

# **EVALUATION REPORT:**

## **C1-07 PROGRAMME FOR THE PROTECTION OF IRAQI CULTURAL HERITAGE**

**Submitted to UNESCO Iraq Office**

**by**

**Social Impact**

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Social Impact, Inc

Enhancing Development Effectiveness



United Nations  
Educational, Scientific and  
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## TABLE OF CONTENTS

ACRONYMS.....	1
EXECUTIVE SUMMARY .....	3
OVERVIEW .....	5
I.    EVALUATION METHODOLOGY .....	5
II.   BACKGROUND ON UIO OPERATIONS .....	7
A.   Context and Related Challenges .....	7
B.   Selection, Approval and Funding .....	8
C.   Monitoring.....	9
PROJECT EVALUATION.....	11
I.    PROJECT OVERVIEW .....	11
A.   Background .....	11
B.   Timeline .....	12
II.   PROJECT DESIGN AND IMPLEMENTATION.....	13
A.   Project Design .....	13
B.   Implementation .....	14
III.  DESCRIPTION AND ANALYSIS OF PROJECT OUTPUTS .....	16
A.   Equipment, Supplies and Commodities .....	16
B.   Materials.....	17
C.   Training/Learning Events.....	18
IV.   BEYOND OUTPUTS .....	22
A.   Institutional Strengthening.....	22
B.   Sustainability .....	24
V.    COST EFFECTIVENESS.....	25
VI.   LESSONS LEARNED .....	28
VII.  RECOMMENDATIONS.....	28
A.   Participant Recommendations .....	28
B.   SI Recommendations.....	29
APPENDICES.....	30
APPENDIX A: ADDITIONAL TABLES .....	31
APPENDIX B: DETAILED EVALUATION METHODOLOGY.....	37
APPENDIX C: DATA COLLECTION TOOLS.....	48
APPENDIX D: TEAM BIOGRAPHIES.....	64
APPENDIX E: TERMS OF REFERENCE.....	66

## ACRONYMS

ABEGS	Arab Bureau for Gulf States
ACSAD	Arab Center for Studies on Arid Zones and Dry Lands
CI	Communication and Information Sector of UNESCO
CLC	Community Learning Center
DG	Director General
DoC	Directorate of Curriculum
DoE	Directorate of Education
DoP	Directorate of Planning
DoPE	Directorate of Physical Education
DoPST	Directorate of Pre-Service Training
DoV	Directorate of Vocational Education
DSA	Daily Subsistence Allowance
EC	European Commission
EMIS	Education Management Information System
EOP	End of Project
ET	Evaluation Team
ETIC	Euphrates Tigris Initiative for Cooperation
FG	Focus Group
GCC	Gulf Cooperation Council
HQ	Headquarters
ICC	Information and Communication Center
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property
ICI	International Compact with Iraq
ICOM	International Council of Museums
ICOMOS	International Council on Monuments and Sites
ICT	Information and Communication Technology
IHP	International Hydrological Program
INTERPOL	International Criminal Police Organization
IOS	Internal Oversight Service (of UNESCO's HQ)
IRFFI	International Reconstruction Fund Facility for Iraq
ISRB	Iraqi Strategic Review Board
IT	Information Technology
ITF	Iraq Trust Fund (of UNDG)
IUCN	International Union for Conservation of Nature
IWRM	Integrated Water Resources Management
JICA	Japan International Cooperation Agency
KRG	Kurdistan Regional Government
LLD	Literacy and Life Skills Development Project
LOP	Life of Project(s)
M&E	Monitoring and Evaluation
MoA	Ministry of Agriculture (of Iraq)
MoC	Ministry of Culture (of Iraq)

