



UNDG Iraq Trust Fund

GENERIC ANNUAL PROGRAMME¹ NARRATIVE PROGRESS REPORT

REPORTING PERIOD: 1 JANUARY – 31 DECEMBER 2011

Programme Title & Project Number <ul style="list-style-type: none">Programme Title: Capacity Strengthening of the MoP to Support the Process of a National Development Plan for IraqProgramme Number (if applicable)MPTF Office Project Reference Number:³ C9-31UNDG ITF Atlas project number : 75028	Country, Locality(s), Thematic/Priority Area(s)² <p>(if applicable) Country/Region: Iraq: Baghdad</p> <p>Thematic/Priority: Governance</p>
Participating Organization(s) <p>UNOPS</p>	Implementing Partners <p>UNAMI Ministry of Planning⁴</p>
Programme/Project Cost (US\$) <p>MPTF/JP Contribution: USD 956,000</p> <p>Agency Contribution N/A</p> <p>Government Contribution N/A</p> <p>Other Contributions (donors) N/A</p> <p>TOTAL: USD 956,000</p>	Programme Duration <p>Overall Duration 24 months</p> <p>Start Date⁵ 3 May 2010</p> <p>End Date 3 May 2012⁶</p> <p>Operational Closure Date⁷ 3 May 2012</p> <p>Expected Financial Closure Date</p>
Programme Assessment/Review/Mid-Term Eval. <p>Assessment/Review - if applicable <i>please attach</i> <input type="checkbox"/> Yes <input type="checkbox"/> No Date: dd.mm.yyyy</p>	Report Submitted By <ul style="list-style-type: none">Name: Andrew ReeseTitle: Programme Manager

¹ The term “programme” is used for programmes, joint programmes and projects.

² Strategic Results, as formulated in the Performance Management Plan (PMP) for the PBF; Sector for the UNDG ITF.

³ The MPTF Office Project Reference Number is the same number as the one on the Notification message. It is also referred to “Project ID” on the [MPTF Office GATEWAY](#)

⁴ When the project was originally drafted the Ministry of Planning was referred to as the Ministry of Planning and Development Cooperation (MOPDC). It is now the Ministry of Planning.

⁵ The start date is the date of the first transfer of the funds from the MPTF Office as Administrative Agent. Transfer date is available on the [MPTF Office GATEWAY](#)

⁶ As per approval by the relevant decision-making body/Steering Committee.

⁷ All activities for which a Participating Organization is responsible under an approved MPTF programme have been completed. Agencies to advise the MPTF Office.

Mid-Term Evaluation Report – *if applicable please attach*

Yes No Date: *dd.mm.yyyy*

○ Participating Organization (Lead): UNOPS

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NARRATIVE REPORT FORMAT

I. Purpose

- Provide the main objectives and expected outcomes of the programme.

This project will provide assistance to support the Government of Iraq by making available technical expertise, as required/identified by the Ministry of Planning (MoP). This will support the National Development Plan (NDP) implementation process in Iraq, and aid in the finalization of the current NDP process while also laying foundations for a longer-term coordination planning structure. Support will be provided through an external management firm, and will include (but is not limited to) providing policy guidance and reform technical expertise as well as assistance to ensure integration of foreign and national resources in achieving development goals. This will strengthen the capacity of MoP to lead the implementation of the NDP as well as the overall development planning process in Iraq.

The immediate objectives are:

1. GoI has improved institutional capacities to undertake NDP process.
2. MoP has coordinated mechanisms to implement NDP processes.

Outcome:

NDS/ICI priority/ goal(s): NDS: Strengthen good governance and improve security.

ICI: 4.2 Strengthening institutions to improve governance.

UNCT Outcome: Strengthened governance institutions and processes for political inclusion, accountability, rule of law, and efficient service delivery.

Sector Outcome: Outcome 4: Strengthened institutions, processes and regulatory frameworks of national and local governance

Outputs:

1.1: GoI has improved institutional capacities to undertake NDP process.

1.2: MoP has coordinated mechanisms to implement NDP processes.

- Explain how the Programme relates to the applicable Strategic (UN) Planning Framework guiding the operations of the Fund/JP²

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 (MoP).

ICI: 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 (MoP) is a significant contribution to promote good governance and improve the political framework.

UN Assistance Strategy for Iraq: By supporting the implementation of the NDP, as well as helping to develop a more longer-term coordination structure with the GoI, 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

Financial Resources:

- Provide information on other funding resources available to the project, if applicable. Please refer to information on the [Annual Reporting Cover Page](#).

N/A

- Provide details on any budget revisions approved by the appropriate decision-making body, if applicable.

