



**UNDG MDTF Iraq Trust Fund**

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

**REPORTING PERIOD: 1 JANUARY – 31 DECEMBER 2011**

| <b>Programme Title &amp; Number</b>   |
|---|
| <ul style="list-style-type: none"> <li>• Programme Title: Bridging for Local Area Development Programme (LADP) Phase II</li> <li>• Programme Number C10-13</li> <li>• MDTF Office Atlas Number: 75763</li> <li>• <i>UNDP 75169</i></li> </ul> |

| <b>Country, Locality(s), Thematic Area(s)<sup>2</sup></b>   |
|---|
| <p>Iraq</p> <p>Governorates of:</p> <ul style="list-style-type: none"> <li>Sulaymaniyah (north KRG)</li> <li>Babylon (Hillah)</li> <li>Basrah (South/Marshlands)</li> <li>Thi Qar (South/Marshlands)</li> <li>Missan (South/Marshlands)</li> </ul> <p>Economic Reform and Diversification</p> |

| <b>Participating Organization(s)</b>              |
|---|
| <p><i>UNDP (lead), ILO, UNOPS, UN-HABITAT</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> <li>• Government of Iraq Ministry of Planning</li> <li>• Local Government in Respective Governorates of Sulaymaniyah, Babylon, Basrah, Thi Qar and Missan</li> <li>• Multiple CSOs participating in process</li> </ul> |

| <b>Programme/Project Cost (US\$)</b>   |               |
|--|---------------|
| MDTF Fund Contribution   | USD 2,000,000 |
| Agency Contribution  |               |
| <ul style="list-style-type: none"> <li>• <i>by Agency (if applicable)</i></li> </ul> |               |
| Government Contribution  |               |

| <b>Programme Duration (months)</b> |  |
|------------------------------------|--|
| Overall Duration                   | 12 months  |
| Start Date <sup>3</sup>            | 01 July 2010   |
| End Date or Revised End Date,      | 31 March 2012 for ITF component<br>31 July 2012 for SIDA |

<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>).

|                           |                  |
|---------------------------|------------------|
| Other contribution (SIDA) | USD 2,979,293.91 |
| <b>TOTAL:</b>             | USD 4,979,293.91 |

|                                       |                              |
|---------------------------------------|------------------------------|
|                                       | component                    |
| Operational Closure Date <sup>4</sup> | Extension discussion ongoing |
| Expected Financial Closure Date       | CDR July 2012                |

|  |  |
|--|--|
| <b>Programme Assessments/Mid-Term Evaluation</b>           |  |
| Assessment Completed - if applicable <i>please attach</i>  |  |
| <input type="checkbox"/> Yes                               | <input checked="" type="checkbox"/> No Date: _____ |
| Mid-Evaluation Report – if applicable <i>please attach</i> |  |
| <input type="checkbox"/> Yes                               | <input checked="" type="checkbox"/> No Date: _____ |
| An Outcome Evaluation was conducted on LADP Phase I.       |  |

|                          |   |
|--------------------------|---|
| <b>Submitted By</b>      |   |
| <input type="checkbox"/> | Name: Lionel Laurens  |
| <input type="checkbox"/> | Title: Programme Manager – Area Based Development                                   |
| <input type="checkbox"/> | Participating Organization (Lead): UNDP   |
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## I. Purpose

The goal of the Local Area Development Programme (LADP) is sustainable local social and economic development. This programme is proposed as a Bridging Phase linking work to date on LADP and transitioning into a Phase II. This initiative presents a coherent programme for a twelve month Bridging Phase for LADP Phase II, aiming to build on the lessons from the LADP (2007–2010) and consolidate the LADP model, thereby allowing mainstreaming and replication of the methodology in Governorates throughout Iraq in Phase II. The programme targets support to the Governorates through promoting inclusive and participatory planning practices to promote the prioritisation of development programmes and annual budgeting while providing focused technical assistance to the Governorates to improve essential service delivery. In addition, two further work streams are proposed, focusing on citizen empowerment to promote an active voice in governorate affairs and engagement with ministries at a national level to institutionalise an agreed devolved framework for improved local planning and service delivery. Preparatory work is proposed around three areas anticipated in the final design of a Phase II. These are (i) inclusive local participatory planning and improved service delivery (ii) local citizen empowerment and civic engagement and (iii) developing a national framework and institutional structure for devolved local planning. LADP II will continue to build synergies with other relevant UN initiatives to support the Government’s plans for improved services delivery and local governance.

- Main Outputs and Outcomes of the Programme:  
Bridging Phase concentrates on achieving the following Sector Outcomes and the Joint Project Outcome:

The Sector Outcome: Improved policies, strategies and related institutional developments which are sensitive to MDGs, social inclusiveness, gender equality and pro-poor economic growth; and Enhance key sectors of local economy in most deprived areas.

This Joint Project Outcome is: Improved policies, strategies and related institutional developments that are sensitive to MDGs, social inclusiveness, gender equality and pro-poor economic growth.

<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.

| <b>Development Goal and Immediate Objectives</b>   |  |
|--|--|
| <p>Bridging Phase will concentrate on achieving the following Sector Outcomes and the Joint Project Outcome:</p> <p>The Sector Outcome: Improved policies, strategies and related institutional developments that are sensitive to MDGs, social inclusiveness, gender equality and pro-poor economic growth; and Enhance key sectors of local economy in most deprived areas.</p> <p>This joint project Outcome is; Improved policies, strategies and related institutional developments that are sensitive to MDGs, social inclusiveness, gender equality and pro-poor economic growth.</p> |  |

| <b>Outputs, Key Activities and Procurement</b>  |  |
|---|--|
| <b>Outputs</b>  | <p>Output 1.1 Governorate and district officials' have strengthened institutional capacities and plan and manage sustainable socio-economic development in Basrah, Thi-Qar and Missan. (UNDP);</p> <p>Output 1.2 Governorate and district officials' institutional capacities are strengthened to plan and manage sustainable socio-economic development in Sulaymaniyah Governorate (ILO/UNOPS);</p> <p>Output 1.3 Governorate and district officials' institutional capacities are strengthened to plan and manage sustainable socio-economic development in Babylon Governorate (UNHABITAT).</p> <p>Output 2.1 Local men and women empowered Basrah, Missan and Thi-Qar to identify and address their needs and priorities for poverty reduction (UNDP);</p> <p>Output 2.2 Local men and women empowered in Sulaymaniyah to identify and address their needs and priorities for poverty reduction (ILO/UNOPS);</p> <p>Output 2.3 Local men and women empowered to Babylon to identify and address their needs and priorities for poverty reduction (UNHABITAT).</p> <p>Output 3.1 MoP has improved capacities to facilitate and monitor local planning in relation with central planning.</p> |
| <b>Activities of Outputs 1.1, 1.2 and 1.3: Governorate and district officials have strengthened institutional capacities to plan and manage</b> | <p>The area coordinating agencies (UNDP, ILO/UNOPS and UNHABITAT) will have primary responsibility over the following activities in relation to Output 1.1 UNDP, 1.2 ILO/UNOPS, and 1.3 UNHABITAT as activities:</p> <p>1.1.1, 1.2.1, 1.3.1<br/>Stocktaking exercise of district planning work in 5 LADP Governorates conducted, essential service delivery reports developed and recommendations provided to MoP.</p> <p>1.1.2, 1.2.2, 1.2.3<br/>Data analysis, district profiling and mapping for all remaining districts in 5</p>   |

