



**UNITED NATIONS DEVELOPMENT GROUP IRAQ TRUST FUND**

**ANNUAL PROGRAMME<sup>1</sup> NARRATIVE PROGRESS REPORT**

**REPORTING PERIOD: 1 JANUARY – 31 DECEMBER 2010**

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

<b>Country, Locality(s), Thematic Area(s)<sup>2</sup></b>
<p>Iraq in all Governorates</p> <p>Protection and Emergency Response</p>

<b>Participating Organization(s)</b>
<p><i>UNDP</i></p>

<b>Implementing Partners</b>
<ul style="list-style-type: none"> <li>• National counterparts (government, private, NGOs &amp; others) and other International Organizations</li> </ul> <p>This project at the end of 2011 was working with 47 Iraqi NGO and 11 INGO</p> <p>Please consult the Annex for a list of partners; relevant Iraqi Local Authorities, NGO and INGO.</p>

<b>Programme/Project Cost (US\$)</b>
<p>MDTF Fund Contribution: \$19,912,595.50</p> <ul style="list-style-type: none"> <li>• by Agency (if applicable)</li> </ul> <p>Agency Contribution</p> <ul style="list-style-type: none"> <li>•</li> </ul> <p>Government Contribution (if applicable)</p> <p>Other Contribution (donor) (if applicable)</p>

<b>Programme Duration (months)</b>	
Overall Duration	4 years
Start Date <sup>3</sup>	19 November 2009
End Date or Revised End Date,	31 October 2012
Operational Closure Date <sup>4</sup>	Formally 31 October 2012 An extension request under

<sup>1</sup> The term “programme” is used for programmes, joint programmes and projects.

<sup>2</sup> Priority Area for the Peacebuilding Fund; Sector for the UNDG ITF.

<sup>3</sup> The start date is the date of the first transfer of the funds from the MDTF Office as Administrative Agent. Transfer date is available on the [MDTF Office GATEWAY](http://mdtf.undp.org) (<http://mdtf.undp.org>).

**TOTAL: \$19,912,595.50**

discussion till 31 December  
2012  
Expected Financial Closure Date April 2013 (CDR)

**Programme Assessments/Mid-Term Evaluation**

Assessment Completed - if applicable *please attach*

Yes  No Date: \_\_\_\_\_

Mid-Evaluation Report

X Yes Date: Evaluation completed with submitted final report in Q3 2011

**Submitted By**

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<sup>4</sup> All activities for which a Participating Organization is responsible under an approved MDTF programme have been completed. Agencies to advise the MDTF Office.

## 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

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

<b>Outputs and Key Activities</b>	
<b>Outputs</b>	<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.</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.</p> <p>Output 1.4: Enhanced emergency preparedness to respond to crises in Iraq.</p>
<b>Activities</b>	<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 PWGs 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>
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- 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 2011-2014 (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 2011-2014 (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, over \$500K was reported as contributions from the recipients during by the end of 2011. Funds disbursed at the end of 2011 are 82% of the total budget. 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.

In October 2011, a time extension request was approved by the ITF Steering Committee, extending the programme's period through 31 October 2012, providing an extra year to fully achieve the intended goals.

- Constraints and Good Practice

### **Constraints**

- 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 effect on priorities, security measures, budgets and commitment levels of relevant Local Authorities.
- With the MNF departure, 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 and increased coverage inside Iraq, a field coordination structure/mechanism was established in each Governorate. OCHA Iraq closed services in March 2011, and the field coordination system was adapted by UNAMI's Direct Humanitarian Support Unit which continues to support the programme in the monitoring at the field level and all aspects of the project now with UNDP.
- 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 payments which in turn can affect the execution timeline of funded projects.
- 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 PWG Teams, which delays the overall approval process.
  - Slow response from some NGOs to the relevant Priority Work Group 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:**

OCHA Iraq phased out and closed their office early 2011, which resulted in UNDP taking on additional responsibilities and assuming the role of primary implementing partner under this project.

**Good Practice:**

UNDP proactively planned for the phase out of OCHA early 2011, making all necessary arrangements for a smooth continuation of activities without any interruption through the following arrangements:

- UNDP agreed with OCHA to maintain the ERF information on the OCHA Iraq website, to keep the same source of information for applying NGOs.
- UNDP created a similar ERF account on its server and communicated the change to all active partners which is cross-referenced through the ERF website.
- Made arrangements with UNAMI to maintain the required field monitoring in an identical framework which is being financially covered by UNAMI DHS Unit.
- UNDP hired needed ERF Programme staff to compensate for OCHAs departure.
- UNDP's Project Manager served as acting OCHA ERF Manager for most of 2010 based on OCHA's request. This allowed UNDP to be involved in the full process of hand over and accommodate phase out and implementation gearing up within the respective agency, and anticipate programmatic needs.

