorrect or incomplete information provided by applicants was delaying approval.

Good Practice:

UNDP proactively implemented a mechanism to accept vendor profiles after the initial screening to reduce the delay time for approval. This mechanism allowed adequate time for UNDP to resolve issues with vendor profiles during the approving process, thus enabling UNDP to be ready for payment once the agreements with the respective NGOs are signed.

- **Programme Issue:**

Approval for the submitted proposals can take long time due to the multiple partners in the process.

Good Practice:

An ERF Fund Management Cell developed a tracking system that follows up SOT and TRC approval, specifying deadlines and standards for feedback. The ERF Team regularly updates the SOTs and TRC system with useful information about projects and criteria to improve response time.

- **Programme Issue:**

OCHA Iraq phasing out by early 2011, which means the coming absence of UNDP's primary implementing partner under this project.

Good Practice:

UNDP proactively was prepared to execute the programme fully when OCHA completely phases out without any disruption. UNDP's Project Manager served as acting OCHA's ERF Manager for most of 2010 based on OCHA's request. This allowed UNDP to be involved in the full process at both sides. Early planning and discussions took place to assure the continuity of important services that were provided by OCHA to support the execution, such as the ERF webpage and Iraq Field Coordinators. Plans and scenarios were completed for finalization in early 2011, before the closure of OCHA's Iraq's Offices in Amman.

Human Resources:

- **National Staff:**

OCHA has national staff positions dedicated to the programme, but are not paid out of this ITF budget.

- An NGO Focal Point is the key liaison between the programme and its partners, the majority of whom are local Iraqi NGOs. The Focal Point receives all new proposals, reports from field monitors, interim and final reports from NGOs, and maintains communication with partners on project status.
- The Programme Clerk provides key operational and administrative support ensuring that proposals move smoothly through the various stages of technical review and approval. The Programme Clerk also manages the ERF Access database, in which all programme details are maintained. Unfortunately, this position was occupied for about six months during 2010.
- The Iraq Field Coordinators (IFCs) provide monitoring of the ERFs at the field level in all governorates.

UNDP has one National Programme Specialist/Programme Manager who leads the Fund Management Cell of the programme and is responsible for fund management, strategic direction, monitoring and reporting of the programme's progress. Partial cost share for Economic Recovery and Poverty Alleviation support staff

- International Staff: Provide details on the number and type (operation/programme)
OCHA has one international staff position not covered by this programme's budget with agreement by OCHA. The ERF Manager provides overall technical review and guidance to ERF proposals, represents the ERF to other UN agencies, donors, and partners; and provides coordination with UNDP for the ITF programme. In 2010, the position was covered by OCHA for about six months, which led to cover the position's role by UNDP's Programme Manager based on an official request made by OCHA to UNDP.

UNDP Partial cost share for Economic Recovery and Poverty Alleviation support staff

III. Implementation and Monitoring Arrangements

- Implementation mechanisms primarily utilized.

The ERF programme has a comprehensive system to receive, assess, review, approve, monitor implementation and report on projects. The programme is implemented through the following major steps:

- OCHA promotes the ERF Programme to Iraqi and international NGOs, attracting them to submit proposals that respond to urgent needs in Iraq.
- OCHA conducts an initial screening for the submitted proposals, communicates with the applicants to get all needed information and consults with Iraqi Field Coordinators (IFCs) in order to prepare packages for the SOTs and TRC approval process.
- UNDP verifies eligibility of applicants and initiates vendor profiles.
- Sector Outcomes Teams (SOTs) and a Technical Review Committee (TRC) review the proposals and send their recommendations, including acceptance or rejection. OCHA responds to their questions and concerns through communicating with the applicants and IFCs.
- SOTs assess the proposals' activities within the overall and sectoral priorities, while the TRC reviews the proposals with reference to technical project selection criteria.
- After proposals are approved, OCHA prepares agreement documents for approval by UNDP and Humanitarian Coordinator (HC).
- Based upon a signed Memorandum of Understanding (MOU) with the applicant NGO, OCHA requests disbursement of payments against signed agreements from UNDP.
- OCHA monitors the execution of the projects with continuous feedback from the Iraqi Field Coordinators (IFCs).
- OCHA receives and reviews reporting from NGOs, and communicates their questions and concerns. OCHA also verifies the reporting by their IFCs in the field on the execution of projects.
- UNDP conducts final review of submitted reports for proper closure of grants and approval of related payments.
- UNDP monitors the progress and direction of the programme in consultation and communication with OCHA.