|   |   |
|---|---|
| <p>sustainable socio-economic development</p>   | <p>LADP Governorates prepared.</p> <p>1.1.3, 1.2.3, 1.3.3<br/>Institutional needs assessment for local planning conducted in the 5 LADP Governorates.</p> <p>1.1.4, 1.2.4, 1.3.4<br/>Technical assistance provided for the preparation of local socio-economic development and service delivery plans in 5 LADP Governorates coordinating with other UN Agencies.</p> <p>1.1.5, 1.2.5, 1.3.5<br/>Local Government administrative capacity strengthened for implementation of plans, identification of bottlenecks and improved effectiveness to manage, monitor, implement and evaluate the plans in each LADP Governorate.</p> <p>1.1.6, 1.2.6, 1.3.6<br/>Feasibility studies and applied field research conducted in support of local plans and proposed strategies in 5 Governorates.</p> <p>1.1.7, 1.2.7, 1.3.7<br/>A citizen accountability mechanism established for public spending scrutiny, public assessment of convenience and quality of essential services in LADP Governorates.</p> <p>1.1.8, 1.2.8, 1.3.8<br/>Client satisfaction survey conducted and reviewed.</p> |
| <p><b>Activities of Outputs 2.1, 2.2 and 2.3:</b><br/>Local men and women empowered to identify and address their needs and priorities for poverty reduction.</p> | <p>The area coordinating agencies (UNDP, ILO/UNOPS and UNHABITAT) will have primary responsibility over the following activities in relation to Output 2.1 UNDP, 2.2 ILO/UNOPS, and 2.3 UNHABITAT as activities:</p> <p>2.1.1, 2.2.1, 2.3.1<br/>Vulnerability assessment reports prepared in 5 LADP Governorates.</p> <p>2.1.2, 2.2.2, 2.3.2<br/>Most vulnerable districts identified based on vulnerable groups and pockets of vulnerability in 5 LADP Governorates.</p> <p>2.1.3, 2.2.3, 2.3.3<br/>Capacity of CSOs enhanced to participate in local development planning.</p> <p>2.1.4, 2.2.4, 2.3.4<br/>Community driven initiatives for poverty reduction and livelihood enhancement identified and proposals formulated in the 5 LADP Governorates.</p> <p>2.1.5, 2.2.5, 2.3.5<br/>Potential models of public, private and community initiatives analysed</p>   |

|  |  |
|--|--|
|  | and reviewed in relation to the Iraqi context.   |
| <b>Activities of Output: 3.1</b><br>Ministry of Planning<br>Development Cooperation<br>has improved capacities to facilitate and monitor local planning in relation to central planning. | <p>3.1.1 MoP has improved capacities to facilitate and monitor local planning in relation with central planning. UNDP as National coordinating agency will have primary responsibility over the following activities:</p> <p>3.1.2 Local Area Planning Handbook revised and available and Sub-National planning guidelines developed for use by the 5 LADP Governorates.</p> <p>3.1.3 Blueprint for MoP institutional development developed.</p> <p>3.1.4 LADP reviewed and approach and methodology adapted to the disputed internal boundaries (DIB) areas.</p> <p>3.1.5 Communication and information exchange facilitated between the 5 LADP Governorates and MoP.</p> |

- Relationship to the Strategic (UN) Planning Framework

During 2010 the UN Country Team made a transition in the documents in which it used. The UN Development Assistance Framework (UNDAF) for Iraq 2011-2014 became the strategic document and two key UNDP documents were developed based on the UNDAF including the Country Programme Document and the initiation of the Country Programme Action Plan which is a signed agreement between the Government of Iraq and UNDP through the UNDAF period. These documents are described below.

### **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.

### **UNDP 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 CPAP was signed on 14 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:*

This project is through shared resources. The ITF Project Board approved the ITF contribution of USD \$2,000,000. Additional funding of USD\$2,979,293.91 for supplementary activities have been received from the Swedish International Development Agency.

This project is showing good practice as it is based off of the completion of a Phase I Local Area Development Programme. This bridging project includes a component to plan and discuss ways forward to increase synergy between Local Government, Regional and Federal Level Governments and citizens for increased decentralisation, participation, local ownership and services.

*Human Resources:*

## **UNDP**

### **National Staff as of Dec 31 2011**

#### **Amman based**

- Project Officer
- Project Assistant

#### **Iraq based**

- 1 x National Coordinator in Baghdad
- 1 x Area Coordinator in the south
- 1 x Senior Planner
- 3 x Governorate Coordinators (Outreach Specialists) (based in Missan, Thi-Qar, Babylon)
- 1 Reporting Officer (part time) (based in Basrah)
- 1 x Admin/Finance Officer (part time) (based in Basrah)
- 3.5 x Security Guards (based in Basrah, Missan, Thi-Qar)

### **International Staff**

#### **Amman Based**

- 1 x Programme Manager
- 1 x Researcher – Analyst (part time)

## **UN-HABITAT**

### **National Staff**

- One National Project Assistant in Amman;
- Area Coordinator and one National Engineering Consultant in Hillah;
- Two National Engineering Consultants in Sulaymaniyah;
- Two National Engineering Consultants in Missan;
- Three national Engineering Consultants in Nassiryah;
- One national Engineering Consultant in Basrah;

### **International Staff**

- Two International Project Managers in Amman.

## **ILO/UNOPS**

### **National Staff & Consultants:**

- National Coordinator, Sulaymaniyah (management and technical)
- Field Officer for the Marshlands, Basrah (technical)
- Field Officer for Hillah (technical)
- Project Associate, Amman (technical and administrative)

**UNOPS support staff (Amman/Erbil):**

- Procurement Assistant, Amman (50%)
- Human Resources Assistant, Amman (50%)
- Administrative Assistant, Amman (50%)
- Finance Assistant, Erbil (50%)
- Financial Clerk, Amman (50%)

**International Staff:**

- Chief Technical Advisor, Amman (technical and management)

**III. Implementation and Monitoring Arrangements**

- Implementation Mechanism

The UN management structure is interwoven within the overall management arrangements of the programme, and supports local and national ownership, decision-making and monitoring of the programme.

This programme is implemented by **three lead agencies, UNDP, UNHABITAT and ILO**. UNOPS is supporting ILO's execution of the programme, while ILO provides the technical expertise and management of ILO/UNOPS components, UNOPS provides the needed operational and technical support to ILO experts on the ground. All agencies were involved and led implementation of Phase I of the Local Area Development Programme, by acting as area coordinators for their respective areas of responsibility and leading the preparation of district development plans in those areas. An independent evaluation was conducted in April 2010 by UNDP which indicated the suitability and efficiency of this model; which corroborated the key findings of a large participatory lessons-learned exercise held in November 2009, with participation from Local Government from 15 Governorates, national Government, as well as donors.

During Phase II Bridging, UNDP, UN-HABITAT and ILO are building on the relations established with Local Government in their respective areas of responsibility. Each agency is responsible in their respective geographical areas for the coordination of UN interventions and providing lead technical support for the governorate planning process.

- UNDP: Basrah, Missan and Thi-Qar Governorates;
- UN HABITAT: Babylon Governorate;
- ILO/UNOPS: Sulaymaniyah Governorate.

In addition to such a distribution of roles by area, the three agencies also ensure technical leadership in the three planning dimensions envisaged and support delivery of essential services:

- UNDP leads on rural and sustainable development with a focus on water and sanitation, electricity and environment;



- UNHABITAT leads on urban development with a focus on housing and municipal services including urban planning, and solid waste management;
- ILO leads on economic recovery development with a focus on economic development and SME, employment and vocational training services.

The programme has the ability to mobilize the capacities of **other UN partner agencies** (as also provided for in the programme budget), following locally-identified needs in particular sectors of work. To this end, WHO has been approached for provision of specific expertise pertaining to health issues, MDGs 4,5,6 and its experience with Community Based Initiatives under the Phase One of LADP. Provision was made, in the programme document, for the services of up to two partner agencies to be mobilised within each region of implementation, with Governorate Planning Committees responsible for determining which priority sectoral area they require assistance in. UNDP shall act as administrator of these funds and provide for their disbursement in the first three months of implementation, following decision of the GPCs.

The programme is led by a **Programme Management Team (PMT)**, composed of the overall Programme Manager (UNDP) and the UNHABITAT and ILO Programme Managers. Given continuing limitations for deployment into Iraq, the PMT has been primarily located in Amman, and meets regularly to jointly agree on the programme implementation and to develop a joint Programme document for LADP Phase Two. These managers count on specific, international technical expertise deployed (for a fraction of the programme duration), in Amman.

The Programme Management Team along with the **Regional Team** comprising the Regional Area Coordinators (strategic planner and institutional development specialists and infrastructure, urban development and economic development experts and other sectoral specialists) provide the main technical inputs. Every week, coordination meetings (virtual conferences) are conducted, connecting the three Area Coordinators with the Programme Management Team, so as to discuss progress in each Governorate as well as issues and challenges.

Three teams of Governorate Experts (North, Centre, South) including socio-economic development expert/planners and participatory planning/outreach specialists anchor the work in each Governorate and provide the required technical support, follow-up and monitoring, for the planning process to be developed in the five target Governorates.

Such a model, that devolves direct technical assistance to Iraqi experts at the local level, is envisaged as a model to be expanded throughout the country within LADP Phase II and builds on the experience and knowledge developed within LADP I. This model acknowledges existing Iraqi capacities for local planning as the main actor in this programme, with Governorate, Regional and International expertise structured in support to the Governorate Planning Units and Committees.