A project extension with budget revision was requested and approved on 3rd May 2011, to allow for a 12 month extension of the project. The additional time was requested in order to complete project activities in relation to a request from the MoP to support the implementation of the Iraq Development Management System through the contracting of a software development company to provide specific support to work on certain modules of the system. Project activities in this area had been delayed by the late appointment of a Minister of Planning under the new Iraqi government and the resulting administrative blockages faced by the ministry in terms of granting permissions for project activities.

The budget was revised to cover required costs for the extension period, however no funds were added to the overall budget. Movement of funds were made in the following manner:

- The budget for supplies, commodities, equipment and transport was increased by 29.4%;
- the budget for personnel costs was increased by 9.9%;
- the budget for direct contracts was increased by 1.4%, and;
- the budget for contracts was decreased by 4.4%.

- Provide information on good practices and constraints related to the management of the financial aspects of implementing the programme, including receipt of transfers, administrative bottlenecks and/or other issues affecting the financial management of the programme.

Funding was transferred in a timely manner and there have been no constraints to date. Long Term Agreements for some procurement activities were used where possible, which is considered good practice as there is a reduction in resource costs and negotiated rates for goods/ services based on a greater scale than would have been able to be achieved by just one project.

Human Resources:

- National Staff: Provide details on the number and type (operation/programme).

N/A

- International Staff: Provide details on the number and type (operation/programme)

1 part time international project manager

III. Implementation and Monitoring Arrangements

- Summarize 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 direct support to the GoI and fundamentally seeks to utilize the mechanism of a third party provider to continuously deploy consultants to required GoI ministries. In addition the project utilized Long Term Agreements (LTAs) where possible because of resource and time efficiency. The procurement of services to support the MoP's Iraq Development Management System was by using an LTA.

- Provide details on the procurement procedures utilized and explain variances in standard procedures.

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) and LTA.

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 Procurement Authority (Director of the Operation Centre), 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.
- By the deadline for receiving bids, 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 technically Responsive bids. This recommendation requires approval by the relevant authority within UNOPS.

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

- Provide details on the monitoring system(s) that are being used and how you identify and incorporate lessons learned into the ongoing programme, including corrective actions that may have been taken.

The project manager monitors the implementation of all project activities and initiates corrective action where required. The project manager makes frequent trips to Baghdad to further monitor implementation. The project manager has continued updates and briefings with the primary service provider to the Iraq Development Management System, and cross references updates with partner organizations of MoP, UNDP, UNAMI and USAID.

In addition, during the course of the project UNOPS IQOC had three successful audits for all projects and programmes. An internal UNOPS audit in 2010, compliance for ISO 9001 in 2011 and from the UN Board of Auditors in 2011.

- Report on any assessments, evaluations or studies undertaken.

No programmatic evaluations or assessments were made. Evaluations and/ or studies were not factored in the design of this programme. However, there were performance assessments of service providers given the nature and scope of the programme, and the main service provider performed satisfactorily, confirmed in their evaluation by UNAMI, UNDP and the MoP.

IV. Results

- Provide a summary of Programme progress in relation to planned outcomes (strategic results with reference to the relevant indicator) and outputs; explain any variance in achieved versus planned outputs during the reporting period.

In 2010 UNOPS completed procurement procedures to set up a Long Term Agreement (LTA) which would serve the same purpose of selecting a management consultancy to deploy consultants under this project in order to support requests from the Ministry of Planning for capacity support in line with the project outcomes and outputs (outlined above). In 2011 the LTA remained in full effect and UNOPS was ready to deploy consultants upon request.

However, delays in forming the new Iraqi Government impacted on the project's progress. In particular, the Minister of Planning was not officially appointed until April 2011. This caused delays from the ministry in terms of decisions on which areas they deemed to require project support. When support requests eventually were proposed they were aligned not to the original planned project but the Iraq Development Management System (IDMS).

As detailed in the last annual report, UNOPS received a letter from the DSRSG/RC/HC of UNAMI at the end of September 2010, conveying a request from the MoP, to procure services for the development of a Business Process Management (BPM) module in order to automate business processes by incorporating a work flow management system in the IDMS. UNOPS duly procured the services of a software development company in 2010 and development was successfully concluded in 2011. Further to the launch of the IDMS in Baghdad, meetings were held with UNAMI and the Ministry of Planning regarding options for future support, with the MoP providing an extensive list of potential support areas that ran beyond the financial abilities of this project. It was agreed to prioritise the support areas, in order to make most effective use of available funds and the project was requested by the MoP with UNAMI and in coordination with UNDP to specifically support the IDMS help desk functions and provide relevant training. The helpdesk had been collectively identified as a component that was critical to the overall success of the IDMS. In addition, conversations were held in Baghdad between UNAMI and the MoP with regard to providing technical consultants to support the MoP across a range of areas. Once TORs have been confirmed UNOPS will begin a recruitment process for relevant experts.