- In early 2010, UNDP initiated the creation of Standard Operation Procedures (SOPs) to cover the full cycle of ERF Programme's steps and procedures, and to specify roles and responsibilities of the implementing partners, OCHA and UNDP. Please refer to Annex XXX for more details on the SOPs.
- Procurement procedures utilized and variance in standard procedures.

The modality of programme execution is through grants/MOUs to implementing partner NGOs. Therefore, implementing partners are responsible for the procurement of project deliverables in accordance with the programmes guidelines, which is monitored by OCHA/UNDP staff.

For the few direct procurement actions, UNDP Iraq follows the Financial Regulation and Rules (FRR) and the Procurement Manual posted under the Programme and Operations Policies and Procedures (POPP) which provides the framework to carry out procurement processes. The following bullets serve as guiding principles within the procurement process at UNDP Iraq. These principles are:

- Best Value for Money
- Fairness, Integrity, Transparency
- Effective International Competition

UNDP defines procurement as the overall process of acquiring goods, civil works and services which includes all functions from the identification of needs, selection and solicitation of sources, preparation and award of contract, and all phases of contract administration through the end of a services' contract or the useful life of an asset. UNDP has two primary documents, the Financial Regulations and Rules and Procurement Manual, which specify solicitation procedures for supply of goods, services, or works, including appropriate methods for evaluating and selecting awardees and possible contracts. The Regulations and Rules and Procurement Manual also indicate which conditions justify waiving the competitive tendering process in favor of direct contracting.

Further, in order to ensure compliance with UNDP regulations, rules, policies and procedures, all procurement activities at UNDP-Iraq are subject to a review and approval process prior to an award of a procurement contract.

In summary UNDP-Iraq Procurement Unit follows the rules, regulation and there is no variance in standard procedures.

- The monitoring system(s) used and how incorporate lessons learned into the ongoing project.

The monitoring process of the Programme involves several partners with different expertise that monitor and orchestrate control mechanisms at several junctures throughout the project cycle:

- OCHA conducts initial screening for the proposals, which are later reviewed and approved by several members in the different SOT and TRC.
- Eligibility of applicants are conducted by OCHA and verified by UNDP based on identified criteria and submitted documentation.
- Funding documents go through a two-step verification process; prepared by OCHA and cleared by UNDP before the HC's approval.

- Iraq Field Coordinators (IFCs) – the most significant mechanism for monitoring of the ERFs is through the support of 17 IFCs, one based in each governorate except one during 2009. The IFCs provide a local knowledge mechanism for OCHA to verify project results. They provide information and guidance to potential partners when they consider applying for ERF. Once a proposal has been received, the IFC visits the office of the potential partner and the field site where the project is to take place. Based on her/his findings during this visit, the IFC submits a preliminary report, with photographs, verifying the need for the project and the capacity of the NGO. This site visit report is a key factor in the decision to accept a proposal and move it forward through the approval process. When an approved project reaches the midpoint of implementation, the IFC visits the project site to monitor progress towards outputs as stated in the project's results framework. Included in this mid-term site report is a section to identify and mitigate issues or bottlenecks in implementing the project.
 - All reports are reviewed by the ERF Manager and the Focal Point to ensure solutions are found and the project continues smoothly for the remainder of its implementation.
 - Disbursement of funds is based on requests from OCHA, but reviewed and approved by UNDP.
 - OCHA directly monitors and assesses the execution of projects, including direct contact with a sample of beneficiaries. Upon completion of every project, the IFC conducts a final visit to the project site to verify completion of activities as stated in the partner's final report. Interviews are done with beneficiaries and other community members on their opinion of the project. Additional photographs are taken upon completion of the project. Once the final report is submitted by the IFC, the financial report and external audit is reviewed. When reports and audits are cleared, the final payment is made to the partner.
 - Closure of grants and disbursement of final payments is based on a comprehensive review of the final narrative and financial reporting by OCHA, and an additional overall review by UNDP.
 - Through monitoring and lessons learned from executed projects, new information and directions are shared with SOTs and TRC for improved future impact.
- Report on any assessments, evaluations or studies undertaken.