- **Programme Issue:**

One programme issue which required focused attention was time spent to determine the eligibility of NGOs submitting proposals, and efforts of the reviewing bodies who have reviewed proposals for applicants who later became ineligible. This delayed the approval of proposals and/or the process or frustratingly wasted the time of those who conducted the review.

**Good Practice:**

A structure was developed for determining eligibility of applicants based on criteria stated in the ERF Charter. This process was formalized and is the first step of review to ensure that



no proposals would be sent for consideration within the Priority Work Groups (PWG) 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 vendor 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 were signed.

- **Programme Issue:**

Approval processes of the submitted proposals were taking time due to multiple partners in the process.

**Good Practice:**

The ERF Management Cell developed a tracking system that followed the Priority Work Groups (PWG) and Technical Review Committee (TRC) approval, specifying deadlines and standards for feedback. The ERF Team regularly updated information about projects and criteria to the PWG (formerly Sector Outcome Teams) and TRC system which improved and reduced response time.

The ERF Management Cell considerably improved both the screening and reviewing processes for received proposals which documents all comments and feedback including applicants. This has provided a solid base for the relevant PWGs and ERF TRC reviews and resulted in improved quality of approved projects as well as at time the speed of process.

***Human Resources:***

- National Staff:

UNDP has the following staff that is the ERF Management Cell:

Number	Title	Tasks
1	National Programme Specialist/ Programme Manager	Leads the Fund Management Cell of the programme and is responsible for fund management, strategic direction, monitoring and reporting of the programme's progress.
1	Assistant Project Officer	Serves as the NGO Focal Point and the 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.
1	Assistant Project Officer	Responds to administrative and financial needs of the programme, reviewing proposed budgets, financial reports, bidding analysis, issuing and following up on payments, and other administrative support to the programme.

General support is also received from the Economic Recovery and Poverty Alleviation support staff, through partial cost sharing.

UNDP receives field service support through the Field Humanitarian Officers funded by UNAMI DHS Unit, who provide pre-assessment reports for proposed projects and eligibility of applicants, interim reporting, and final evaluation reports for executed projects. The Field Humanitarian Officers also respond to special requests as needed, to assist in verifying projects and/or information.

### **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:

- The ERF Management Cell promotes Iraqi Non-Government Organisations and International NGOs, to develop and submit proposals that respond to urgent needs in Iraq.
  - The ERF Management Cell conducts initial screening and review for the submitted proposals, communicates with the applicants to get all needed information and consults with Iraq Field Humanitarian Affairs Officers (HAOs), formerly Iraqi Field Coordinators (IFCs), in order to prepare packages for the PWGs and TRC endorsement process.
  - UNDP verifies eligibility of applicants and initiates vendor profiles.
  - The UN Priority Working Groups (PWG) and a Technical Review Committee (TRC) review the proposals and send their recommendations, including acceptance or rejection. UNDP responds to their questions and concerns through communicating with the applicants and IFCs.
  - PWGs 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, UNDP prepares agreement documents for approval by UNDP and the Humanitarian Coordinator (HC).
  - Based upon a signed Memorandum of Understanding with the applicant NGO, UNDP makes disbursement of payments against signed agreements.
  - UNDP monitors the execution of the projects with continuous feedback from the Iraq Field Humanitarian Affairs Officers (HAOs).
  - UNDP receives and reviews reporting from NGOs, and communicates their questions and concerns. UNDP also verifies the reporting by their Iraq Field Humanitarian Affairs Officers (HAOs) 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, for proper planning and reporting of progress.
- 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 UNDP staff by clearing their submitted bidding analysis before any procurement action.

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:

- UNDP conducts initial screening for the proposals, which are later reviewed and approved by several members in the different PWGs and TRC.
- Eligibility of applicants are conducted by UNDP based on identified criteria and submitted documentation.
- Funding documents go through a two-step verification process UNDP before the HC's approval.
- The Iraq Field Humanitarian Affairs Officers (HAOs) are a mechanism for monitoring the ERF projects in the field. The HAOs have presence and cover all of Iraq, thus have the ability to provide a local knowledge mechanism for UNDP to verify project results. Additionally, field HAOs provide information and guidance to potential partners when they consider applying to the ERF. Once a proposal has been received, the relevant field HAO 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 field HAO submits a preliminary report, with photographs, verifying the need for the project and the capacity of the NGO/INGO. The site visit report is a key element within the decision making process to initiate a proposal and move it forward through the approval process. Additionally, when an approved project

reaches the midpoint of implementation, the field HAO visits the project site to monitor progress towards the 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 the implementation of the respective project.