MoE	Ministry of Education (of Iraq)
MoENV	Ministry of Environment (of Iraq)
MoFA	Ministry of Foreign Affairs (of Iraq)
MoMPW	Ministry of Municipalities and Public Works (of Iraq)
MoPDC	Ministry of Planning and Development Cooperation (of Iraq)
MoST	Ministry of Science and Technology (of Iraq)
MoT	Ministry of Transport (of Iraq)
MoWR	Ministry of Water Resources (of Iraq)
N/A	Not Applicable (data not requested)
n.d.	No data—either data was requested, but not received or no such data was found
NDS	National Development Strategy
NFE	Non Formal Education
NLRC	National Literacy Resource Center
PCCP	Potential Conflict to Cooperation Potential
RFP	Request for Proposals
SBAH	State Board of Antiquities and Heritage
SC	Natural Sciences Sector of UNESCO
SI	Social Impact
SIWI	Swedish International Water Institute
SOC	Stars Orbit Consultants
SOW	Scope of Work (for SI Evaluation Team)
SRSG	Special Representative of the Secretary General
SSE	Strengthening Secondary Education Project
TLC	Teacher Learning Center
TVET	Technical and Vocational Education and Training Project
UIO	UNESCO Iraq Office
UNAMI	United Nations Assistance Mission for Iraq
UNDG	United Nations Development Group
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNESCO-IHE	UNESCO Institute for Water Education
UNESCWA	United Nations Economic and Social Commission for Western Asia
UNICEF	United Nations Children’s Fund
US	United States
USACE	United States Army Corps of Engineers
WERSC	Water and Environment Research and Study Center (of Jordan University)
WMF	World Monument Fund
WWC	World Water Council

## **C1-07 PROGRAMME FOR THE PROTECTION OF IRAQI CULTURAL HERITAGE**

### **EXECUTIVE SUMMARY**

Social Impact (SI)<sup>1</sup> was selected after a competitive bidding process by the UNESCO Iraq Office (UIO) to evaluate the administration and implementation of eight projects through examination of their efficiency, effectiveness, relevance, impact and sustainability. The eight projects evaluated were implemented by the UIO between July 2004 and September 2007 with funding of approximately US\$26 million provided by various donors through the United Nations Development Group (UNDG) Iraq Trust Fund (ITF). UIO also requested that SI provide lessons learned and remedial measures useful to future projects (the Overall Report has been published separately and is available upon request from UNESCO Iraq).<sup>2</sup> The following report details the specific results of the evaluation of **C1-07 Programme for the Protection of the Iraqi Cultural Heritage**, which was based on the compelling need to restore and maintain Iraq's cultural property and historic buildings.

The Cultural Heritage Project was approved in August of 2004. This project was to be implemented in three stages. Phase I, described herein, was given a total budget of US\$2,091,711 funded by Japan through the UNDG ITF. After a couple of extensions, the Project closed two years later than planned—in December 2006.

Phase I of the Project emphasized rehabilitation and capital goods, but included some capacity building. However, after donors indicated that in Phase II, they would be interested in only funding capacity building and training, smaller initial training activities (i.e. “Expert for Legislation” and “Child Museum”) were moved to the next phase to ensure that the rehabilitations would be completed. The Project had three main components:

- Component 1: Strengthening the Overall Cultural Heritage Management. The main activity was to provide site protection for Iraqi cultural property. To this end 45 specialized cars equipped with radios and satellite communication equipment were purchased and sent to regions with targeted archeological sites. During the transit from Baghdad eight of the vehicles were hijacked by bandits on the road. Although there were delays in delivering the vehicles to their planned destinations, caused by the vehicles not being properly registered and the security situation, they were eventually delivered.
- Component 2: Strengthening the Surveillance of Archaeological Sites and Historic Buildings. The WMF and the Getty Foundation assessed conditions at archeological sites and developed the relevant databases for the sites. Subsequently, WMF organized GIS training.

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<sup>1</sup> Appendix D provides a description of Social Impact as well as biographies of the key team members.

<sup>2</sup> See Appendix E for the Terms of Reference.

- Component 3: Rehabilitation of Museums and Cultural Institutions, Libraries and Archives – Improving the Conditions of Intangible Heritage. Some of the most dramatic achievements were accomplished under this component. In spite of delays caused by fighting, four major cultural institutions were subject to refurbishment:
  - Repairs to the **Child Museum** and the **National Library** were both completed in June 2006. Additionally, equipment such as computers, furniture, and telephones enabled the National Library staff to return to work. Unfortunately, the opening of the Child Museum has been delayed due to continuing violence in the area.
  - The **Melodic Studies Institute**, important for the safeguarding of oral traditions, was rehabilitated in July 2005. This institute will also fill its role of preserving traditional oriental instruments for Maqam and other music.



*Rehabilitation of the Melodic Institute of Baghdad / ©UNESCO*

- A fourth building, the **Regional Center for Conservation**, is a complex of nine units that eventually aims to be restored to full capacity. Following the 2003 conflict thieves destroyed the records and took everything that was possible to carry away including fixtures, paneling, and tiles. The architectural and structural designs for the complete rehabilitation were completed as planned for Phase I and submitted to the MoC in December 2005.