In June 2008, an external evaluation of the ERF was commissioned by TRC members with OCHA's support. The evaluation was conducted by an independent consultant experienced in research on aid policy and practice in Iraq.

Although the evaluation was conducted before this ITF programme and UNDP's involvement, the findings and recommendations of this evaluation were useful in building the vision and strategy in executing the programme.

Based on this evaluation, renewed attention was focused on a number of areas, including, closer oversight of the ERF from the Humanitarian Coordinator and OCHA Head of Office, enhanced guidance on priorities for the Technical Review Committee and stronger interaction between the ERF and Sector Outcome Teams. The evaluation also highlighted the need of strengthening the Fund Management Cell, introduction of immediate response facilities within the ERF, a rigorous monitoring and evaluation regime, simplified application and reporting requirements, and intensive field-based mentoring of ERF partners as a means of bolstering their capacity to use the ERF to its best effect in assisting beneficiaries in urgent need.

In late 2010, UNDP commissioned a mid-term evaluation for the programme. A professional consulting firm was contracted to evaluate the ERF programme. Areas of evaluation include the programme as a funding mechanism, and to evaluate a representative sample of funded/executed

projects during 2009 including the analysis of the projects' impact. The Mid-Term Evaluation and lessons learned will be released during 2011.

IV. Results

- Summary of Programme progress in relation to planned outcomes and outputs.
 - The ERF Charter was improved and finalized by OCHA in March 2009, providing a detailed description of the requirements and procedures of ERF as a funding mechanism. The Charter enhanced and detailed most of the guidelines and procedures indicated in the ITF Programme Document.
 - Several procedures and forms were reviewed and created for a better execution of projects.
 - A new structure was established with additional analysis and formality to determine eligibility of applicants, to avoid wasting the efforts and time of SOTs and TRC in reviewing proposals from ineligible organizations 3rd Q 2009.
 - Established the position of Iraq Field Coordinators in Iraq: Seventeen (17) IFCs were hired by OCHA covering Iraq's Governorates, with recruitment in process for the IFC Ninewa. The IFCs strengthened the programme's abilities in monitoring and follow-up on the executed projects in the field.
 - A new Technical Review Committee (TRC) for reviewing ERF proposals under all sectors was assigned for another six-month term through June 2010.
 - Payment cycle has been reviewed, tracked and improvements were made within areas under our control.
 - The approval process with SOTs and TRC has been reviewed and improved where possible. OCHA increased their follow-up efforts and created new mechanisms to improve the time needed for the process.
 - A training workshop was conducted during 13–16 December 2009 in Erbil Iraq for seventeen (17) IFCs and eleven (11) Information Management Officers who can become involved in the future. The content of the Workshop was on the full cycle of the ERF Programme from receiving proposals, through approving/funding them, to proper closure of executed projects. Based on the feedback of the trainees, the workshop helped the participants understand the phases of the programme, which enriches OCHA's staff capacity in the field to conduct proper monitoring, follow up and reporting on executed projects.
 - A draft Standard Operation Procedures (SOPs) was made to cover the full cycle of ERF Programme's steps and procedures, and to specify roles and responsibilities of the implementing partners, OCHA and UNDP.
 - Three workshops were conducted for partner Iraqi and international NGOs during February and March 2010. The workshop's aims were to promote the programme and increase the professional capacity of NGO partners in their proposal and reporting quality. The workshops introduced the full cycle of the programme, covering all major steps that NGOs go through from submitting the proposal, funding and execution, ending with reporting and closure. About seventy-five (75) participants attended the three workshops representing seventy-five (75) Iraqi and international NGOs. The received feedback from participants was positive, indicating more understanding to the process and the reporting requirements.
 - OCHA and UNDP conducted a presentation with a status report for the ITF Steering Committee requesting approval for the second earmarked budget for the programme which the Steering Committee approved releasing the second budget of \$4.9 million to the project. UNDP submitted all required documents for the budget revision and fund release.
 - UNDP commissioned a mid-term evaluation for the programme. A professional consulting firm was contracted to evaluate the ERF programme. Areas of evaluation include the programme as a funding mechanism, and to evaluate a representative sample of funded/executed projects during