- All reports are reviewed by the ERF Manager and ERF Assistant Project Officers to ensure solutions are found and implementation is smooth.
  - UNDP monitors and assesses the execution of projects through the review of reports and the feedback/reporting received from field HAOs. Upon completion of every project, the HAO 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. Upon submission of the final report from the respective field HAO, the financial report and external audit is reviewed. When reports and audits are cleared, the final payment is made to the implementing partner.
  - Closure of grants and disbursement of final payments is based on a comprehensive review of the final narrative and financial reporting.
  - Through monitoring and lessons learned from executed projects, new information and directions are shared with PWGs and TRC when needed 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 (now PWGs). The evaluation also highlighted the need to strengthen 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. Below are the summary and major findings and recommendations:

### **Summary of FINDINGS: ERF Mid-Term Evaluation 2010**

- Outputs achieved based on the field evaluation.

The achievements of all 14 sample project activities fell within the appropriate sector outcomes and reflect the overall ERF programme outcomes of improved support to vulnerable Iraqis through the delivery of humanitarian assistance. All of the projects met

the outcomes stated in their project proposals with two minor exceptions for justified reasons.

- Relevance.  
The relevance all of the project activities were tailored to the Iraqi context and were highly relevant in terms of addressing the serious humanitarian and social problems facing Iraq civil society and forced displacement. The projects were responsive to ameliorating issues affecting vulnerable groups in all sectors and reflect sector priorities at time of implementation.
- Efficiency in the utilization of funds.  
All of the projects utilized the funds available in an efficient manner. The ERF process requirements in bidding and procurement assisted in achieving efficiency.
- Adherence of the projects to basic humanitarian principles.  
The process set up by ERF reinforces independent, neutral and impartial project design, with SOT (now PWG) and TRC members actively involved in ensuring that all relevant stakeholders are included and that the criteria are transparent and relevant to the needs being met.
- Impact of Project Activities.  
It was indicated that any exact impact that the project activities may have had on the conflict or displacement situation in their respective regions is very difficult to measure. Positive feedback on the impact was received from beneficiaries, especially with water projects.
- Capacity of Local Organizations to Implement the Projects.  
The evaluation sample indicated that almost all of the projects awarded to local NGOs were well implemented and this reflected a good capacity of the local NGOs to plan and carry out the projects for which they were responsible.
- Accountability of sampled projects.  
The evaluation indicated that the degree of accountability of the NGO implementers of the sampled projects was high.
- Sustainability of Results and Contributions to Humanitarian Context.  
All of the project activity results contributed to addressing humanitarian needs in the context of the high level of need and acute vulnerability of large sections of the Iraqi population. Sustainability of results is clearer when applied to water and constructions/rehabilitations projects.
- Value Added of the Projects in Comparison with Alternatives.  
The evaluation indicated that all of the sampled projects have delivered good results for the grant investments made by ERF, and one of the health projects exceeded the planned targets.
- ERF as a funding mechanism.  
It was indicated that the ERF project approval process can be lengthy for reasons related to response time by Iraqi NGOs in answering comments and question, and because of delays in the proposal review and approval process.

### **Summary of RECOMMENDATIONS: ERF Mid-Term Evaluation 2010:**

- The proposal award process can be improved by further streamlining the review process. The third review by TRC seems repetitive, as eligibility and financial issues are reviewed by the Fund Management Cell and technical issues by the SOTs (PWGs).
- Another procedure or mechanism should be developed to ensure that funds can be readily disbursed for very urgent or “lifesaving” emergencies.
- ERF should continue encouraging smaller NGOs to participate in the programme, and encourage less experienced NGOs to partner with the more experienced ones.