The management arrangements of this Bridging Phase follows the same principles as Phase I, and empowers local level structures of Government with the primary decision-making authority. The existing local level programme management and coordination arrangements have been reviewed during the local planning stocktaking carried out during the first four months of the Bridging Phase. Based on the initial findings, it was determined in late 2010 that additional time will be needed to determine the most appropriate governorate-level project steering structure in close partnership with each Governorate. Therefore, the PMT decided that in the interim period, each Area Coordinator will request in each Governorate the Provincial Council and the Governor's Office to nominate respectively one senior official as focal person who will liaise with the LADP Bridging Project. Subsequently and until project

completion date, the nominees from the Governor's Office and from the Provincial Council will be the two main interlocutors for LADP Bridging in each Governorate. As such, they will be invited to participate in regular coordination and advisory meetings.

Furthermore, the two nominees from Governor's Office and Provincial Council of each Governorate, our "Champions", are invited to quarterly coordination meetings at National Level together with other Senior Officials from the Ministry of Planning (Chair) and KRG Ministry of Planning. During meetings, the "Champions" represent their respective Governorate interests and views, share information and knowledge, discuss project progress as well as provide strategic advice and encourage cooperation, coordination and partnership with all key stakeholders. To date, all governorates have nominated their Champions who have been very active and supportive.

These structures have continued to develop and evolve during the LADP Bridging, with particular note regarding the establishment of the new Government, initiated during 4<sup>th</sup> Quarter 2010, and the findings of the stocktaking exercise and the responsive solutions that each Governorate opted for.

In particular Local Authorities in each Governorate were provided guidance to anchor planning capacity in Governorates and retain capacity regardless of recurrent elections. To this end, it was suggested that the selected planning body should not be comprised only of elected officials but should predominantly consist of civil servants already engaged in yearly planning activities within Governor's Offices, Technical Departments, Councils, and liaise with other key stakeholders. Potential models were discussed based on international best practices, which guided each governorate to consider reviewing its existing structures and mechanisms so as to ensure two distinct functions:

(1) Governorate steering of local Planning comprising the following sub-activities:

- a. Provision of provincial strategic advice;
- b. Establishment and support of the Planning Core Team;
- c. Endorsement of the Provincial Development plans;
- d. Liaison with Ministry of Planning;

(2) Preparation of the plans including:

Coordination & Quality control, enhancement of inputs from different stakeholders for the preparation of a Governorate Consolidated plan;

- Procurement Procedures

Each agency follows their procurement processes and procedures.

## **UNDP**

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.

- **Monitoring Systems**

In seeking to support local level structures of Government, the aim was to ensure that the programme was led, in the five Governorates by existing Governorate Planning Committees. These Committees are chaired by the Governor or the Provincial Council Chairperson, or a delegate of their choice. The Governorate Planning Committees convene key governmental stakeholders to be associated with annual and strategic planning at the Governorate level, including line ministry representatives and representation of the civil society. Civil society representation is through independent and active members of the local NGOs and Association landscape, the Chamber of Commerce and Industry, and other key stakeholders as prescribed by the local conditions. Wherever the Governorate Planning Committees have not been established, or do not satisfy criteria to meet the above basic profile in terms of representation and rules of procedure, LADP Bridging shall advocate and lobby for the establishment of such Committees in each area of implementation, and support their institutionalization during this Phase II implementation timeline.

The existing Planning Units (PUs) established by the Ministry of Planning in each Governorate, will represent one of the main day-to-day counterparts of the Programme in its bridging phase. These Units are envisaged to provide the technical input to support Governorate Authorities with their annual and strategic planning. These Units will report to the Governorate Planning Committees on matters specific to the programme implementation. Core to this project is to strengthen capacities of Local Government to effectively facilitate, monitor and assure the quality of the local planning process in each of the five implementation Governorates which is reflect at Output 3 and the corresponding outcome and activities.

The Area Coordinating Agency (UNDP in the three southern Governorates of Basrah, Thi Qar and Missan, UN-HABITAT in Babylon and ILO in Sulaymaniyah), through their national representative, shall act as primary counterpart to the Governorate Planning Committees and Planning Units, coordinate interaction with other partner agencies and ensure technical support for their work on matters specific to the programme.

- **Assessments and Evaluations**

LADP Bridging Phase II is a result of the lessons learned in LADP Phase I. New information and lessons are being comprehensively discussed in the Bridging Phase II to prepare for local area work in

the future. LADP Bridging work is based on the Outcome Evaluation and independent joint evaluation of LADP Phase I.

#### IV. Results

- Summary of Programme Progress in relation to planned outcomes and outputs; with variance.

Amongst the many valuable lessons learnt from the first phase of, LADP Bridging has set as a priority the requirement to build on existing institutions, systems and procedures rather than proposing new mechanisms that are largely UN-driven whose sustainability beyond the project time span remains uncertain. To this end, LADP Bridging facilitated the conduction of five stocktaking exercises in each target Governorate in order to map existing systems and procedures pertaining to local development planning and delivery. Those comprehensive reviews of the current practices with regard to local development and service delivery planning and management were undertaken in consultation with the representatives of the Provincial Council and Governor's Office. The review was followed by a participatory identification of the gaps and shortcomings in the current local development and service delivery planning and management system and processes. Those stocktaking exercises have also enabled the joint identification of major perceived bottlenecks, shortfalls, and areas that require improvements in each governorate e.g. for enhancing civil society participation in local development and service delivery or for consideration and systematic incorporation of cross-cutting issues: MDGs, poverty reduction, gender equality, environment, employment, etc.

As a result of the stocktaking exercise which took place at the end of 2010, it has been agreed that in partnership with the Ministry of Planning, LADP takes the opportunity of the next round of Provincial Development Planning exercises (PDP2012) in the five LADP Governorates to conduct five "experimental" planning exercises aiming at enhancing the quality of the plans both in terms of improved process and content.

Proposed improvements were expected through an array of coordinated efforts aiming at inter alia capacity development to meet quality features of the plans expected by MoP, greater alignment to NDP, improved coordination, greater responsiveness to citizen's needs and priorities through systematic public consultation, incorporation of cross-cutting issues, spatial analysis, development of Monitoring and Evaluation framework and performance measurement, identification of ways to remove bottlenecks to projects implementation and delivery of services etc.

As a result, the five Governorates produced an annual development plan of 2012 entitled the "Inclusive Provincial Annual Plan (IPAP) for 2012". The scope of IPAP 2012 was identified per governorate utilising priority themes and issues to be addressed in the 2012 plan which were founded on both national, regional and sectoral plans and strategies including the MDG Report of Iraq, Poverty Alleviation Strategy, National Development Plan, KRG Strategic Plan, Provincial Strategic Plans, etc.

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

**Output 1.1 Governorate and district officials' have strengthened institutional capacities and plan and manage sustainable socio-economic development in Basrah, Thi-Qar and Missan.**

UNDP achievements under Output 1.1 are 90% complete and as follows.

The Ministry of Planning and its Planning Units propose to be at the heart of Governorate-led planning efforts together with other relevant stakeholders and will be supported throughout the entire process. It is proposed that all five Governorates and MoP KRG meet periodically with the Ministry of Planning to review progress, discuss issues and challenges and agree on solutions, mitigation measures and way forward in order to improve vertical communication between the Ministry of Planning and the region and governorates. Not only is this process seen as an opportunity to improve systems and processes as well as to develop planning capacities in the five governorates, but it is also hoped to improve the interaction and clarify respective roles between MoP and Governorates.

During 2011 there has been increased and focused efforts on establishing and understanding of why gender-sensitive planning and service delivery are critical for local development and how local authorities can integrate gender into their planning exercises. One of the key deliverables of this project is to establish a pool of Iraqi gender specialists. These specialists will undertake advisory and monitoring roles at the Governorate level through the Planning Core Team and linkages will be established with the women's machineries at the national Level.

The following activities were achieved in 2010 which supported the 2011 work:

1.1.1 Stocktaking exercise of district planning work in 3 LADP Governorates (which UNDP is responsible for) conducted, essential service delivery reports developed and recommendations provided to Ministry of Planning.

Stocktaking workshops organized in the three Governorates:

- Basrah 10 November 2010 attended by 36 participants;
- Thi Qar on 23 November 2010 attended by 33 participants;
- Missan on 29 November 2010 attended by 34 participants.

1.1.2 Data analysis, district profiling and mapping for all remaining districts in 3 LADP Governorates (which UNDP is responsible for) prepared. Reviewed data collection mechanisms to inform local planning of regional and capital budget. Initiated gap analysis between data collected and data required for planning to allow baseline benchmarking and performance / progress measurement.