2009, analyzing the project's impact. Lessons learned and conclusions should be finalized in Q1 2011.

- To improve the programme's strategy in attracting quality proposals that respond to the priorities within the different Sector Outcome Teams (SOTs), a request was sent to all sectors to identify their needs and priorities that can be supported within the ERF mandate. The WatSan and Shelter Sectors responded and their priorities have been posted on the ERF webpage.
 - The ERF Fund Management Cell started to utilize the identified needs by respective SOTs in screening and prioritizing the submitted proposals.
 - In order to improve and expedite the approval process of ERF proposals, ERF Project Manager conducted several meetings and discussions with the Humanitarian Coordinator (HC), OCHA and the Steering Committee Support Office (SCSO) to discuss the role of Technical Review Committee (TRC). The consensus was to develop a different role for the TRC from directly reviewing proposals to an advisory role on the programme's direction and strategy. This suggested new role of the TRC was officially presented to the UNCT through a modified version of the ERF Charter. It is anticipated that the project will transition to these new guidelines by Q2 2011.
- Key outputs achieved in the reporting period including and inputs % of completion.

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

Output 1: Protection needs and gaps in essential services for vulnerable communities affected by crises in Iraq are met.

Progress:

- Seventy (70) projects for the total amount of USD 12,800,657 have been funded by the end of 2010.
- Sectors most frequently funded to date are WatSan 36% and Shelter 22% of funded projects. Education is 17%, Agriculture 13%, Health 8%, and Food 4% of funded projects
- By the end of reporting period, forty six (46) projects are completed with operational and financial closure with final reports submitted by recipients and reviewed. Seven (7) additional projects are operationally completed with the recipients either working on their required closure reporting or their submitted reporting is presently under review.
- The funded projects served and will be serving an estimated 567,117 beneficiaries in all sectors.
- Forty Four percent (44%) of beneficiaries are under Health, 29% under WatSan, 9% under Shelter, another 9% under Agriculture, 5% under Education, and 4% under Food.

Status of achievement: Seventy one percent (71%) of the total dedicated programme budget is committed for this output.

Output 2: Improved capacity, coverage, coordination and impact of humanitarian action.

Progress:

- Eighty three (83%) of the funded non-governmental organizations (NGO's) under the programme were national Iraqi NGOs. The Programme up to 31 December 2010 partnered with 43 Iraqi NGOs and 9 International NGOs. Kindly refer to the annex for more information.

- The programme continues to cover most of Iraq, conducting eighty four (84) activities in 15 Governorates. The number of covered Governorates went down from 18 as reported in Q2 2010, because one of the funded projects couldn't reach all of the targeted governorates under the project. Therefore, the NGO's final reporting is reflected in this report.
- Sector Outcome Teams are groups of UN agencies and international partners who have technical expertise in specific areas, such as health, shelter, water and sanitation. The SOTs confirm the need and priorities of their relevant sectors based on statistics and information, including known gaps with approvals by the Human Coordinator. All projects (100%) are reviewed by SOTs and TRC before the approval of funding.
- To improve the SOT and TRC role in the post-approval, they are updated on ERF progress and spending related to each sector.
- A training workshop was held in Erbil during February 2010 for NGOs that are based in the northern part of Iraq. 22 participants from 22 different NGOs attended the workshop, introducing the full cycle of the ERF programme as a funding mechanism. The workshop discussed ERF's criteria and procedures starting from submitting and approving proposals, through funding and execution, ending up with submitting required reporting.
- To assure maximum coverage, another two training workshops were held in Erbil in March 2010 covering NGOs in the central and southern governorates of Iraq. More than 49 participants attended the two (2) workshops representing 49 Iraqi and international NGOs.
- The eighteen (18) OCHA positions of Iraq Field Coordinators (IFCs) cover all Governorates nationwide. The IFCs strengthen the monitoring and follow-up on the execution in the field.
- A training workshop was conducted during 13 to 16 December 2009 in Erbil, Iraq for seventeen (17) IFCs and eleven (11) Information Management Officers. The Information Management Officers can become involved in the future in the full cycle of the ERF Programme from receiving proposals, through approving/funding them, to proper closure of executed projects. Based on the general feedback of the trainees, the workshop helped the participants to understand the phases of the programme, which would enrich OCHA's staff capacity in the field to conduct proper monitoring, follow up and reporting on executed projects.