- ERF through its Field Coordinators (HAOs) should support NGOs in forming networks to better respond to gaps in humanitarian situations in their communities, and to share experiences and build operational capacity.
- ERF should set criteria for balancing grant awards during the remaining project period to ensure that projects directly addressing gender/women's issues are included and encouraged.
- Training seminars and workshops in proposal writing and reporting should be developed and offered to national NGOs.
- A clear identification of individual project beneficiaries is essential for identifying and analyzing the status of recipients of ERF grant assistance. The reporting format should include a table listing the categories of beneficiaries to be recorded and counted.
- OCHA should continue to implement the measures recommended in the 2008 evaluation regarding an ERF "Briefing Pack" and links in the OCHA Iraq website.
- Continue the workshops for partner Iraqi and international NGOs initiated in 2010.
- The prioritization of specific sectors of assistance (e.g. water/sanitation) should not be done at the expense of funding smaller projects which respond to immediate community needs for food and shelter. The importance of both types of activities should be recognized and respected.
- ERF should plan for longer-term evaluation and prepare case studies of a sample of these successful projects by identifying ongoing positive results (both intended and unintended).
- The Mid-Term Evaluation and lessons learned 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 PWGs and TRC in reviewing proposals from ineligible organizations 3<sup>rd</sup> Quarter 2009.
  - Established the position of Iraq Field Coordinators in Iraq: Seventeen (17) Iraq Field Coordinators (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. This role has been taken over in 2011 by the DHS Unit UNAMI through the Iraq Field Humanitarian Affairs Officers (HAOs).
  - 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 reviewed, tracked and improvements were made within areas under our control.
  - The approval process with SOTs, which at the signing of the UNDAF evolved into Primary Working Groups (PWG) and TRC reviewed and improved where possible. Increased efforts have been made to follow-up efforts and created new mechanisms to improve the timeframe needed for the process.
  - A training workshop 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 the end of 2010. A professional consulting firm was contracted to evaluate the ERF programme. Areas of evaluation included the programme as a funding mechanism, and a representative sample of funded/executed projects during 2009, analyzing the project's impact. Lessons learned and conclusions were finalized in Q1 2011.
- To improve the programme's strategy in attracting quality proposals that respond to the priorities within the different Priority Working Group (PWGs), 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 posted on the ERF webpage and UNDP.
- The ERF Management Cell utilized the identified needs by respective SOTs/PWGs in screening and prioritizing the submitted proposals.
- UNDP project management reviewed all aspects related to OCHA phasing out during Q1 2011, and became joint manager during 2010 till comprehensive hand-over Q2 2011. At this time UNDP took over full implementation of the project which has included maintaining the ERF webpage, maintaining the role of Field Coordinators renamed in 2011 to the Iraq Field Humanitarian Affairs Officers (HAOs) whom are funded by UNAMI, and the recruitment of personnel at UNDP to seamlessly take on full implementation.
- Starting from April 2011, UNDP took full implementation responsibility of the ERF programme.
- UNDP at time of full programme implementation resulted in project management conducting a thorough analysis to the programme's outputs, and implement strategies to respond to output gaps. Based on the findings, additional screening criteria were established for ERF proposals, taking into consideration underfunded governorates and sectors.
- In order to maintain the quality of funded projects, and the time needed for implementing and reporting funded projects, UNDP submitted a comprehensive time extension request for a one year no-cost extension to assure proper closure to the Programme as a grant fund mechanism. A comprehensive and detailed plan was set for operational closure by 31 October 2012 and was approved by the Steering Committee. Another minor extension request is considered for another two months extension for reasons mentioned through the report
- Additional efforts have been made to invest and promote proposal submission that respond to needs in under-funded governorates during 2012 and seeking coverage in all Iraq governorates.
- The ERF Programme was selected for audit under UNDP's regular project auditing efforts for

projects that are direct implementation modality (DIM). In December 2011, the ERF Programme was externally audited on financial management initiating with the approval process of proposals, through the execution of funded projects, and ending with the closure of grants after full execution of funded projects. The audit covered all financial and managerial aspects related to the programme. The auditors' report concluded no reportable issues and is to be finalized in Q1 2012.

- 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.

**Status of achievement:**

Eighty eight percent (88%) of the total dedicated programme budget is committed for this output.

**Progress:**

- Eighty two (82) projects for the total amount of USD \$15,917,213 have been funded by the programme as of 31 December 2011. The unused funds from closed grants amounted to USD 389,705 at the end of Q4 2011.
- Sectors most frequently funded to date are WatSan 35% and Shelter 24% of funded projects. Education is 15%, Agriculture 14%, Health 7%, and Food 3% of funded projects. (refer to information on page 19)
- By the end of reporting period, seventy three (73) projects are completed with operational and financial closure with final reports submitted by implementing partners and reviewed.
- Three (3) additional projects are operationally completed with the implementing partners either working on their required closure reporting or submitted reporting presently under review.
- The funded projects served and will be serving an estimated 651,589 beneficiaries in all sectors. 38% of mentioned beneficiaries are under Health, 32% beneficiaries under WatSan, 12% under Shelter, 10% Agriculture, 5% under Education, 3% under Food and 0.37% under Protection. (refer to information on page 19)
- During the reported period 2011, the ERF Programme funded its first protection project in Erbil and Ninewa Governorates.