- Report on the key outputs achieved in the reporting period, including the number and nature of the activities (inputs), outputs and outcomes, with percentages of completion and beneficiaries.

The percentages of completion per output are given below. The majority of output 1 activities up to and including output 1.1.10 were achieved in 2010 as detailed in the previous annual report.

In general, in 2011 overall achievement under output 1.1.11 and output 1.2 has been severely affected by project delays linked to the situation of the Ministry of Planning (outlined above) and in receiving requests for project support in line with the capacity and budget of the project.

Output 1.1: GoI has improved institutional capacities to undertake NDP process.- 10 %

1.1.1 UNOPS, together with other relevant stakeholders defines ToRs for the external management company: 100%

1.1.2: Submission of ToRs to GoI for approval: 100%

1.1.3: Approval of ToRs by GoI: 100%

1.1.4: Publish Expression of Interest (EoI) on UN/ UNOPS website: 100%

1.1.5: Alert companies with proven and current Iraq experience and relevant expertise to EoI: 100%

- 1.1.6: Transmission of Request for Proposal to potential contracting companies based on positive responses to EoI: 100%
- 1.1.7: Evaluation of received proposals by UNOPS with the participation of the MoP and UNAMI: 100%
- 1.1.8: Selection of management consultancy based on evaluation: 100%
- 1.1.9: Engagement by UNOPS of selected management Consultancy Company to provide the services as specified in the ToRs, and as proposed in the company submission: 77%
- 1.1.10: Assignment of part-time Project manager to follow and monitor the implementation of the project and initiate corrective action when required: 77%
- 1.1.11: The management consultancy company will engage consultants: 0%

Output 1.2: MoP has coordinated mechanisms to implement NDP processes: 0%

- 1.2.1 The consultants will work with the GoI staff: 0%
- 1.2.2 Internal evaluation exercise conducted: 0%

- Explain, if relevant, delays in programme implementation, the nature of the constraints, actions taken to mitigate future delays and lessons learned in the process.

The main constraint faced by the project was the delay in the appointment of the Minister of Planning, who did not take up the post until April 2011. As a result, no requests for project support were received by the project in the early part of the year, essentially leaving the project on standby. Once the minister was appointed, further challenges were faced when requests received from the ministry went beyond the scope and budget of the project, meaning that they could not be accommodated. Lessons learned from this situation are that it is essential to maintain a close cooperation and relationship with GoI counterparts. Many meetings and discussions have taken place in the latter part of 2011 to resolve this situation and select priority areas for project support that fall within the remit of the project.

- List the key partnerships and collaborations, and explain how such relationships impact on the achievement of results.
 - The Ministry of Planning and (MoP) – as the main GoI counterpart in this project, the MoP team have been involved in planning and implementation.
 - UNAMI – The office of the DSRSG has been involved closely in the planning and development of the project and its implementation.
 - UNDP has been collaborative and supportive in the development of the Business Process Module and has assisted with technical knowledge in the monitoring of its development.
 - UNOPS’ role is project implementation, monitoring and reporting. This includes liaising between the various stakeholders and overseeing all procurement and recruitment required.

This project, by design, reflected the comparative strengths and requirements of the different organisations, which directly impacted results. UNAMI in the project is responsible for technical oversight and UNOPS is recognized as an effective implementation partner that is able to deliver results based precisely on its ability to partner with organisations who have technical competency but with no, or little, implementation capability. UNDP assisted the delivery of results greatly through close cooperation – the combined UN coordination contributed to successful UN integration and the concept of ‘Delivering as One’.

MoP collaborated with USAID, UNDP and UNAMI on technical components of this project and while this was clearly more successful for the IDMS, challenges were faced with the identification of appropriate personnel to build capacity for the NDP process.

- Other highlights and cross-cutting issues pertinent to the results being reported on.

As with 2012, the continued development of software currently to support the MoP should allow for greater coordination and measurement of all UN, GoI and other entities' activities – this should therefore allow for all cross cutting issues themselves in other projects to be mapped and tracked better and therefore, managed.

- Provide an assessment of the programme based on performance indicators as per approved programme document using the template in Section VI, providing clear evidence on the linkages of outputs and outcomes achieved, if applicable.