Status of achievement: Eighty three percent 83% of the planned progress was accomplished based on indicators, taking in consideration the geographic coverage.

Output 3: Strengthened links between immediate action for families in crisis and support for early recovery.

Progress:

- All ERF projects are prioritized by the SOTs and TRC Committee to support projects with potential early recovery activities and critical shortfalls in the MDGs.

Status of achievement: 100% of planned.

Output 4: Enhanced emergency preparedness to respond to crisis in Iraq.

Progress:

- The Programme funded one grant to supply life saving medical items to Public Emergency Departments in Iraq, covering nine (9) Central and Southern Governorates targeting an estimated 21,000 crisis-affected individuals accessing emergency rooms. The project

originally was targeting 15 governorates, but actually covered 9 based on continuous rapid assessment. The estimated gender ratios of beneficiaries are: 40% children, 35% women and 25% men.

- Sixty two percent (62%) of the distributed items were consumed and thirty-eight percent (38%) of distributed items were pre-positioned at the Ministry of Health Emergency Departments/Hospitals. The above is reflected in the project’s final narrative and financial project reports.

Status of achievement: Seventy five percent 75% of planned activities taking in consideration the geographic coverage and the programme’s new period.

- Beneficiaries of the project

Direct Beneficiaries	Number of Beneficiaries
Men	77,229
Women	294,073
Children	199,320
IDPs	151,548
Others	419,074
Indirect beneficiaries	12,158
Employment generation (men/women)	919

- Delays in programme implementation.
This has been discussed in earlier text with remedial actions.
- List the key partnerships and collaborations, and explain how such relationships impact on the achievement of results.

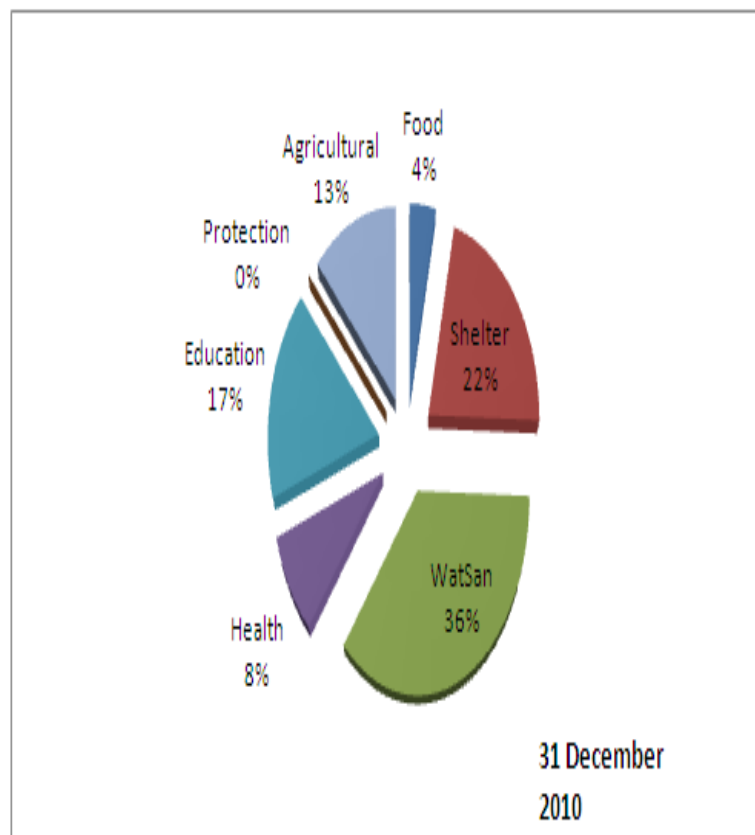
The Project at the end of 2010 was working with 43 Iraqi NGO and 9 INGO

