

United Nations Development Group Iraq Trust Fund
Project 76508: G11-23
Date and Quarter: 01 April – 30 June 2012
2nd Quarter 2012

Participating UN Organisation: UNDP (lead agency), UNOPS **Sector: Governance**
Government of Iraq – Responsible Line Ministry: Independent High Electoral Commission (IHEC)

Title	Institutional Development Support to the Independent High Electoral Commission (IHEC)				
Geo. Location	All Governorates of Iraq				
Project Cost	Total ITF Budget: USD 24, 861, 991 UNDP: USD 13, 947, 279 UNOPS: USD 10, 914, 712				
Duration	36 months				
SC Approval Date	29.09.2010	Starting Date	18.10.2010	Completion Date	18.10.2013
Project Description	<p>This programme has been jointly developed by the UN and the Iraqi Independent High Electoral Commission (IHEC) to support the IHEC in its continued institutional development as a sustainable institution within the government structure of Iraq, carrying out its constitutional mandate independently, efficiently, transparently and accountably, in line with professional standards.</p> <p>The programme objectives are based on the results of a comprehensive IHEC capacity assessment in October/November 2009, recommendations from the IHEC and inputs of international advisors working closely with the IHEC on a day-to-day basis, and lessons learned from recent electoral events. These objectives aim to address significant gaps in the following areas:</p> <ol style="list-style-type: none"> 1. Institutional framework and organisational capacity of the IHEC as Iraq’s permanent electoral institution, established under the constitution; 2. Human resource capacity of the IHEC (staff skills, knowledge and resources) at both central and governorate office levels; 3. Technological capacity of the IHEC to manage electoral processes in a sustainable manner. 				

Development Goal and Immediate Objectives

Development goal: To contribute to an enhanced implementation of electoral processes in Iraq in line with the Governance Sector Outcome 1: *Strengthened electoral processes in Iraq* and the Iraq National development goal: *Strengthening good governance and improving security*.

UNDAF (*Links with but after project initiated.*):

Outcome 1: *Improved governance, including the protection of human rights*

1.2 *The Iraqi state has more efficient, accountable and participatory governance at national and sub-national levels.*

UNDP CPAP: *1. Government of Iraq and civil society have strengthened participatory mechanisms in place for electoral processes, national dialogue and reconciliation.*

The programme's immediate objective is: To support the IHEC in its continued institutional development as a sustainable institution within the government structure of Iraq, carrying out its constitutional mandate independently, efficiently, transparently and accountably, in line with professional standards.

Outputs, Key activities and Procurement	
Outputs	<p>JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution</p> <p>Output 1.1: IHEC has improved institutional transparency and accountability Output 1.2: IHEC has improved institutional management structures and practices Output 1.3: IHEC has enhanced electoral management policies and processes</p> <p>JP Output 2: IHEC has enhanced human resource capacity by improving staff skills, knowledge and resources at both central and governorate office levels for staff to fulfil their functions effectively</p> <p>Output 2.1: IHEC has enhanced internal professional development and capacity building strategy Output 2.2: IHEC staff have improved technical skills to fulfil their functions effectively</p> <p>JP Output 3: IHEC has improved technological capacity to manage electoral processes in a sustainable manner</p>
Activities	<p>1.1.1 CoR reporting requirements reviewed with the IHEC 1.1.2 Board decisions published in Kurdish and Arabic 1.1.3 IHEC electoral regulatory framework reviewed 1.1.4 Electoral legal framework reviewed in cooperation with CoR Legal Committee 1.1.5 IHEC complaints process reviewed 1.1.6 Institutional framework for dispute resolution reviewed in cooperation with CoR Legal Committee, Accountability and Justice Commissioner, Electoral Judicial Panel 1.1.7 IHEC processes reviewed in relation to GoI regulations and procedures (admin, finance, contracts) 1.1.8. Number of capacity building activities¹ organised on transparency, accountability and legal framework 1.1.9 Number of personnel (male/female), representatives of relevant Iraqi partner institutions and external stakeholders engaged in capacity building activities on transparency, accountability and legal framework 1.1.10 Percentage of participants satisfied with the relevance and usefulness of the activity 1.1.11 Number of consultants providing technical support to IHEC on improved transparency and accountability 1.2.1 IHEC SOPs drafted (finance, human resources, information management, administration approval processes) 1.2.2 IHEC reporting guidelines drafted 1.2.3 IHEC finance, human resources and inventory management systems assessed and upgraded 1.2.4 Number of management capacity building activities organised for enhancement of management structures and practices 1.2.5 Number of personnel (male/female) engaged in management capacity building activities 1.2.6 Percentage of participants satisfied with the relevance and usefulness of the activity 1.2.7 Number of consultants providing technical support to IHEC to improve institutional management structures and practices</p>

¹ Capacity building activity' refers to training, study visit, workshop, seminar, roundtable or election lessons learned event.