In terms of capacity building, there were three main training events that trained a total of 45 people: 1) a workshop on GIS; 2) a course called Rapid Assessment of Iraqi Sites, plus GIS databasing thereof; and 3) a workshop on ID Object Standards.

Two large handbooks (*Running a Museum: A Practical Handbook* and the accompanying *Trainer's Manual*) and two smaller handbooks (*Security at Museums* and *Care and Handling of Manuscript*) were also produced manuals in English and Arabic during the life of the Project.

## **OVERVIEW**

### **I. EVALUATION METHODOLOGY**

The overall objective of this evaluation exercise was to address the following basic issues:

- (i) To what degree have the program objectives been attained over time?
- (ii) Is the program cost-effective?
- (iii) What impact has the project had upon the target clientele?
- (iv) Is the amount of benefits being delivered the right amount?
- (v) What are the factors that may affect the long-term sustainability of the program?
- (vi) What decision (changes) should be taken on similar follow-up programs?

To do so, the core Evaluation Team (ET) composed of a Team Leader (TL) and an Education Evaluator (EE) utilized diverse methods taking into account the five principles that UIO lists as essential to the success of its work: efficiency, effectiveness, relevance, impact, and sustainability. The ET also took into account the security situation and the remote nature of management, implementation, and evaluation of projects inside Iraq from UIO's base in Amman, Jordan. SI designed its methods to overcome these limitations, based on SI's past experience.

These methods included:

1. Desk Study. The ET reviewed all available project reports and summaries provided to them by UIO at the onset, as well as those requested later as the evaluation progressed.<sup>3</sup> They also mined a vast corpus of UNESCO's Internal Oversight Service (IOS), International Reconstruction Fund Facility for Iraq (IRFFI), ITF, UIO, and United Nations Assistance Mission for Iraq (UNAMI) documents and websites. All told, probably some 200 such items were examined.
2. Direct Examination of Relevant UIO Management Tools and Published Project Outputs. The ET spent nine work days in Amman, Jordan. There they sat with relevant management and administrative staff so as personally to examine in-house systems such as UIO's procurement database and the individual projects' tracking systems. SI's Education Evaluator also visually scrutinized the primary and secondary school textbooks funded and delivered by the UIO, as well as the lab manuals.
3. Compilation and Analysis of In-house Data. In Amman, the ET designed tools, such as success and learning stories, training tables and project collaboration diagrams, for project teams to use to compile extant, or gather new, qualitative data for the evaluation. The resulting information provided by the UIO for each of these was used to varying degrees in this evaluation, based on its relevance and uniqueness.
4. Collection and Analysis of New, Primary Data. The ET had face-to-face interviews with project staff and key informant groups while in Amman. (See Appendix A) The ET designed questionnaires for trainees and their managers, a focus group guide for trainees, and site spot-checks to verify the existence of equipment and its current state. (See Appendix C for all data collection tools) Stars Orbit Consultants (SOC), a local firm with

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<sup>3</sup> These included Project Documents, Six-month Progress Reports, Completion Reports, Requests for Budget Extensions, Budgets, Training Plans, Action Plans and other related documents.

on-the-ground data gatherers, implemented these tools in seven of Iraq’s 18 governorates: Baghdad, Dyala, Erbil, Kirkuk, Missan, Muthana and Najaf. <sup>4</sup> (See Table 1)<sup>5</sup> These governorates were chosen because they cover all of the Iraq’s three regions, contain the largest pools of beneficiaries, and reflect the cultural and geographic diversity of the country.

**Table 1: Regions and Governorates of Project Beneficiaries**

CENTER	NORTH	SOUTH
Anbar	Dohuk	Basra
Babylon	<i>Erbil</i>	<i>Missan</i>
<i>Baghdad</i>	<i>Kirkuk</i>	<i>Muthana</i>
<i>Dyala</i>	Ninewa	<i>Najaf</i>
Kerbala	Sulaymaniyah	Thi-Qir
Qadassiya		
SalahDin		
Wassit		

Source: Information and classification of Governorates based on “*Distribution of Direct Beneficiaries per Governorate*” supplied to SI by UNESCO

**Figure 1: Map of Iraq**



<sup>4</sup> The SI Evaluation Team contracted SOC as they were not able to travel to Iraq for security reasons.

<sup>5</sup> There are multiple spellings of Iraqi’s governorates. We will use these spellings throughout this document.