The following tables provide a comprehensive summary of ERF projects funded by ITF relating to funded projects by sector and related to text in earlier sections. Also kindly refer to the appendix as this project as of the end of this reporting period was working with 43 Iraqi NGOs and 9 INGO.

<i>ERF Funded Projects By Sector</i>			
Sector	Amount (\$)	% of Approved Projects	No. of Direct Beneficiaries
Food	\$ 496,787.41	4%	27,950
Shelter	\$ 2,756,365.79	22%	39,585
Water	\$ 4,593,899.46	36%	83,779
Health	\$ 1,087,948.62	8%	30,805
Education	\$ 2,242,005.06	17%	9,685
Protection	\$ -	0%	
Agriculture	\$ 1,623,651.00	13%	18,354
Total	\$ 12,800,657.33	100%	210,158

Activities By Governorate

Governorate	No. of Activities
Anbar	6
Babylon	5
Baghdad	12
Basra	6
Diyala	10
Dohuk	8
Erbil	1
Kerbala	0
Kirkuk	7
Missan	0
Muthana	0
Najaf	4
Ninawa	4
Qadisiya	2
Salah El Deen	2
Sulaimaniya	4
Thi Qar	11
Wassit	2
Total	84



- Other highlights and pertinent cross-cutting issues

Gender: Although the programme was not designed to take into consideration gender issues, implementation has supported women under several sectors as one of the common vulnerable groups. It is estimated that more than 294,073 females have benefited/will benefit from the projects funded up to 31 December 2010. It is feasible that a higher number of women will benefit in 2011, with an increasing focus on vulnerable groups, IDP, widows and female-headed households.

Environment: The Programme funded projects to provide water resources for agricultural lands and live stocks, which assisted in preserving the environment, especially in areas facing drought. Up to December 2010, the programme funded seven projects under the Agriculture Sector providing water

resources for corps and livestock, out of which three projects provided water storage provisions for orchards in 39 villages and maintained 36 ponds in the Governorate of Dohuk only.

Employment: The programme encouraged employment of targeted beneficiaries while implementing ERF projects. This has assisted (to a certain extent) in solving some of the unemployment, while increasing the level of commitment and ownership. More than 900 employment opportunities was reported by NGOs up to date.

Capacity Development: In 2010, the programme conducted three training workshops for NGOs based in Iraq, introducing the full cycle of the ERF programme as a funding mechanism. The workshops were attended by more than 80 persons representing about 71 Iraqi and international NGOs, based in the North, Center and South of Iraq to assure maximum coverage. The workshops discussed ERF's criteria and procedures starting from submitting and approving proposals, through funding and execution, ending up with submitting required reporting. It helped in building NGOs' professional capacities in dealing with the ERF programme and other donors as well.

- Kindly refer to the Logframe Section VI Indicator Based Performance Assessment of the programme/ project based on performance indicators as per approved project document.

Please kindly refer to the Logframe as Section VI.

V. Future Work Plan

- Projected activities and expenditures for the following reporting period (1 January-31 December 2011)

During 2011 the Project timeframe completes and operational closure initiated. However, an extension request is currently under discussion.

The ERF will continue to monitor existing projects and look at new projects until all funds have been allocated. ERF will increase efforts to attract and support proposals that respond to service delivery to underfunded sectors and Governorates which have had lesser coverage by this project.