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

**Status of achievement:**

Eighty three percent (83%) of the planned progress was accomplished based on indicators, taking in consideration the geographic coverage. Progress remained static as the ERF Management Cell is trying to cover additional governorates with good identified proposals in the review pipeline.



## Progress:

- The eighteen (18) Field Information and Coordination Officers (FICOs) at the time of OCHA closure were replaced by UNAMI's field Humanitarian Affairs Officers (HAOs) who have presence in and ability to cover all Governorates nationwide. The HAOs strengthen the monitoring and follow-up on the execution in the field. HAOs are funded by UNAMI to cover the previous role of OCHA's Iraq Field Coordinators (IFCs), which was abolished with OCHA phasing out. Some HAOs positions remain unfilled and coverage was obtained through the support of DHS/UNAMI.
- Primary Working Groups replaced the Sector Outcome Teams (SOTs) who are groups of UN agencies and international partners who have technical expertise in specific areas, such as health, shelter, water and sanitation. The UNDAF established a new structure which transformed the SOTs into eight Priority Working Groups (PWGs) covering UNDAF sectors. The PWGs confirm the need and priorities of their relevant sectors based on statistics and information, including known gaps with approval by the Humanitarian Coordinator. All projects (100%) are reviewed by PWGs and a Technical Review Committee before approval of funding.
- To improve synergy and promote the roles of the Priority Working Groups (PWGs) and Technical Review Committee (TRC), ERF project progress and spending is updated with the relevant PWG through participation at meetings, e-mails and upon request.
- A training workshop was held in Erbil during February 2010 for NGOs that are based in the northern part of Iraq. Twenty-two (22) participants from 22 different NGOs attended the workshop which introduced the full cycle of the ERF programme as a funding mechanism. The workshop discussed ERF's criteria and procedures starting with the submission and approval processes for proposals, through funding and execution, ending with closing of projects including required reporting.
- To assure maximum coverage, an additional 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 workshops representing 49 Iraqi and international NGOs.
- Eighty one percent (81%) of funded non-governmental organizations (NGO's) under the programme were national Iraqi NGOs. This Programme as of 31 December 2011 has partnered with 47 Iraqi NGOs and 11 International NGOs. Please refer to list of implementing partners in the Annex.
- The programme continues to cover most of Iraq, conducting one hundred and two (102) activities in 15 Governorates. The table below disaggregates activities into the respective governorates.

Governorate	No. of Activities	%
Anbar	6	6%
Babil	6	6%
Baghdad	20	20%
Basra	6	6%
Diyala	12	12%

Dohuk	9	9%
Erbil	2	2%
Kerbala	0	0%
Kirkuk	6	6%
Missan	0	0%
Muthana	0	0%
Najaf	5	5%
Ninewa	7	7%
Qadisiya	2	2%
Salah Deen	2	2%
Sulaymaniyah	5	5%
Thi Qar	12	12%
Wassit	2	2%
<b>TotalActivities</b>	<b>102</b>	<b>100%</b>

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

**Status of achievement:**

100% of planned.

**Progress:**

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

**OUTPUT 4:** Enhanced emergency preparedness to respond to crisis in Iraq.

**Status of achievement:**

Seventy five percent 75% of planned activities have considered geographic coverage during 2011 and the no cost extension. Progress remained static as the ERF Management Cell did not receive any valid emergency preparedness proposals up to reporting period.

**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 targeted 15 governorates, changed scope which covered 9 governorates which was 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 which was reflected in the project's final narrative and financial project reports.

- Beneficiaries of the Project

<b>Direct Beneficiaries</b>	<b>Number of Beneficiaries</b>
Men	92,437
Women	311,868
Children	247,884
<b>Total Beneficiaries</b>	<b>652,189</b>
IDPs	165,928
Others	485,661
Indirect beneficiaries	25,753
Employment generation (men/women)	1,049

- Delays in programme implementation.