	<p>1.3.1 Assessment of voter registration policies, operational processes and systems completed, in cooperation with relevant Iraqi government bodies</p> <p>1.3.2 Study of IDP data and voting patterns completed, in cooperation with Ministry of Displacement and Migration</p> <p>1.3.3 Systems for managing political entity and candidate data assessed and upgraded</p> <p>1.3.4 Voter information campaign evaluated</p> <p>1.3.5 IHEC governorate helpdesk and call centre services assessed and improved</p> <p>1.3.6 Number of capacity building activities held to enhance electoral management policies and processes</p> <p>1.3.7 Number of personnel and representatives of relevant Iraqi partner institutions (male/female) engaged in capacity building activities to enhance electoral management policies and processes</p> <p>1.3.8 Percentage of participants satisfied with the relevance and usefulness of the activity</p> <p>1.3.9 Number of consultants providing technical support to the IHEC to enhance electoral management policies and processes</p> <p>2.1.1 Internal capacity building procedures and evaluation tools developed by IHEC</p> <p>2.1.2 Number of personnel (male/female) using resources provided to the IHEC resource centre (books, publications)</p> <p>2.1.3 Number of capacity building activities organised for IHEC CB personnel</p> <p>2.1.4 Number of IHEC CB personnel (male/female) engaged in capacity building activities</p> <p>2.1.5 Percentage of participants satisfied with the relevance and usefulness of the activity</p> <p>2.1.6 Number of capacity building activities organised by IHEC CB Department</p> <p>2.1.7 Number of personnel (male/female) engaged in capacity building activities organised by IHEC CB Department</p> <p>2.1.8 Number of personnel (male/female) fully accredited as BRIDGE facilitator</p> <p>2.1.9 Number of consultants providing support to the IHEC in delivery of capacity building activities</p> <p>2.2.1 Number of capacity building activities⁷ organised to enhance technical skills</p> <p>2.2.2 Number of personnel (male/female) engaged in capacity building activities to improve technical skills</p> <p>2.2.3 Percentage of participants satisfied with the relevance and usefulness of the activity</p> <p>2.2.4 Number of personnel (male/female) trained in use of graphic design and translation equipment</p> <p>2.2.5 Number of consultants providing technical support to improve IHEC staff technical skills</p> <p>3.1.1 Number of technological assessments completed (IT and communications)</p> <p>3.1.2 Voter registration systems and equipment upgraded</p> <p>3.1.3 GIS system developed</p> <p>3.1.4 Number of personnel (male/female) trained on the usage and maintenance of IT systems</p> <p>3.1.5 Percentage of trainees passing the end of training technical test</p> <p>3.1.6 ITC Disaster Recovery Plan is developed</p> <p>3.1.7 Strategy for improving data entry centre processes is developed</p> <p>3.1.8 Number of IHEC staff participating in a study visit on effective and efficient tabulation of results</p> <p>3.1.9 IHEC call centre systems assessed and upgraded</p> <p>3.1.10 Number of consultants providing technical support to improve IHEC's IT communication and technology</p>
<p>Procurement (major items)</p>	<p>Procurement planned under the project:</p> <ul style="list-style-type: none"> • Resources for the IHEC resource centre (books, publications, equipment) • Graphic Design equipment • Translation equipment (dictionaries, glossaries, simultaneous interpretation)

	<ul style="list-style-type: none"> • Call centre equipment and software • Voter registration equipment and systems • GIS hardware and software equipment • Equipment for implementation of ITC disaster recovery plan
--	---

Funds Committed (UNDP)	USD 3,251,717	% of approved	23.3 %
Funds Disbursed (UNDP)	USD 2,803,032	% of approved	20.1 %
Forecast final date	17 October 2013	Delay (months)	0
Funds Committed (UNOPS)	USD 4,172,563	% of approved	38.2 %
Funds Disbursed (UNOPS)	USD 4,116,802	% of approved	37.7 %
Forecast final date	17 October 2013	Delay (months)	0
Funds Committed (total)	USD 7,424,280	% of approved	29.9 %
Funds Disbursed (total)	USD 6,919,834	% of approved	27.8 %

Direct Beneficiaries	Number of Beneficiaries	% of planned (current status)
Men (Target: 1471)	822	56 %
Women (Target: 368)	204	55%
Children	n/a	n/a
IDPs	n/a	n/a
Others	n/a	n/a
Indirect beneficiaries	By contributing to a transparent democratic electoral process, the programme benefits the population of Iraq.	n/a
Employment generation (men/women)	Employment generation does not fall directly within the framework of this programme. However, consultancies or service provision contracts may take place during implementation of the programme, utilising Iraqi trainers and service providers wherever possible.	n/a