The indicators in the project document refer primarily to measurable targets such as the signed contract with the LTA service provider, which can be interpreted as a solid empirical demonstration of the mechanism to deploy consultants once they have been selected. However, the overall outcomes are qualitative, subjectively difficult to measure, and would largely need to be assessed as part of a review of the next NDP. Despite having achieved successful tangible indicators they would not necessarily constitute improved capacity.

- Qualitative assessment of overall achievement with reference to the applicable strategic results indicator.

The support of the IDMS is key to the functional ability of the MoP to meet its mandate and implement the National Development Plan by being able to create a transparent system for approval, management and tracking of GoI goals. However, it should be noted that this is a deviation from the original intended plan of building capacity through mentoring and coaching of specific staff and departments responsible for the oversight of the NDP process.

V. Future Work Plan (if applicable)

- Summarize the projected activities and expenditures for the following reporting period (1 January-31 December 2012), using the lessons learned during the previous reporting period, including outputs that were not achieved in 2011.
- Indicate any major adjustments in strategies, targets or key outcomes and outputs planned in 2012.

The project is due to close in May 2012 and all remaining funds are available to be disbursed following appropriate requests, with the exception of outstanding commitments of 116,000 USD to existing obligations.

Projected activities include the production of Terms of Reference for specific areas of support for subject matter experts to help build capacity in the MoP. (Example areas could be agriculture, water, or economics.) However, as of March 2012 no TORs have yet been provided so if the project is not extended it is unlikely that there will be time to advertise, interview, select, contract and deploy consultants to Iraq and have them complete their TORs successfully. The support to the IDMS is on track and the establishment of a help desk, including required training, is expected to be completed by the end of the project.

VI. INDICATOR BASED PERFORMANCE ASSESSMENT

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Achieved Indicator Targets	Reasons for Variance (if any)	Source of Verification	Comments (if any)
Outcome 1⁸ GoI has improved institutional capacities to undertake NDP process.							
Output 1.1	Indicator 1.1.1: UNOPS, together with other relevant stakeholders defines ToRs for the external management company.	No management company ToRs.	Confirmation of company ToRs.	ToRs agreed.		RFP issued publicly.	
	Indicator 1.1.2: Submission of ToRs to GoI for approval	No submission of ToRs to GoI	Submission of ToRs to GoI	ToRs submitted to GoI		ToRs approved by GoI attached to official request.	
	Indicator 1.1.3: Approval of ToRs by GoI.	No approval of ToRs from GoI	Approved ToRs	Approval of ToRs by GoI		ToRs approved by GoI attached to official request.	
	Indicator 1.1.4: Publish Expression of Interest (EoI) on UN/ UNOPS website.	No published EoI	Published EoI	Yes		Expression of Interest (EoI) was published on UN/ UNOPS website.	

⁸ For PBF: Either country relevant or PMP specific.

	Indicator 1.1.5: Alert companies with proven and current Iraq experience and relevant expertise to EoI.	No companies alerted	Email alerting companies	Yes		Response to the EOI by companies with proven and current Iraq experience and relevant expertise to EoI were alerted.	
	Indicator 1.1.6: Transmission of Request for Proposal to potential contracting companies based on positive responses to EoI.	No RFP	RFP issued	Yes		Response to request for proposal from potential contracting companies.	
	Indicator 1.1.7: Evaluation of received proposals by UNOPS with the participation of the MoP and UNAMI.	No evaluation	Evaluation	Yes		Completed evaluation of proposals within UNOPS project records.	
	Indicator 1.1.8: Selection of management consultancy based on evaluation.	No selection of company	Selection of Company	Yes		Contract with selected provider. LTA – available on UNOPS intranet.	

	Indicator 1.1.9: Engagement by UNOPS of selected management Consultancy Company to provide the services as specified in the ToRs, and as proposed in the company submission.	No management company recruited	Management company selected & contracted.	Yes		Signed Contract.	
	Indicator 1.1.10: Assignment of part-time Project manager to follow and monitor the implementation of the project and initiate corrective action when required.	No PM assigned	PM assigned	Yes		Physical presence of PM and UNOPS records	
	Indicator 1.1.11: The management consultancy company will engage consultants.	No consultants deployed	Consultants deployed	No		Not yet achieved	No TORs received yet, so no requests have been given to the company.

Outcome 1.2⁹ MoP has coordinated mechanisms to implement NDP processes.							
Output 1.2	Indicator 1.2.1: The consultants will work with the GoI staff.	No consultants deployed	Consultants deployed	Not yet achieved		Not yet achieved	
	Indicator 1.2.2: Internal evaluation exercise conducted.	No internal evaluation exercise conducted	Evaluation exercise conducted	Not yet achieved		Not yet achieved	

⁹ For PBF: Either country relevant or PMP specific.