The Project is implemented according to the plan to be operationally closed by end of October 2012. However, with the experience gleaned with the project closure during 2011 the time needed for proper closure of funded projects may require additional time as it is noticed that submission and review of NGO's reports can take longer time, and field reports from relevant Field HAOs can take longer due to security clearance for red zone movement. Therefore, an extension request for two months is being considered based on the noticed delays to adjust operational closure to December 2012.

- List the key partnerships and collaborations and explain how such relationships impact on the achievement of results.

The Project at the end of 2011 partnered with 47 Iraqi NGO and 11 INGO. Kindly refer to the Annex for larger text.

<b>Iraq NGOs</b>	
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

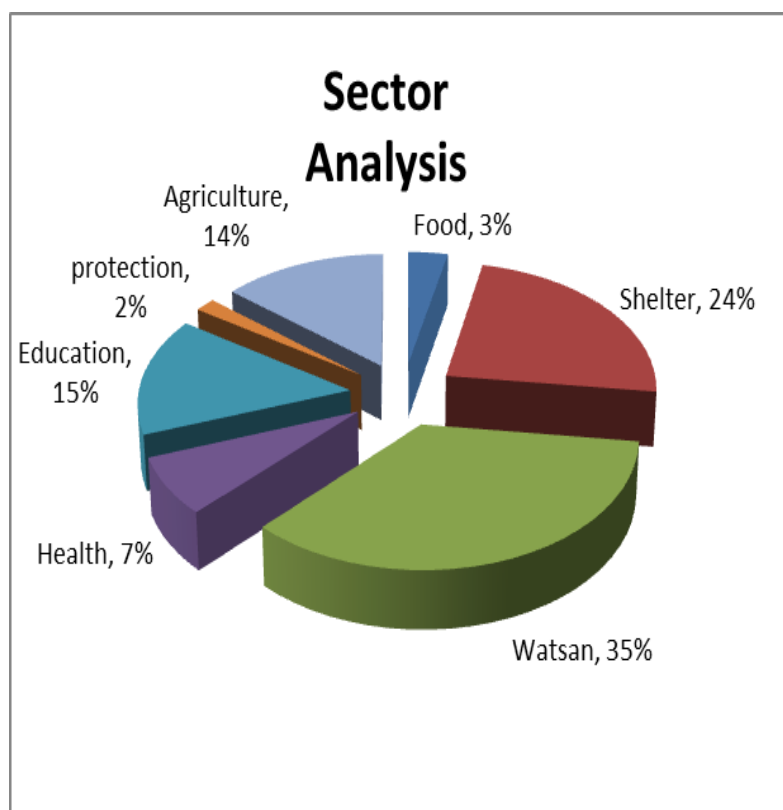
17	Iraqi Youth League
18	Brotherhood Association Humanity of Human Rights and Defending the Rights of Deportees and Effectuated
19	Mamoura Humanitarian Establishment
20	The Development Foundation for Culture, Media and Economy (DFCME)
21	Charitable Association for Taking Care of Widows and Orphans / Al Anbar / Al Ramadi
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
44	Voice of Independent Women
45	The Iraqi Development and Peaceful Coexistence
46	Al Salam Humanitarian Organization
47	Iraq Youth League (IYL)
<b>International NGOs</b>	
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

10	Un Ponte Per (UPP)
11	ACTED (Agency for Technical Cooperation and Development)

The following tables provides a comprehensive summary of the ERF projects funded by ITF relating to funded projects by sector and related to text in earlier sections.

<i>ERF Funded Projects By Sector</i>				
Sector	Amount USD (\$)	% of Funding	# of Beneficiaries	% of Beneficiaries
<b>Food</b>	<b>533,255.93</b>	<b>3%</b>	<b>21,596</b>	<b>3%</b>
<b>Shelter</b>	<b>3,760,836.95</b>	<b>24%</b>	<b>75,462</b>	<b>12%</b>
<b>WatSan</b>	<b>5,575,301.85</b>	<b>35%</b>	<b>208,171</b>	<b>32%</b>
<b>Health</b>	<b>1,160,856.62</b>	<b>7%</b>	<b>248,215</b>	<b>38%</b>
<b>Education</b>	<b>2,382,011.78</b>	<b>15%</b>	<b>29,504</b>	<b>5%</b>
<b>Protection</b>	<b>275,518.00</b>	<b>2%</b>	<b>3,008</b>	<b>0.46%</b>
<b>Agricultural</b>	<b>2,200,215.00</b>	<b>14%</b>	<b>66,233</b>	<b>10%</b>
<b>Total</b>	<b>\$15,887,996</b>	<b>100%</b>	<b>652,189</b>	<b>100%</b>