1.1.3 Institutional needs assessment for local planning conducted in the 3 LADP Governorates (which UNDP responsible for).

Updated and validated assessments of need and acceptability of having a structure/association representing Local Councils and responded to their priorities and their needs - such structure/association could ensure information sharing, be of assistance to interpret legislation, be an interlocutor to the national level, help with capacity development and induction of newly elected Councilors etc.

1.1.5 and 1.1.6 A three day workshop on current and potential institutional developments as well as best practices was subsequently organized on 12-15 December 2010 looking at the inclusive socio-economic planning in all 3 LADP Governorates (which UNDP is responsible for) reflected on data collected previously including flowcharts, assessments, reports etc.

## **UNDP 2011 Achievements under Output 1.**

On 20th February 2011, the stock taking findings were presented to the Ministry of Planning Deputy Minister who was very supportive of the initiative. During that meeting the Ministry of Planning approved of the revised LADP Work-Plan for 2011 to support five target governorates to improve their provincial plans for next year.

In 2011, LADP in partnership with the Ministry of Planning continued to conduct “pilot” annual provincial planning exercises aimed to improve the quality of existing plans. The pilots were focused on improved processes such as participatory local planning, consensus building, content drafting and production. Proposed improvements are expected through an array of coordinated efforts aiming at inter alia capacity development to meet quality features of the plans expected by the Ministry of Planning, greater alignment to the National Development Plan, improved coordination, and greater responsiveness to citizen’s needs and priorities. This included: systematic public consultation, incorporation of cross-cutting issues, spatial analysis, development of a monitoring and evaluation framework and performance measurements, identification of ways to remove bottlenecks to projects implementation and delivery of services etc.

In February 2011, it was agreed to support five experimental planning processes through monthly workshops and weekly remote follow-ups. This aimed at improving both local and regional planning process and the substance of the plans on the basis of key underlying principles and international best practices. Furthermore, it was agreed that each Governorate would manage and finance its own process and activities, including public consultation and technical meetings that were necessary to insure the expected quality.

Amman, 12–14 March 2011

Following the lessons learned and analysis conducted in the previous workshop, representatives from five Governorates (Basrah, Missan, Thi-Qar, Babylon and Sulaymaniyah), MoP Baghdad, MoP KRG and relevant ministries participated in a second workshop in Amman from 12-14 March 2011. The key outputs and purpose of the workshop was to discuss, develop and agree on the necessary structures and mechanisms for local development and service delivery; and facilitate preparation of an action plan and the steps needed for a kick-off workshop.

Additionally, governorate officials were provided with public consultation tools and guidance. This included the level of consultation, whom to consult (list of entities and/or individuals), tools and suggested mechanisms to be used and potentially institutionalised. The teams and governorate officials chose their preferred approach and respective public participation tools based on their objectives and the specifications of their governorates.



### SMS Campaign in Missan gave Citizens a Voice

Erbil, 24-28 April 2011

In April 2011, a third workshop was conducted in Erbil, KRG. The purpose of this workshop was to enhance the quality of the Planning Team Work-Plans in the five selected governorates through anchoring the concepts and skills of participatory planning to produce an enhanced version of the work plan that is more realistic and applicable for the 5 governorates.

The workshop produced the following results:

1. Agreed on the terminology to be used for the annual development plan of 2012 “Title” and scope to be the “Inclusive Provincial Annual Plan (IPAP) for 2012”.
2. Production of a guide book that included job descriptions for the key roles in the planning team.
3. The scope of IPAP 2012 was identified per governorate utilising priority themes and issues to be addressed in the 2012 plan which were founded on both; national, regional and sectoral plans and strategies including the MDG Report of Iraq, Poverty Alleviation Strategy, National Development Plan, KRG Strategic Plan, Provincial Strategic Plans, etc.
4. Revised public participation plans were produced indicating specifically where, who and with which tools each governorate is going to involve and consult the public on the IPAP content.

Amman, 29 May–2 June 2011

Preparations of the IPAPs for 2012:

A fourth workshop was held in Amman, to produce the IPAPs for the 5 selected Governorates. The IPAP training produced the following results:

1. Reviewed thematic consultations findings.
2. Introduced quality control tools and methodologies including; spatial analysis, identification of synergies, economy of scale etc.
3. List of projects produced with estimated costs to be implemented in 2012 in each governorate.
4. Map produced of resources needed for the implementation of the IPAP for 2012 per governorate.
5. Revised list produced of capacity building needs for the planning teams in each governorate based on the new knowledge and skills gained and new areas explored.

Sulaymaniyah, 10–14 July 2011

A fifth workshop was held in Sulaymaniyah, to enhance quality and review the draft IPAPs for the 5 selected Governorates and their contributions to the Millennium Development Goals

This training produced the following results:

1. Tested the quality of the draft plans, and improved quality through 5 quality tests;
2. Project integration and formulation linked to the MDGs.

Amman, 11 – 15 September 2011

In September 2011, a sixth workshop was held in Amman, to enhance quality and review the draft IPAPs for the 5 selected Governorates and their M&E frameworks. The training outcomes were as follows:

1. Review of identified major bottlenecks to project execution and root causes;
2. Review of identified solutions to major bottlenecks – (feasibility, relevance, sustainability etc.);
3. Draft list of risks and mitigation measures for the execution of the IPAP 2012 identified per governorate;
4. Annual Targets, performance indicators, means of verifications, frequency of measurement for indicators identified for the IPAPs;
5. Monitoring and Evaluation Plan per governorate for the execution of the IPAPs is produced;
6. Checklist for IPAP quality enhancement criteria is produced and agreed upon including MDGs and public consultation integrated into the criteria;
7. Revised list of capacity building needs for the planning teams in each governorate is produced based on the new knowledge and skills gained and new areas explored.

UNDP supported significant activities through the technical assistance, which resulted in the following activities where were undertaken and financed by the Southern Governorates:

1. Public Consultations were fully driven by the Governorates. This emphasized the ownership and the genuine attribute of the process. The entire cost of public consultation including all logistical arrangements were completely covered by Governorates.
2. Governorate Council Teams identified their capacity building projects to be included in their Inclusive Provincial Plans for 2012.
3. A better understanding of risk mitigation has been developed by the Governorate Councils, which resulted in the production of risk mitigation strategies for the IPAP. Of note, Missan Governorate allocated within their IPAP 2012 an amount of ID10 billion for risk mitigation.
4. Reviewed relevance and feasibility of plans for the required resources and time.
5. Reviewed the responsiveness of the plans to Iraq's obligations towards the achievement of the MDGs.
6. Reviewed spatial analysis, equitable geographical distribution based on needs.
7. Analyzed responsiveness of the plans to the challenges of planning, implementation and evaluation of local development.
8. Provided tools that support decision making regarding any projects that are being implemented with limited funds and time constraints.
9. Reviewed skills and knowledge on incorporation of the MDGs.



10. Improved types of proposed projects to better achieve the MDGs.
11. Basic knowledge introduced regarding contents of the follow-up and *evaluation plan*.

October 2011:

During October 2011, The LADP Programme designed and implemented a seventh round of workshops designed on the ‘one to one’ approach to capacity building. To this end, five individualized workshops were conducted in Iraq for all target governorates in the Governorates of Missan, Thi Qar, Basrah and Sulaymaniyah (Due to security reasons, the training Team was advised not to travel to Babylon Governorate. Hence, it was agreed that the Babylon Team would travel to Sulaymaniyah to conduct their one-to-one session). These one to one workshops were designed separately to allocate specific focused time per governorate to review and amend the Inclusive Provincial Annual Plan. These workshops are part of the capacity building courses entitled “Build the Capacity for the Production of Inclusive Provincial Annual Plans (IPAP) for 2012 in Five Governorates in Iraq through provision of Provincial Planning Core Team Capacity Development Courses under LADP Bridging”.

Technical support provided five one to one workshops to each planning team per governorate for the duration of 2 days, attended by 5 to 12 members from the local planning team in each governorate.

During the one to one workshops, an overall check of the IPAP per governorate was conducted, which included the review of the IPAPs’ responsiveness to the following priorities:

1. Provincial Development Strategy of the Governorate, and in case of Sulaymaniyah Governorate, the IPAP’s responsiveness to the Regional Development Strategy of KRG.
2. Local priorities determined by the local government.
3. Identified public needs generated from the public consultation process in each governorate.
4. Aligned financial allocation to priority needs.
5. MDGs understood and prioritised in IPAP within the local context.
6. Local development challenges and bottlenecks identified and whether the IPAPs integrated proposed solutions.