Lastly, there are a few limitations that should be noted.<sup>6</sup> First, given the limited amount of available data and more importantly, the short time that has elapsed since the projects were completed, this evaluation was not able to assess impacts. Secondly, in terms of equipment and supplies, the project documents provided to the ET only contained specifics in terms of planned and not actual costs and amounts. For this reason, no assessment regarding the two, including identifying gaps, is given. Third, the ET also did not receive any detailed documentation of specific procurement contracts issued. For this reason, very little is discussed in terms of procurement. Lastly, while this evaluation was supposed to be a relatively short exercise, it ended up taking much longer than expected: the organization of data collection in the field was very complicated to coordinate and complete; there were delays in providing the ET with key information and data; and in some cases no information was provided.<sup>7</sup> Part of this was clearly a result of the Iraq situation: UIO has a very demanding schedule and the local firm had difficulty contacting and bringing together participants due to the country's security situation.

## **II. BACKGROUND ON UIO OPERATIONS**

### **A. Context and Related Challenges**

The design, implementation and life of this Project took place during a volatile and violent time in Iraq's history. In March 2003 the US-led campaign to topple Saddam Hussein began, sparking intense fighting. (See Appendix A for a detailed timeline of the key events that took place in the five years following the start of the US campaign) The following months and years were filled with bombings and attacks, creating a constantly changing security environment and one that posed challenges for implementing projects.

After the devastating bombing of the UN Mission in Baghdad in August of 2003 that killed and wounded many, the management of UNESCO's Iraq operations was relocated to Amman, Jordan. Subsequently, the UIO was formally established in Amman in February 2004 where it continues there to this day. Security risks also put an end to international staff travel or missions to Iraq for a considerable period. In fact, there has been no UNESCO permanent international presence in Iraq to date, the first mission since 2003 did not take place until September 2007 and such missions did not become a regular occurrence for UNESCO staff until 2008. For those national staff and UNESCO Monitors on the ground, movement was also severely restricted.

In addition, this period was marked by multiple changes in Iraqi line ministers and subsequently UNESCO's Ministry counterparts causing delays in implementation and a lack of responsiveness.

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<sup>6</sup> These limitations pertain to the overall evaluation, i.e. to all eight projects.

<sup>7</sup> For instance, UNESCO Monitors were to conduct surveys in Erbil but this data was never provided to the Evaluation Team.

As a result of all of these challenges, it became difficult to obtain updated, real-time information on how the Project's implementation was progressing. While the UNESCO Monitors were able to circumvent this to some degree, as discussed later, this still was an ongoing issue.

The security situation also had other implications. It made it difficult to identify contractors or consultants who were willing to travel to and work in Iraq. It also meant that costs were significantly higher. Lastly, it made it difficult to comply with the UNESCO's administrative and procurement procedures, which were not designed for operations in such an insecure and constantly- changing environment.

## **B. Selection, Approval and Funding**

The formulation and selection of this Project, as well as all others in the UIO portfolio, is guided by the UN Strategic Plan, project submissions the Iraq National Development Strategy, and the input of Iraqi line ministries, Iraqi government entities and non-governmental organizations. They also have to meet certain established criteria:

- They must align with Iraqi priorities (the National Development Strategy);
- They should, to the extent possible, take into account four-cross cutting themes: employment generation, gender, human rights and security; and
- They should demonstrate inter-agency cooperation in planning and implementation.

The first step in the project approval process established by the UNDG ITF is for the appropriate UN organization to draft a detailed project document, which includes the project's purpose, logical framework, justification, management arrangements, risks, assumptions and the budget. This proposal then needs to receive the official endorsement of the Iraqi Line Ministry responsible for the project (official counterpart) before it is submitted to the concerned sector (previously referred as cluster). It is then reviewed by the Peer Review Committee, the intersectoral mechanism, followed by the Iraq Strategic Review Board. Final approval is given by the UNDG Trust Fund Steering Committee, which is composed of the heads of agencies (UN Country Team). This entire process presently takes approximately between nine and 12 months.

Once approved, funds are disbursed by the UNDG ITF, a mechanism established specifically for the administration of the joint UN efforts toward the reconstruction of Iraq after the 2003 conflict. The Trust Fund allows contributions from the donor nations that support Iraq's reconstruction to be funneled through a single channel thus providing efficiencies of management and oversight as well as minimizing duplication.