- Indicate any major adjustments in strategies, targets or key outcomes and outputs planned.
No major adjustments in strategies, targets or key outcomes and outputs, however, there will be extra efforts in 2011 to attract proposals that respond to underfunded sectors and to target governorates that were not covered before by ERF projects.

VI. INDICATOR BASED PERFORMANCE ASSESSMENT

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Means of Verification	Comments (if any)
IP Outcome: Improved support to vulnerable Iraqis through timely delivery of humanitarian assistance and protection.						
IP Output 1.1 Protection needs and gaps in essential services for vulnerable communities affected by crises in Iraq are met	1.1.1: Number of projects funded to respond to key sector gaps in areas of vulnerabilities	38 projects between January – December 2009	100% of the projects respond to key sector gaps	32 projects funded in 2010 for more than \$6.7 million. 100% of projects respond to key sector gaps Shelter and WatSan with a percentage of 32% of funded projects for each sector, Health 11%, Education 9%, Agriculture 8%, and Food 8%.	Funded grants documentation Funds tracking system Project Approval Forms which indicates approvals of SOTs and TRC on all projects Proposals and reporting of partner NGOs / recipients	
	1.1.2: Number and percentage of	Funded ERF projects in	Serve more than	By December	Reporting of partner NGOs /	

	beneficiaries per ERF funded projects out of the total affected by the crises	2009 that served 194,030 beneficiaries N/A	200,000 vulnerable people	2010, the programme served/will be serving more than 570K beneficiaries (376,592 beneficiaries through the projects funded in 2010). 44% of beneficiaries are under Health sector, 29% under WatSan, 9% under Shelter, another 9% under Agriculture, 5% under Education and 4% under Food sector.	recipients Reporting of partner NGOs / recipients	
IP Output 1.2 Improved capacity, coverage, coordination and impact of humanitarian action	1.2.1 Number of local NGOs awarded grants	28 national Iraqi NGOs were awarded ERF projects in 2009	Additional new 10 national Iraqi NGOs to be awarded new ERF	By end of December 2010, 83% of funded NGO's under the programme	Funded grants documentation Funds tracking system	

			projects	were national Iraqi NGOs. The programme funded 52 NGOs, 9 International and 43 Iraqi (15 new Iraqi NGOs in 2010)		
1.2.2: Number of geographic regions covered by ERF projects	14 Governorates were covered with ERF projects / activities in 2009	At least five geographic regions	By December 2010, the ERF Programme funded 70 projects conducting 84 activities in 15 Governorates in Iraq	Funds tracking system Fund Management Cell Projects' final reporting		
1.2.3: Number of IAU/SOT briefings to the technical review committee	The ERF management team met with the TRC four times during 2009 to brief them on the status of ERF projects and balance of funds There were no IAU/SOT	8 IAU/SOT briefings to the Technical Review Committee during programme cycle	Updated SOT and TRC regularly by e-mail and through sector meetings.	Lists of attendance sheets with names of attendants/ minutes of briefings	Updates are regular through different mechanisms. This output is no longer considered to be a primary output or vital to this project as multiple mechanisms are in place.	

		briefings to the TRC during 2009				
	1.2.4: % of projects reviewed by SOTs out of total ERF projects	All ERF projects funded in 2009 were reviewed and approved by relevant SOTs	100% of projects reviewed by SOTs	All projects (100%) are reviewed by SOTs and TRC before the approval of funding	Project Approval Form which indicates approvals of SOTs and TRCs Funds tracking system Fund Management Cell	
	1.2.5: % of ERF projects based on updated gaps analysis of total ERF projects	38 projects were approved in 2009 based on proposed needs and gaps that got confirmed by the relevant SOTs	100% of ERF projects based on updated gaps analysis of total ERF projects	All approved ERF projects in 2010 (100%) are based on proposed needs and gaps that get confirmed by SOTs	Approvals of SOTs and TRCs Funds tracking system Fund Management Cell Projects' final reporting	
IP Output 1.3 Strengthened links between immediate action for families in crisis and support for early recovery	1.3.1: % of ERF projects demonstrating links to ongoing recovery activities out of the total ERF projects	All ERF proposals are prioritized by the SOTs and TRC committee to support projects with potential early	100% of the ERF projects	All funded projects are prioritized by the SOTs and TRC committee to support projects with	Approvals of SOTs and TRCs Funds tracking system Fund Management Cell	