November 2011:

After the development of a revised 2nd draft of the IPAPs, as the eighth round of technical assistance provision this year, a training course was conducted in September which aimed at building the capacity of local planners on developing the monitoring and evaluation (M&E) plan for their IPAPs entitled “Monitoring and Evaluation Framework of the IPAP 2012”, which was a follow-up to the training conducted during the September workshop that focused on the content of the M&E plan for the IPAP and trained local planning teams.

Because the planning process at local level requires specific support by federal level staff, a special training course on M&E entitled “M&E for Regional and Federal Level” was conducted to the benefit of regional and federal level staff from the Ministries of Planning Baghdad and KRG in Amman, Jordan from 12 to 14 Nov. 2012.

This training course aimed at providing Federal / Regional level planners and those involved in monitoring and evaluation processes, the knowledge and skills of M&E to ensure harmony in competencies in the context of M&E between the trained local team and Federal/ Regional level members involved.

This M&E workshop for Federal and Regional levels contained M&E concepts, model and practice, included a session on M&E at Federal level for national level plans. The workshop focused on the following topics:

1. Review of the role of Federal Gov. and Regional Gov. of KRG in monitoring and evaluating national and regional level development;
2. Introduction to M&E models, approaches and tools;
3. How to develop M&E plan components;
4. Identification of the complementary roles and importance of monitoring and evaluation in the context of M&E roles defined in the Articles: 21 and 3.
5. Identification of contributions required at federal level to support sound local development process with a focus on the developed IPAPs of 2012 by LADP partnering governorates.
6. Exposure to cases of good practices in other countries.
7. Identification of bottlenecks facing entities/bodies responsible for M&E at federal and regional levels.
8. Identification of solutions to listed bottlenecks/challenges facing M&E role at the federal level.
9. Identification of capacity building needs of M&E officers at the federal level.

UNDP Iraq succeeded in mobilizing USD 200,000 from its core resources (TRAC), for specific gender attributes in the 5 Governorates to train individuals already involved in planning and service delivery processes at the Federal, Regional and local levels. The majority of the activities involved trainings focused on establishing and understanding of why gender-sensitive planning and service delivery are critical for local development and how local authorities can integrate gender into their planning exercises. One of the key deliverables of this component was to establish a pool of Iraqi gender specialists. The gender specialists will undertake advisory and monitoring roles at the Governorate level through the Planning Core Team and linkages will be established with the women's machineries at the national Level.

Amman, December 2011:

The first gender training was conducted to cover Local Planning and Service Delivery. The aim of this training was to assist the Local Planners in the Governorates to produce a " Gender Sensitive " Inclusive Provincial Annual Plans. The training focused on the following:

1. Comprehending the basic technical terms related to different gender topics.
2. Recognizing the most important analytical frames and merging the different gender issues with development.
3. Recognizing different development trends that target women.
4. Realizing the difference between Growth and Development terms.
5. Identifying the basic humanitarian development indicators and its relation with gender.
6. Identifying the importance of analyzing gender for proper planning.
7. Recognizing the importance of budgets that respond to gender.
8. Recognizing the importance of gender integration in the different institutions

Immediately after the Gender Enhanced Planning and Service Delivery Course, UNDP held a back-to-back Training of Trainers (TOT) that aimed to qualify participants who have been a participant at the training to become professional trainers in gender enhanced planning and service delivery in the governmental institutions and NGO's in Iraq.

**Output 1.2 Governorate and district officials' have strengthened institutional capacities and plan and manage sustainable socio-economic development in Sulaymaniyah.**

*ILO/ UNOPS achievements for 2011 under Output 1.2:*

**1.1.3**

1. Sulaymaniyah Local Development and Service Delivery's 'Steering Committee' and 'Core Team' were established through assisting and facilitating discussions between Governor Office and Provincial Council. However, later it was decided to merge the two committees in one consolidated team and strengthen information sharing among all the members. The team was named (High Committee of 2012 Planning – Sulaymaniyah).

The Steering Committee has four members (two local decision makers from the Governorate and two from the KRG Ministry of Planning). The Planning Core Team has 14 members including planning officers from Provincial Council, Governors' Office, Private sector, CSOs and Technical Departments.

2. Sulaymaniyah and KRG MoP Local Development and Service Delivery champions/focal points participated in the LADP meeting held in Baghdad on 20 Feb 2011 to consider options for the next steps towards integrated and coordinated local development and service delivery.
3. Sulaymaniyah champions/ focal points participated in a workshop in Amman during 12-14 March, to develop and agree on the necessary structure and mechanisms for local development and service delivery; prepare an action plan for the next steps including the kick off workshop.
4. Sulaymaniyah champions/ focal points participated in a workshop in Amman during 29 April – 02 May 2011, to discuss the mechanism and methods of preparing 2012 Provincial Development Plans.
5. Provided coordination / technical support for conducting meetings among the members of Sulaymaniyah High Committee for preparing 2012 Governorate Integrated Participatory Annual Plan (IPAP). Assisting the planning team in collecting/analyzing data and inputs from technical departments.
6. Coordinated participation of Sulaymaniyah champions/focal points in the consultation workshop on LADP II, which was held in Erbil on 31st July – 01st August 2011.
7. Coordinated participation of four members of Sulaymaniyah Planning Team in the M&E workshop held in Amman during 11-15 September 2011.
8. Assisted UNHABITAT in identifying Sulaymaniyah GIS focal points to be trained and prepared for undertaking GIS presentation of the Sulaymaniyah 2012 IPAP.
9. Coordinated participation of Sulaymaniyah Economic Development Group members (four persons) in the inception meeting & Territorial Diagnosis Technical Workshop that was conducted in Beirut, Lebanon 1-3 November 2011.

10. Coordinated participation of two Sulaymaniyah champions/focal points (one from the Governorate Office and the other from the Provincial Council) in the following workshops which were arranged by UNHABITAT in Amman:
  1. Awareness Raising Workshop on Feasibility Studies and Consultations for the production of the Feasibility Study Application; held on 11-13 Dec 2011,
  2. Urban Consultation Workshop; held on 14-15 Dec. 2011

#### **1.1.4**

Establishing and supporting Economic Development Groups (EDGs) in the four governorates of Sulaymaniyah, Babil, Missan and Thi Qar. The fifth governorate, Basrah, is being supported by ILO/UNOPS under PSDP-I.

The EDG is envisaged to be composed of 5 core members and up to 15 members from various disciplines relevant to the mandate of the units, from the academic, private and civil society environments. It should be noted that while the EDUs are established in cooperation with the governors' offices in the respective governorates, the draft resolution to formally endorse the role and structure of these units is currently pending approval by the Iraqi Council of Ministers.

The main output of the EDGs is the Production of the first Local Economic Development Plans (Local Economic Compacts), while coordination mechanisms were discussed to ensure adequate integration with the Inclusive Provincial Annual Plans (IPAPs).

Through the "TDT' Territorial diagnosis toolkit" developed by the ILO Local Economic Recovery specialist, the EDGs will use the tool to study aspects of the economic sector in the selected districts and based on the needs identified- identify local economic recovery projects and services ideas which will be part of the final Local Economic Compacts which will list projects needed by each governorate to improve local economic growth. These projects will be incorporated in respective governorates IPAPs.

The Compact design process is a participatory process and involves the validation of the information entered into the Tool at different steps of the process in participatory workshops for key local stakeholders such as local political leaders, media, NGOs, associations, unions, universities.

1. EDG Director and Core Members were nominated by the Governors in each Governorate.
2. EDGs were assisted in initial familiarization with Territorial Diagnosis Tool (TDT) and preparatory work prior to participation in the first inception workshop.
3. The Economic Development Group Inception Meeting & Territorial Diagnosis Technical Workshop was conducted in Beirut, Lebanon from 1 – 3 November 2011. Members of the Basrah Economic Development Unit (EDU) also participated in the workshop.
  - The primary objective of this first workshop was to train EDGs/EDUs members on how to apply the Territorial Diagnosis tool for the production of economic profiles of the Governorates and the identification of the Compact Goal, Objectives and Outcomes.

- The workshop was also attended by Iraq's Minister of Planning Dr. Ali Yousef Al-Shukri, Deputy Minister of Planning Dr.Sami Mati Polous, the Economic Advisor to the Iraq Prime Minister Mr.Arkan Rached Maruf and the Director General of the Development Planning Unit of the KRG Ministry of Planning Mr. Nawzad Tawifik,
- Based on the feedback and comments from the participants in the Beirut workshop, the ILO Local Economy Recovery expert has revised the Territorial Diagnosis Tool (TDT) to be more in line with the Iraqi Context.