Quantitative achievements against objectives and results	% of planned
Output 1 / UNDP 1.1 IHEC has improved institutional transparency and accountability	29 %
Output 1.2 / UNDP IHEC has improved institutional management structures and practices	25 %
Output 1.3 / UNDP lead with UNOPS IHEC has enhanced electoral management policies and processes	35 %
Output 2.1 / UNDP lead with UNOPS IHEC has enhanced internal capacity building and professional development strategy	63%
Output 2.2 / UNOPS IHEC staff have improved technical skills to fulfil their functions effectively	76 %
Output 3.1 / UNOPS IHEC has improved technological capacities to support electoral processes in a sustainable manner	15 %

Qualitative achievements against objectives and results

During the reporting period, the institutional development programme continued to provide ongoing support to enhancing IHEC capacity in key priority areas of procurement, public outreach, information management and ICT, security, electoral operations and incorporation of gender considerations into electoral processes.

The IHEC-UN Projects Steering Committee held one meeting and the Project Management Committee held three meetings to review progress in programme implementation during the second quarter of 2012. During these meetings, nine capacity building activities were approved for implementation, timelines were proposed and discussions continued on priorities for 2012.

Output 1.1: IHEC has improved institutional transparency and accountability

A five-day training session on Preparation of Public Opinion Surveys was conducted from 06 to 10 May in Baghdad for seventeen (17) IHEC National Office staff from Public Outreach, Capacity Building and Operations Departments. The activity was organised by UNDP in cooperation with IREX, and aimed to introduce participants to the concept of surveys and how to plan and implement them. The training introduced participants to the theory of statistical surveys, different types of survey, design of questionnaires and how to organize a survey. Examples of surveys undertaken in different governorates of Iraq were provided, and participants worked on developing their own sample surveys based on Iraqi census data. Following the training, discussions were held in June between UNDP, UNAMI, IFES and a survey expert from the University of Baghdad to develop a coordinated plan of support, with the ultimate aim of enabling the IHEC to develop its own surveys and analyse their results to inform the IHEC's public outreach strategies in the future.

Output 1.2: IHEC has improved institutional management structures and practices

During the reporting period, UNDP continued to provide support in procurement, e-governance and gender.

One member of the IHEC Procurement, Bids and Tenders Section attended a three-day training on Contract Management on 20-22 May in Baghdad. This was organized by the UNDP Loan Management Team of the Economic Recovery and Poverty Alleviation cluster. Topics included the roles of parties to the contract, payments to contractors, timelines and risk of delay, measurement and evaluation, and also claims, dispute and arbitration.

Following requests made by the IHEC and UNDP-Iraq e-Governance Programme, the Ministry of Higher Education and Scientific Research invited a total of four IHEC staff to participate in two e-Governance workshops held on 08-10 May and 05-07 June, respectively. The workshop objective was to enhance understanding on how e-Governance is utilized to improve public services to all and to promote good governance, including increased public participation, social equity and justice and transparency and effectiveness of public institutions. Discussion between UNDP and IHEC will continue to determine further support in this area, and aid the IHEC in developing a strategy on how to utilize e-Governance principles for electoral management purposes.

Further meetings took place between the UNDP Senior Gender Advisor, UNDP National Gender Specialist, UNAMI Gender Advisor and UN electoral team gender focal point, and relevant IHEC representatives to discuss establishment of a working group on gender issues and development of a longer term plan for gender-related issues in electoral processes. Following discussions over several months, the IHEC officially instituted an internal Gender Working Group in the last week of June 2012. The Gender Working Group aims to consider how to better incorporate gender issues into electoral processes, and will take the lead in planning and implementing a gender work plan within the IHEC. A workshop is planned for the IHEC Gender Working Group in early July, to provide an introduction on gender principles and discuss the Group's work plan.

Output 1.3: IHEC has enhanced electoral management policies and processes

Support under this output focused on enhancing knowledge of electoral processes and broaden awareness of the

different options for electoral policies and their technical implementation. In this, support was continued in the areas of security management, electoral procedures and the voter registry.

A second Security Risk Management workshop was carried out on May 6–10 in Erbil for an additional 31 IHEC security staff from the Kurdistan Regional Election Office (KREO) and Governorate Election Offices (GEOs) who were unable to attend the first workshop in January. The training aimed to develop the ability to conduct a security needs assessment of their respective area of responsibility. The course was designed to enable participants to identify, analyse, mitigate and manage security risks and to prepare and facilitate the implementation of security plans for electoral events. The training was implemented by UNOPS and delivered by Drum Cussac, a UK-based company providing risk management services worldwide. Drum Cussac trainers positively evaluated both the participants' initiative as well as their understanding of the subject matter, and recommended that IHEC Security Managers attend a similar training to ensure substance continuity.