		recovery activities		potential early recovery activities	Projects' final reporting	
<p>IP Output 1.4</p> <p>Enhanced emergency preparedness to respond to crises in Iraq</p>	<p>1.4.1: Availability of basic assistance items in warehouses</p> <p>1.4.2: Time needed to deliver assistance items from warehouses to crises locations</p>	<p>The Programme funded a grant in 2009 to supply life-saving items to Emergency Departments in Iraq, covering 9 Central and Southern Governorates, and serving an estimated number of 21,000 crisis-affected individuals accessing Emergency Room. Estimated gender ratios: 25% men, 40% children and 35% women</p>	<p>Fund at least one preparedness focused ERF project</p>	<p>No new projects were funded in 2010 that would enhance emergency preparedness.</p>	<p>Partner NGO's proposal and interim reporting</p> <p>Fund Management Cell</p>	<p>The ERF Fund Management Cell did not receive any valid emergency preparedness proposals during 2010.</p> <p>Perhaps this is due to the fact that priority is not being given and the high level of coordination that would be required between NGOs and GoI. Additionally, there is no apex body within the GoI and other components within UNDP are looking into addressing the DRR issue</p>

Annex I: Support to the Expanded Humanitarian Response Fund

List of Implementing Partners

Iraqi and International NGOs Up to Q4 of 2010

No	Partner NGO
Iraqi National NGOs	
1	Afkar Society for Development
2	The Iraqi Democratic Women Group
3	Dhi Qar Forum for Civil Society Development
4	Humanity Al Zahra Association for Human Rights
5	Al GHAD League for Woman and Child
6	The United Foundation for Relief and Abiding Development (FUAD)
7	Darya Center for Developing Women and Community
8	Iraqi Civil Society Institute
9	New Iraqi Woman Organization
10	Iraq Relief Organization (IRO)
11	PANA Center for Combating Violence Against Women
12	Love and Peace Society
13	Iraqi Salvation Humanitarian Organization (ISHO)
14	Harikar NGO
15	Disabled Children's Care Organization
16	Haraa Humanitarian Organization
17	Iraqi Youth League
18	Brotherhood Association Humanity of Human Rights and Defending the Rights of Deportees and Effectuated
19	Mamoura Humanitarian Establishment
20	The Development Foundation for Culture, Media and Economy (DFCME)
21	Charitable Association for Taking Care of Widows and Orphans / Al Anbar / Al Ramady
22	Smile Organization for Relief and Development
23	Iraqi Health and Social Care Organization (IHSCO)

24	Kurdistan Reconstruction and Development Society Organization (KURDS)
25	Iraqi Al-Firdaws Association
26	Youth Activity Organization
27	Al Erada Organization of Aids and Development
28	Kurdish Human Rights Watch, Inc. (KHRW)
29	Kurdistan Reconstruction and Development Organization (KURDO)
30	Voice of Older People
31	Agrozeo NGO
32	Kanz Organization
33	Happy Family Organization for Relief and Development - HFORD
34	Iraq Reproductive Health & Family Planning Association (IRHFPA)
35	Kurdistan Relief Association (KRA)
36	South Youth Organization
37	Kurdistan Villages Reconstruction Organization (KVRA)
38	Al Janaen Organization for Society Rehabilitation
39	Youth Save Organization
40	Sorouh for Sustainable Development Foundation
41	Al-Ethar Humanitarian Foundation
42	Akad Cultural Institute
43	Al-Tadamon Ligament for Sporting & Youth
International NGOs	
1	Peace Winds Japan
2	Premiere Urgence (PU)
3	Islamic Relief Worldwide
4	Millennium Relief & Development
5	Norwegian Church Aid
6	War Child UK
7	Japanese Emergency NGO - JEN
8	Relief International (RI)
9	Human Relief Foundation - UK