**Output 1.3 Governorate and district officials' have strengthened institutional capacities and plan and manage sustainable socio-economic development in Babylon Governorate.**

UNHABITAT 2011 achievements under Output 1:

**1. Facilitate the Project Inputs to the PDP in Babil (Continuous)**

UN-Habitat acts as an Area Coordinator for the Governorate of Babil and hence is responsible for providing necessary coordination and technical support to all activities and capacity development initiatives undertaken by partner LADP agencies in this region. In addition, UN-Habitat is also responsible to support governorate office to plan and manage sustainable socio-economic development in the province. It is a continuous process and therefore UN-Habitat support in this area will continue till the end of the project.

UN-Habitat also leads the provision of technical assistance to the five LADP governorates based on its mandate under LADP-Bridging phase related to urban development and management issues which includes activities in areas of urban planning and building controls, spatial analysis, urban service delivery, slum upgrading, and coordination and networking with Local Government Association. The above activities are expected to simplify and systematize the priority identification process and hence ensure that IPAPs are fully inclusive provincial annual plans.

UN-Habitat activities under LADP Bridging is led by a Programme Manager and supported by a team of experts in Amman while the Area Coordinator based in Babil and focal persons operating from other provinces are responsible for executing the planned activities in close partnership of other LADP agencies on the ground.

**2. Spatial Analysis and its Incorporation into PDP (100%)**

This output was addressed into three phases. In the first phase, an attempt is made to collect information on GIS related equipment, software, skilled human resources, available budget and so on by using standard sets of questionnaire in all five LADP governorates. The survey also enquired about the sources of these facilities including their usage and possible expansion in the near future. The results were carefully analyzed and later used to implement this output on the ground. The second phase of this output started with a two-day internal workshop which was also participated by UN-Habitat area coordinator from Hillah as well as focal persons from other governorates. The workshop was facilitated by the UN-Habitat Programme Manager and also the Spatial Analysis consultant who later guided this activity till the end. This event discussed the issue of spatial analysis in detail and more particularly how

it can be best used in the context of IPAP preparation in selected LADP governorates. The discussion also deliberated on the next course of action including methodology of imparting knowledge on spatial analysis to the larger LADP society of five governorates. The results of GIS focused survey in five governorates were also shared and discussed in this workshop.

On the 18<sup>th</sup> and 19<sup>th</sup> of October 2011, UN HABITAT organized and facilitated an Urban Planning workshop at the Landmark Hotel in Amman, Jordan, focusing on the use of GIS as a Spatial Analysis (S.A) tool for making healthy urban and rural planning decisions. The aim of the workshop was to introduce the Iraqi officials coming from the technical departments to different tools and methods of Spatial Analysis, in order to help them to assess the new proposed projects within their region. On the other hand, the idea was also to provide them with a criterion that can be used to assess the Inclusive Provisional Annual Plan (IPAP). Before coming to this event, all the participants were extensively involved in completing a live exercise on spatial analysis which was closely coordinated by the expert consultant in all five LADP governorates. The result of this exercise was later presented and discussed in the workshop.

The workshop was coordinated and delivered by the expert consultant which was attended by 16 participants representing LADP governorates. The team included GIS focal person and one member of planning committee including UN coordinators and focal persons from the 5 LADP governorates. An independent GIS Consultant was also available to support the workshop as required. A workshop report was later prepared and shared with all the participants and also with other key stakeholders of the programme.

#### **1.1.6 Urban Consultation (70%)**

This exercise is part of the overall consultation process with particular emphasis on urban situation and context. This output is expected to discuss and highlight the subtle differences between the consultations processes applied in two different contexts however the ultimate aim is to strengthen the quality of IPAP in order to make it more inclusive and comprehensive. The final output of this exercise will be in the form of a chapter or section which will be integrated into the local planning handbook prepared at the end of the project.

To achieve this goal, the UN-Habitat had organized an Urban Consultation Workshop in Amman dated 14-15 Dec. 2011. The workshop was coordinated and facilitated by an expert from UK who was also supported by representatives of MEDAL Consultant. The UN Habitat Consultant is a known expert of this field and hence was very effective in sharing wide range of knowledge and experiences from different parts of the world. The workshop was attended by more than 20 participants and they were mainly from the planning core teams and steering committees of five partner LADP governorates who are also in charge of preparing the IPAPs 2012. Besides, some planners from KRG and federal government also participated in this two day workshop.

The purpose of the Workshop was to train the participants in the concepts and practices of Urban Consultation, to show how Urban Consultations have been conducted in other countries, and to help them apply these ideas and experiences in their specific situations. The Workshop therefore comprised sessions for:

- Concepts and Approaches of Urban Consultation
- Experiences and Lessons of Urban Consultation (Case Studies)
- Applying New Ideas and Lessons of Experience to the Iraqi Situation.

In order to stimulate the interest of the participants and to give them a sense of “ownership” of the proceedings, the Workshop included as well:

- Presentations from each Governorate team to summarize their consultation-related activities in 2011
- Small-group work (by Governorate) to apply new ideas about consultation and suggest how their consultation activities might be enhanced in 2012.

### **Guideline on Urban Planning and Building Control (30%)**

This output is being delivered through three LADP governorates i.e. Basrah in south, Hillah from the centre and Sulaymaniyah from the north. The UN-Habitat employed an experienced consultant (Urban Planner) who has recently started working on this project from Amman. This particular exercise is aimed at studying the urban planning process and building regulation/control practices covering historical underpinnings, present situation and future prospects and challenges in the three selected LADP governorates. The study is based on both primary and secondary sources including a consultative workshop at later stage which will be participated by the planning department staffs of selected governorates and other relevant stakeholders.

This project aims at creating a strong and clear understanding of both urban planning and building control/regulation process in three selected LADP governorates in Iraq, through briefly reviewing the various documents, regulations and procedures.

### **Informal Housing and Slum Upgrading (40%)**

This output aims at testing the deliverables in the form of pilot initiative in one selected LADP governorate. The UN-Habitat chose Hillah as a pilot governorate and therefore activities related to this output has started. The idea is to prepare a guidance note for quality control of the IPAPs and enhance the approach in relation to slum upgrading in Babil as a pilot project. The UN-Habitat team in Babil has prepared the ground by initiating following preparatory activities in the field:

- The team held several meetings to select the slum area based on some scientific criteria and standards. Accordingly Hay Al Afrah in Hillah district has been selected.
- The team is preparing maps of the targeted neighbourhood and also conducting a situation analysis based on existing data and site visits by the UN staff and the key persons of planning core team. This exercise will ultimately produce a complete profile of the selected slum area.
- List of relevant stakeholder have been developed while few meetings have been recently conducted. In the process some notes about the slum area are also prepared.
- The team is also preparing a presentation which will be used later for large scale consultations.
- The team is also identifying experts to be mobilized for the technical inputs. (Two consultants-civil engineers) including the members from core team, steering committee, and UN staff (UN-HABITAT, UNDP, and UNOPS) who will steer the whole process of slum improvements.

Now in order to support and consolidate the above efforts in the field, UN-Habitat is organizing an exposure visit to Amman and Cairo in the month of Feb. 2012. The exposure visit will include relevant stakeholders from Hillah and also LADP coordinators from the three regions. The main idea of this exposure visit is to allow the participants to learn from some selected best practices in the field of slum

upgrading and improvement from both Amman and Cairo and later apply the relevant knowledge in a pilot governorate (in this case Hillah) in order to better deal with the improvement of slum areas in the local context and realities of Iraq.

### **1.1. 9 Feasibility Study in Approach and Application (50%)**

Series of complementary activities are planned under this output. Two follow-up workshops are proposed which are closely linked in terms of deliverables. At the same time, a live infrastructure related project is chosen with an aim to conduct a feasibility study exercise in active support of selected participants. At the end of the second workshop, a feasibility study manual will be produced.

On 11-13 Dec 2011 in Amman, UN-HABITAT organized a Feasibility Studies Workshop I which was attended by 21 participants both from the field and also from the federal and Kurdish government. The governorates participants were mainly from the planning core teams and steering committees that are also in charge of preparing the IPAPs 2012. In addition, some selected planners and engineers from relevant ministries and departments of KRG and Federal government also participated in the workshop.