A second training session on electoral procedures for IHEC Public Outreach Department staff took place in Baghdad on 22-26 April, implemented by UNDP and the IHEC. The internal training was delivered by four IHEC trainers and aimed to increase the understanding of Public Outreach staff on electoral procedures and thereby enhance their own campaign materials. The UNDP Electoral Programme Advisor and UNAMI Training Advisor supported the development and delivery of this IHEC-led training. The activity represented an additional session of a previously delivered training, and requests had been received from other sections in the IHEC for similar trainings.

Following approval by the IHEC of the concept for a field survey to assess the accuracy of the voter registry and identify areas for improvement, a more detailed plan was developed and discussed with the IHEC in May by UNDP, the UNAMI Database/IT Advisor and a representative of the UN Information and Analysis Unit (IAU), who is providing technical support to the process. A draft survey questionnaire was developed and is being refined in consultation with the IHEC. Discussions are underway regarding the scheduling of the field survey, and it is hoped the activity will commence in the third quarter of 2012.

Output 2.1: IHEC has enhanced internal capacity building and professional development strategy

Electoral programme staff continued to provide guidance to the IHEC Capacity Building Department on development and implementation of internal IHEC projects and activities. This includes improving coordination on implementation of activities and developing appropriate activity tracking mechanisms. All guidance to the IHEC Capacity Building Department is undertaken jointly by UNDP, UNOPS and UNAMI.

Two UNDP monitoring and evaluation experts visited Baghdad and held a series of meetings with IHEC officials, including middle and senior managers and all available staff of the Capacity Building Department on 16-19 April. The purpose of the meetings was to assess monitoring and evaluation measures in place in the IHEC and discuss ways of improving these processes through utilization of different tools. A number of areas were noted in which targeted inputs may improve monitoring and evaluation processes. Discussions with the IHEC will continue in the third quarter to agree on an appropriate monitoring and evaluation methodology.

At the request of the IHEC, UNDP sourced sixteen (16) online reference books for use by the IHEC Capacity Building Department. The books were mainly in the areas of capacity development, capacity assessment and monitoring and evaluation.

Output 2.2: IHEC staff have improved technical skills to fulfil their functions effectively

The national database consultant provided on-job mentoring to IHEC staff in developing software for the registration of security forces in the Kurdistan Region, and the development of in-house applications. An additional national database administrator was recruited for a three-month period, starting in June 2012. The two consultants supported the IHEC in developing a back-up strategy for the Voter Registration Database and coached IHEC database staff on how to implement it, and provided technical guidance in the administration, management and security access of voter registry databases.

Additionally, throughout the quarter, preparations for forthcoming elections has provided an opportunity for IHEC database developers to put into practice what they have learned from the series of trainings on software development organized under this programme between March 2011 and January 2012. IHEC database developers have been able for the first time to take the lead in developing software for the voter registration update period. This will also enable proper assessment of skills levels after the training and identification of any further training requirements.

Output 3: IHEC has improved technological capacities to support electoral processes in a sustainable manner

The UNOPS national ICT consultant has continued to provide on-going, day-to-day guidance to IHEC staff in the National Office in Baghdad on improving the ICT infrastructure. The consultant has provided on the job training and mentoring to IHEC staff on CISCO switches configuration, troubleshooting the network and identifying priorities for redesign and configuration of communications equipment. He has assisted the IHEC in reactivating the ICT infrastructure of the Data Entry Centre for the current data entry staff recruitment process.

Progress was made in recruitment of an international ICT Advisor to oversee the continued implementation of this output, assess the IHEC's ICT requirements and support the development of an overall ICT strategy for the IHEC. The advisor is anticipated to be deployed in August 2012.

Main implementation constraints & challenges

A current challenge is the selection of the new IHEC Board of Commissioners, which was due in late April 2012 at the end of the five-year term of the current Board of Commissioners. In October 2011, a 21-member parliamentary committee representing all political blocs was established to undertake the selection process, according to Law 11/2007 on the IHEC. The selection process, managed by the committee, has since been on-going. In April, the tenure of the current Board of Commissioners was extended by three months to end July 2012 due to unforeseen delays in the selection process, mainly resulting from debate on the composition and representation of the new commission. This at present places constraints on institutional development support, particularly on management issues, given forthcoming changes to the IHEC Board of Commissioners and potential implications this may have for other areas of IHEC management and staffing. Additionally, there is a reluctance to move forward on key policy areas until the new Board is in place. UNAMI, UNDP and UNOPS continue to emphasise the importance of retention of existing staff and existing capacity, and the crucial need to ensure that the selection process is conducted in a professional and transparent manner for IHEC to be a credible and legitimate institution to organize future electoral exercises. In the meantime, activities targeting IHEC management and policy issues are reduced until the selection process is completed and IHEC management positions are confirmed.