Governorate	No. of Activities	%
Anbar	6	6%
Babil	6	6%
Baghdad	17	17%
Basra	6	6%
Diyala	12	12%
Dohuk	9	9%
Erbil	2	2%
Kerbala	0	0%
Kirkuk	6	6%
Missan	0	0%
Muthana	0	0%
Najaf	5	5%
Ninewa	7	7%
Qadissiya	2	2%
Salah Deen	2	2%
Sulimaniya	5	5%
Thi Qar	13	13%
Wassit	2	2%
Totals	100	100%



**Photo 1 and 2: Providing healthy potable water for 800 families of Taha Albu About Village**



**Photo 3 and 4: Assistance to IDPs. Imam Al Muntathar Settlement in Baghdad**



- Other highlights and pertinent cross-cutting issues

Gender:

The programme grant mechanism did not take into consideration gender issues in the initial design, yet implementation of projects has supported women under multiple sectors as one of the common vulnerable groups. Additionally, this is a focus area for UNDP.

It is estimated that more than 311,868 females have benefited/will benefit from the projects funded up to 31 December 2011, who are mostly widows and head of households. Women account for 77% of the adult beneficiaries. Additionally, 247,884 children have benefitted which it is estimated that approximately 50% or 123,942 are girl children. It is feasible that the number of women beneficiaries will increase during 2012, due to increased focus on vulnerable groups, IDP, widows and female-headed households.

Environment:

The ERF has funded projects to provide water resources for agricultural lands and live stocks, which assisted in preserving the environment, especially in areas which faced or are facing drought. At the end of 2011, the programme has funded nine projects under the Agriculture Sector with activities including provision of; water resources for corps and livestock, water storage for orchards in 39 villages, maintenance of 36 ponds, irrigation canal cleaning and other support for drought areas especially in Dohuk Governorate.

### Employment:

The ERF has encouraged employment of targeted beneficiaries during implementation of approved projects. This has assisted to a certain extent in temporary employment, while increasing the level of commitment and ownership. More than 1,049 employment opportunities were reported by NGOs up to the end of 2011. It is also anticipated that this may assist in maintenance and sustainability with local capacity developed.

### 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 with reporting and closure. The workshops developed capacity of NGOs' in dealing with the requirements within the ERF programme and other donors as well.

In late 2012, the ERF Programme is planning for a major capacity building conference for NGOs from all over Iraq, with anticipated participation of 75 Iraqi NGOs. The workshops will cover major topics and needs that will increase the professional capacity of NGOs in Iraq.

- 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 October 2012)

During 2012 the project timeframe will complete and operational closure will be initiated. An extension request is currently under discussion to insure proper closure of funds, due to the lengthy process of closing projects after careful review of submitted reports and getting the field reports from relevant HAOs. The anticipated operational closure is by end of December 2012.

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.

The ERF Programme will conduct a major capacity building conference for NGOs from all over Iraq, with anticipated participation of 75 Iraqi NGOs. The conference will cover major topics and needs to increase professional capacity of NGOs in Iraq.

- 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 2012 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	70 projects between January 2009 – December 2010	100% of the projects respond to key sector gaps	100% of the 82 projects completed or underway at end of 2011 respond to key sector gaps.  12 projects received initial funding in 2011 for more than \$3.27 million.	Funded grants documentation  Funds tracking system  Project Approval Forms which indicates approvals of PWGs and TRC on all projects  Proposals and reporting of partner NGOs / recipients	During 2011, the ERF Management Cell concentrated on closing multiple completed projects. During 2011, the ERF Fund Management Cell closed more 27 ERF projects, out of which, 22 projects were funded in 2010. This reduced the number of ongoing projects in 2012 in order to successfully complete the ERF Programme
	1.1.2: Number and percentage of beneficiaries per ERF funded projects out of the total affected by the crises	Funded ERF projects by end of 2010 more than 567,000 beneficiaries  N/A	Serve about 180,000 beneficiaries of vulnerable people with affirmative action towards women.	December 2011, the programme served/will be serving 652,189 beneficiaries within crises and early recovery, which is	Reporting of partner NGOs / recipients  Field reports	Concentrating on closing 2010 funded projects, reduce the capacity to fund more projects in 2011 and therefore target new beneficiaries.