The workshop was fundamentally dedicated to provide necessary technical assistance to the local planners and engineers in order to better understand the concept and forms of feasibility studies and more importantly how to choose and apply the right form of feasibility studies in case of projects identified under the inclusive provincial annual plans. In order to test the knowledge and skills gained from the above workshop, a pilot exercise is identified whereby a team of participants are involved and preparing a true feasibility study plan in close coordination and support of the Feasibility Study Expert who was also involved in delivering the above workshop.

The sample project selected by the team is titled as the **Kublah Waste Management Project from Basrah** province which is also a project proposed in the provincial Development Plan. The team assigned for the task has already started working on the project while the detailed process and the result will be discussed and validated in the next workshop planned in Feb. 2012.

**Output 2: Local men and women empowered to identify and address their needs and priorities for poverty reduction.**

#### **UNDP 50% complete**

1.2.1 Vulnerability assessment reports prepared in 3 LADP Governorates. Collected existing assessment reports and available studies in 3 LADP Governorates on vulnerability, poverty and deprivation of services.

Within each Governorate which UNDP is accountable for, basic mapping of all organizations, associations, syndicates, unions, cooperatives etc. was conducted. An identified approach and methodology has been developed for the second round of information collection that aimed to gather key data that will be determinants in the identification of key potential partners for the next phase of LADP(II). This included the identification of a pool of potential credible implementation partners, a pool of hubs/relay organizations that have access to extensive social network and reach out for



advocacy and information dissemination, a pool of organizations that are knowledgeable on issues and challenges faced by vulnerable groups etc.

During 2011, in the southern Governorates Basrah, Thi Qar and Missan, UNDP conducted basic mapping of the vulnerable groups in the Governorates. That inventory provided a sound baseline on the definition of vulnerability in each community as data collection was disaggregated by sex and age groups. A geographical mapping of those groups was introduced in order to have a deeper understanding of the vulnerability nature between urban and rural. UNDP will continue the mapping into 2012, through selecting samples of identified groups, and will conduct a Participatory Poverty Assessment at the village/ sub district level.

**Output 3: Ministry of Planning Development Cooperation has improved capacities to facilitate and monitor local planning in relation to central planning.**

1.3.3 LADP reviewed an approach and methodology adapted to the disputed internal boundaries (DIB) areas.

Incorporated recommendations into future LADP II Project Document – redesigning result framework based on revised analysis of key issues to be addressed.

Inclusion of MDGs, gender, environmental and vulnerability issues in LADP II results framework and Project Document.

In September 2011, a sixth workshop was held in Amman, to enhance quality and review the draft IPAPs for the 5 selected Governorates and their M&E frameworks. The training outcomes were as follows:

1. Review of identified major bottlenecks to project execution and root causes;
2. Review of identified solutions to major bottlenecks – (feasibility, relevance, sustainability etc.);
3. Draft list of risks and mitigation measures for the execution of the IPAP 2012 identified per governorate;
4. Annual Targets, performance indicators, means of verifications, frequency of measurement for indicators identified for the IPAPs;
5. Monitoring and Evaluation Plan per governorate for the execution of the IPAPs is produced;
6. Checklist for IPAP quality enhancement criteria is produced and agreed upon including MDGs and public consultation integrated into the criteria;
7. Revised list of capacity building needs for the planning teams in each governorate is produced based on the new knowledge and skills gained and new areas explored.

November 2011:

After the development of a revised 2nd draft of the IPAPs, a training course was conducted in September which aimed at building the capacity of local planners on developing the monitoring and evaluation (M&E) plan for their IPAPs entitled “Monitoring and Evaluation Framework of the IPAP 2012”. The training in September workshop focused on the content of the M&E plan for the IPAP and trained local planning teams.

The planning process at local level required support by federal level staff. Thus, another training course on M&E entitled “M&E for Regional and Federal Level” was conducted to regional and

federal level involved staff from the Ministries of Planning Baghdad and KRG in Amman, Jordan from 12 to 14 Nov. 2012.

This training course aimed at providing Federal / Regional level planners and those involved in monitoring and evaluation processes, the knowledge and skills of M&E to ensure harmony in competencies in the context of M&E between the trained local team and Federal/ Regional level members involved.

This M&E workshop for Federal level contained M&E concepts, model and practice, included a session on M&E at national level for national level plans. The workshop focused on the following topics:

1. Role of Federal Gov. and Regional Gov. of KRG in monitoring and evaluating national and regional level development;
2. Introduction to M&E models, approaches and tools;
3. How to develop M&E plan components;
4. Identified the complementary roles and importance of monitoring and evaluation are in the context of M&E roles and Articles; 21 and 3.
5. Contributions required at federal level to support sound local development process identified with a focus on the developed IPAPs of 2012 by LADP partnering governorates.
6. Exposure to cases of good practices in other countries.
7. Bottlenecks facing entities/bodies responsible for M&E at federal and regional level identified.
8. Proposed solutions to listed bottlenecks/challenges facing M&E role at the federal level are identified.
9. Capacity building needs of M&E officers at the federal level identified.

Preliminary assessment on the adaptation of the Area Based Development approach and methodology to particularly address vulnerability and exclusion for Disputed Internal Boundaries (DIBs) areas was a joint effort with the UNDP Bureau of Conflict Prevention and Recovery. This action assisted to secure additional UNDP core resources and secondment of technical support for enhancing compliance and sensitivity of the participatory and inclusive approach and methodology under LADP towards conflict prevention and recovery, reconciliation and peace building.

Detailed information was gathered on the situation in the DIBs area, based on a Multiple Deprivation Analysis which was conducted by the UN Iraq's Information Analysis Unit (IAU)<sup>5</sup> which found that the depth of deprivation in the DIB districts is far greater than in the rest of Iraq. In rural DIBs districts, 23% of households are extremely deprived compared to 5% in the rest of rural Iraq. Some rural districts show very high levels of extreme deprivation. For example in rural Tal Afar, Sinjar and Al Hamdania up to 56% of households are likely to be food insecure and suffer from poor water and electricity supply.

UNDP Iraq, in coordination with BCPR, developed a Project Document for the Area Based Development Programme in the DIBs, with focus on local economic development, safety and social cohesion for local communities including marginalized groups, the most vulnerable, women and youth. The designed programme is a joint initiative between the Governance and the Poverty Reduction and Economic Recovery Pillar.

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<sup>5</sup> For the UN in Iraq's Information Analysis Unit (IAU) Deprivation Report see: [www.iauiraq.org](http://www.iauiraq.org)

### 1. UNDP Outputs and Percentage.

|                    |   |               |
|--------------------|---|---------------|
| <b>Output 1.1:</b> | Governorate and district officials have strengthened institutional capacities to plan and manage sustainable socio-economic development       | 90 % complete |
| <b>Output 2.1:</b> | Local men and women empowered to identify and address their needs and priorities for poverty reduction ,                                      | 50% complete  |
| <b>Output 3.1:</b> | Ministry of Planning Development Cooperation has improved capacities to facilitate and monitor local planning in relation to central planning | 60% complete  |

### 2. ILO/UNOPS Outputs and Percentage

|                    |   |              |
|--------------------|---|--------------|
| <b>Output 1.3:</b> | Governorate and district officials have strengthened institutional capacities to plan and manage sustainable socio-economic development       | 90% complete |
| <b>Output 2.3:</b> | Local men and women empowered to identify and address their needs and priorities for poverty reduction ,                                      | 50% complete |
| <b>Output 3.3:</b> | Ministry of Planning Development Cooperation has improved capacities to facilitate and monitor local planning in relation to central planning | 60% complete |

### 3. UNHABITAT Outputs and Percentage

|                    |   |     |
|--------------------|---|-----|
| <b>Output 1.3:</b> | Governorate and district officials have strengthened institutional capacities to plan and manage sustainable socio-economic development       | 60% |
| <b>Output 2.3:</b> | Local men and women empowered to identify and address their needs and priorities for poverty reduction ,                                      | 40% |
| <b>Output 3.3:</b> | Ministry of Planning Development Cooperation has improved capacities to facilitate and monitor local planning in relation to central planning | 40% |