				360% more than stated target with more than 312,000 women benefitting who are mostly widows and head of households  During 2011 and additional 84,417 persons benefitted.	from HAOs	
IP Output 1.2 Improved capacity, coverage, coordination and impact of humanitarian action	1.2.1 Number of local NGOs awarded grants	43 national Iraqi NGOs were awarded ERF projects in by end of 2010	Additional new 10 national Iraqi NGOs to be awarded new ERF projects	By end of December 2011, 47 Iraqi NGOs were awarded.  During 2011 the ERF initiated partnership with 3 new Iraqi NGOs	Funded grants documentation  Funds tracking system	Several Iraqi NGOs could not pass the programme's eligibility criteria, which reduced the opportunity to partner with new local NGOs in 2011.  Additionally work with 11 INGOs.
	1.2.2: Number of geographic regions covered by ERF projects	15 Governorates were covered with ERF projects / activities through	At least five geographic regions	By December 2011, the ERF Programme was conducting 102 activities in 15	Funds tracking system  Fund Management Cell  Projects' final reporting	

		2010		Governorates in Iraq.		
1.2.3: Number of IAU/PWG briefings to the technical review committee	Updated PWGs and TRC regularly by e-mail and through PWG sector meetings			Multiple mechanisms and quality control/assurance mechanisms are in place including PWGs, TRC and HAOs.	Lists of attendance sheets with names of attendants/minutes of briefings	Output 1.2.3 is no longer relevant as within this project multiple mechanisms and quality control/assurance mechanisms are in place.
1.2.4: % of projects reviewed by SOTs out of total ERF projects	All ERF projects funded up to December 2010 were reviewed and approved by relevant PWGs	100% of projects reviewed by PWGs		All 82 projects (100%) have been reviewed by PWGs (formerly SOTs) and TRC before the approval of funding.	Project Approval Form which indicates approvals of PWGs and TRCs  Funds tracking system  Fund Management Cell	
1.2.5: % of ERF projects based on updated gaps analysis of total ERF projects	70 projects were approved by end of 2010 based on proposed needs and gaps that got confirmed by the relevant PWGs	100% of ERF projects based on updated gaps analysis of total ERF projects		All of the 82 approved ERF projects (100%) are based on proposed needs and gaps that are confirmed by PWGs.	Approvals of SOTs and TRCs  Funds tracking system  Fund Management Cell  Projects' final reporting	

<p>IP Output 1.3 Strengthened links between immediate action for families in crisis and support for early recovery</p>	<p>1.3.1: % of ERF projects demonstrating links to ongoing recovery activities out of the total ERF projects</p>	<p>All ERF proposals are prioritized by the PWGs and TRC committee to support projects with potential early recovery activities</p>	<p>100% of the ERF projects prioritized by the PWGs and TRC committee support projects with early recovery activities</p>	<p>All funded projects are prioritized by the PWGs and TRC to support projects with potential early recovery activities that directly interface with the National Development Plan and UNDAF.</p>	<p>Approvals of SOTs and TRCs  Funds tracking system  Fund Management Cell  Projects' final reporting</p>	
<p>IP Output 1.4 Enhanced emergency preparedness to respond to crises in Iraq</p>	<p>1.4.1: Availability of basic assistance items in warehouses  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</p>	<p>Funded at least one preparedness focused ERF project</p>	<p>One preparedness initiative funded and completed in 2009.  No new projects were funded in 2011 that would enhance emergency preparedness.</p>	<p>Partner NGO's proposal and interim reporting  Fund Management Cell</p>	<p>The ERF Management Cell did not receive any valid emergency preparedness proposals during 2011.  There is no apex body within the GoI and other components within UNDP-Iraq are addressing the Disaster Risk Reduction issue. Perhaps this is why NGOs have not proposed such activities as coordination mechanisms are presently not in place.  Through the intended 2012 capacity building conference in 2012, the ERF plans to include emergency preparedness as a topic.</p>

		Emergency Room. Estimated gender ratios: 25% men, 40% children and 35% women				
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## Annex I: Support to the Expanded Humanitarian Response Fund

### Annex 1

#### List of Implementing Partners

#### Iraqi and International NGOs

Up to Q4 of 2011

No	Partner NGO
<b>Iraqi National NGOs</b>	
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 Effected
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 Ramadi
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
44	Voice of Independent Women
45	The Iraqi Development and Peaceful Coexistence
46	Al Salam Humanitarian Organization
47	Iraq Youth League (IYL)
<b>International NGOs</b>	
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
10	Un Ponte Per (UPP)
11	ACTED (Agency for Technical Cooperation and Development)