## VI. INDICATOR BASED PERFORMANCE ASSESSMENT

The area coordinating agencies (UNDP, ILO/UNOPS and UNHABITAT) will have primary responsibility over the following activities in relation to Output 1 and 2. The respective agency number 1 UNDP, 2ILO/UNOPS, and 3 UNHABITAT and activity number at the end:

|  | <b>Performance Indicators (activities)</b>   | <b>Indicator Baselines</b> | <b>Planned Indicator Targets</b>   | <b>Achieved Indicator Targets 2011</b>                            | <b>Reasons for Variance (if any)</b>                               | <b>Source of Verification</b> | <b>Comments (if any)</b> |
|--|--|----------------------------|--|---|--|-------------------------------|--------------------------|
| <b>Outcome 1 Improved policies, strategies and related institutional developments that are sensitive to MDGs, social inclusiveness, gender equality and pro-poor economic growth</b> |  |                            |  |   |  |                               |                          |
| <b>Output 1.1 Governorate and district officials' have strengthened institutional capacities to plan and manage sustainable socio-economic development</b>                           | Activities Indicator 1.1.1, 1.2.1, 1.3.1<br>Stocktaking exercise of district planning work in 5 LADP Governorates conducted, essential service delivery reports developed and recommendations provided to MoP. | None available             | 5 Governorate essential service delivery reports developed and recommendations provided for review | 5 reports available; one consolidated report available – Achieved |  | Report Available              |                          |
|  | Activities Indicator 1.1.2, 1.2.2, 1.3.2<br>Data analysis, district profiling and mapping for all remaining districts in 5 LADP Governorates prepared  | None available             | 5 District Profiles prepared   | Achieved/ 5 district profiles available                           | Will be part of Provincial Annual Plan 2012 to be prepared in 2011 | District Profiles available   |                          |

|  |   |                |  |   |  |   |  |
|--|---|----------------|--|---|--|---|--|
|  | Activities Indicator 1.1.3, 1.2.3, 1.3.3 Institutional needs assessment for local planning conducted in the 5 LADP Governorates   | None available | 5 Governorate needs assessments conducted  | 5 needs assessments were conducted  | Achieved   | Needs Assessments available               |  |
|  | Activities Indicator 1.1.4, 1.2.4, 1.3.4 Technical assistance provided for the preparation of local socio-economic development and service delivery plans in 5 LADP Governorates coordinating with other UN Agencies.   | None available | 3 Service delivery plans prepared  | 5 service delivery plans were prepared                                      | Achieved   | Review of Service delivery plans          |  |
|  | Activities Indicator 1.1.5, 1.2.5, 1.3.5 Local Government administrative capacity strengthened for implementation of plans, identification of bottlenecks and improved effectiveness to manage, monitor, implement and evaluate the plans in each LADP Governorate. | None available | 50 Government Officials trained in:<br>a) financial management<br>b) programme cycle management<br>c) quality assurance<br>d) monitoring and evaluation<br>e) procurement and contract management<br>f) service delivery quality enhancement | Achieved 214 Government officials were trained, comprising 52 women (24.3%) | All training sessions to be geared to preparation of Provincial Annual Plan 2012 | Training curriculum and attendance sheets |  |

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|--|---|----------------|---|---|--|--|--|
|  | Activities Indicator 1.1.6, 1.2.6, 1.3.6<br>Feasibility studies and applied field research conducted in support of local plans and proposed strategies in 5 Governorates  | None available | 5 feasibility studies conducted   | One training provided to five governorate on concept an methodology and one pilot achieved  |  | Reports available  |  |
|  | Activities Indicator 1.1.7, 1.2.7, 1.3.7<br>A citizen accountability mechanism established for public spending scrutiny, public assessment of convenience and quality of essential services in LADP Governorates. | None available | 5 different citizen accountability mechanisms presented and discussed in the LADP Governorates. | Not achieved will be part of 2012 Work Plan   |  | Options and identification letter of selection by citizens in respective Governorates. |  |
|  | Activities Indicator 1.1.8, 1.2.8, 1.3.8<br>Client satisfaction survey conducted and reviewed.  | None available | 3 reports developed on client satisfaction review and quality of participation                  | Achieved in the southern Governorates   |  | Reports available  |  |
| <b>Output 2.1, 2.2 and 2.3:</b><br><br><b>Local men and women empowered to identify and address their needs and priorities for poverty</b> | Activities Indicator 2.1.1, 2.2.1, 2.3.1<br>Vulnerability assessment reports prepared in 5 LADP Governorates.   | None available | 5 reports developed on specific vulnerability   | 3 reports available/ in the Governorate that UNDP is leading ( Thi Qar – Basrah and Missan) |  | Reports available  |  |
|  | Activities Indicator 2.1.2, 2.2.2, 2.3.2  | None available | 5 reports developed on most vulnerable  | Achieved for 3 southern governorates  |  | Programme records<br>Analysis reports<br>Reports available                             |  |

|                   |  |                |   |                                    |   |  |  |
|-------------------|--|----------------|---|------------------------------------|---|--|--|
| <b>reduction.</b> | Most vulnerable districts identified based on vulnerable groups and pockets of vulnerability in 5 LADP Governorates.   |                | districts in LADP Governorates  |                                    |   |  |  |
|                   | Activities Indicator 2.1.3, 2.2.3, 2.3.3<br>Capacity of CSOs enhanced to participate in local development planning.  | None available | 50 CSO representatives trained<br><br>25 CSOs participate in local development planning processes | Not achieved and part of 2012 plan |   | Programme records<br>Attendance Records                    |  |
|                   | Activities Indicator 2.1.4, 2.2.4, 2.3.4<br>Community driven initiatives for poverty reduction and livelihood enhancement identified and proposals formulated in the 5 LADP Governorates | None available | 25 community driven initiatives formulated  | Not achieved and part of 2012 plan | Will result from in-depth assessments in one urban and one rural impoverished areas in each governorate | Community driven proposals available                       |  |
|                   | Activities Indicator 2.1.5, 2.2.5, 2.3.5<br>Potential models of public, private and community initiatives analysed and reviewed in relation to the Iraqi context.                        | None available | 1 analysis report   | Not achieved and part of 2012 plan |   | Programme records<br>Analysis reports<br>Reports available |  |

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|--|---|-------------------|---|--|---|--|--|
| <b>Output 3.1<br/>Ministry of<br/>Planning<br/>Development<br/>Cooperation<br/>has improved<br/>capacities to<br/>facilitate and<br/>monitor local<br/>planning in<br/>relation to<br/>central<br/>planning.</b> | Activities<br>Indicator 3.1.1<br>Local Area Planning<br>Handbook revised<br>and available and<br>Sub-National<br>planning guidelines<br>developed for use by<br>the 5 LADP<br>Governorates. | None<br>available | 1 revised planning<br>handbook<br>developed<br><br>Planning<br>guidelines<br>developed on<br>procedures for<br>standardization of<br>sub-national<br>planning | Not achieved<br>and part of<br>2012 plan   | TA to<br>support<br>preparation<br>of Provincial<br>Annual Plan<br>2012 will<br>develop<br>handbook<br>chapter per<br>chapter | 1 revised planning<br>handbook available<br><br>Sub-National<br>Planning Guidelines<br>available |  |
|  | Activities<br>Indicator 3.1.2<br>Blueprint for MoP<br>institutional<br>development<br>developed.  | None<br>available | Blueprint<br>developed and<br>draft available<br><br>75 GoI officials<br>trained in key<br>areas of<br>institutional<br>development                           | 30<br>Government<br>officials<br>comprising<br>11 female<br>attended a<br>series of<br>workshops<br>aimed at<br>strengthening<br>local<br>Planning |   | Blueprint review<br>Programme records<br>Training records  |  |
|  | Activities<br>Indicator 3.1.3<br>LADP reviewed and<br>approach and<br>methodology<br>adapted to the<br>disputed internal<br>boundaries (DIB)<br>areas.                                      | None<br>available | Adapted model<br>developed for use<br>in DIB areas.   | Achieved ,<br>and project<br>document<br>produced , in<br>2012 talks<br>with GoI will<br>start   |   | Programme records<br>Draft model<br>available  |  |
|  | Activities<br>Indicator 3.1.4<br>Communication and<br>information<br>exchange facilitated<br>between the 5 LADP   | None<br>available | 5 coordination<br>meetings held<br><br>Training sessions<br>include joint<br>participation of   | Erbil<br>Workshop<br>allowed 5<br>governorates,<br>KRG and<br>Federal level  |   | Minutes of<br>coordination<br>meetings<br><br>Attendance lists of<br>training sessions.          |  |



|  |                      |  |                           |                                     |  |  |  |
|--|----------------------|--|---------------------------|-------------------------------------|--|--|--|
|  | Governorates and MoP |  | LADP Governorates and MoP | to discuss local development issues |  |  |  |
|--|----------------------|--|---------------------------|-------------------------------------|--|--|--|