The UIO management structure includes a Director, supported by several senior staff. Individual project managers handle project activities, while administration covers the functions of Finance, Information and Telecommunication, Procurement, Travel, HR and Logistics.

UIO project teams and their Ministry counterparts are responsible for the management of the specific projects. UIO project teams are headed by senior level project managers who have the primary responsibility for the project's successful implementation. The managers are fully supported by professional level assistants, who draft reports, among other tasks, and a few

general support staff. In all cases observed by the Evaluation Team, the team shared management responsibilities and a strong commitment to the success of the Project.

Thus while the project manager may have the primary obligation to devise systems, set priorities, and communicate policies and approaches with Ministry counterparts, project assistants also maintain regular communication with counterparts and UNESCO Monitors especially regarding daily activities and deadlines. Communication among staff is open and fluid – a progressive management style that seems to work effectively.

The responsibilities of the Ministry counterpart/focal point in Iraq depend on and are defined within each project. They generally include such tasks as liaison with the Directors General or school principals in the Governorates, interacting with the customs service as goods are delivered, coordinating delivery at MoE warehouses and vetting of various locales for the installation of equipment. Additionally, the focal point maintains communications with UIO and requests project modifications or follow-on projects. An oft-reported difficulty with this arrangement is the frequent changes in the UIO counterpart; the counterpart is often replaced when there is a change in the political environment, i.e. a change in Ministers. In addition, the Evaluation Team learned of examples in which functionaries refused to recognize the legitimacy of their superior's instructions because he was from a different political party. The highly politicized nature of the counterpart organization will continue to present operational difficulties for UIO staff. That being said, the UIO staff has been flexible in the face of difficulties associated with breaks in communications or replacement of the focal point.

### **C. Monitoring**

Tracking the progress of project activities is part of the standard operations of the UIO project management teams. Each project develops a list of activities, deadlines and responsibilities as they work toward project goals. Projects also benefit from the oversight of the Administrative Officer and the Headquarters' Internal Oversight Service (IOS), which conducts internal audits every two years.<sup>8</sup>

However, as none of these people are located in Iraq, the projects counted on four field agents tasked with checking on the timeliness and quality of project activities and alerting UIO staff to problems or delays that would interfere with accomplishing the desired outcomes: ministry focal points, UNESCO Monitors located in Baghdad and Erbil, cooperating agencies and contractors. Having four different sources of information allowed UNESCO to cross-check the information provided and freed them from relying on solely one source.

As discussed above, one of the main responsibilities of the Ministry focal points was to maintain communication with the UIO project team in order to report problems and progress. As this system proved unreliable due to the frequent replacement of the focal point or simply lack of ability, the UIO used subcontracted UNESCO Monitors as one way to overcome this problem. These Monitors checked on delivery of equipment and the operations of warehouses, among other activities. In addition, when the project teams were not able to get a response or requested information from the Ministry focal points, the UNESCO Monitors were contacted and often able to obtain the needed information. They “know their way around” the Ministry and have

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<sup>8</sup> There have been two internal audits of the Iraq Office thus far.

good free access to the people there. Though not foolproof—the Monitors frequently must remain at home due to security threats—this arrangement has produced two major successes:

1) no Monitor has thus far been injured; and 2) the UIO management team has reliable though sometimes incomplete information on project progress.

Given the limited mobility of the UNESCO Monitors, monitors of cooperating agencies, such as UNOPS and UNICEF, were also used to check on the project's process and delivery of equipment. In addition, independent contractors, such as Stars Orbit, were at times engaged to monitor a specific interventional or geographical area.

This field system was also backed up by two different information systems. The first is a system-wide procurement database that tracks equipment by project number and description. This user-friendly database, managed by the procurement officer, provides access to details, such as the contract value, country of supplier, estimated delivery date, through different links. It also allows for some control over the quality of goods: since the procurement office has control of the contracts, it can withhold payment until equipment of the correct quality and in the proper condition is received.

The second are information systems that track individual project operations, such as the delivery of equipment to warehouses or schools, which are unique to each project, and are controlled and updated by the UIO project team. The Evaluation Team reviewed project data systems and found them to be detailed useful management tools that permitted the project teams to track the volumes of material supplied. These systems also effectively tracked management tasks and deadlines.

A cautionary note is needed regarding the individualized nature of project systems. In addition to tracking operational details separately, reports and other relevant project specific documents were also maintained and filed individually. Having these different ad hoc systems of electronic filing is problematic for two main reasons: 1) there is no centralized system systematization so that different managers retain information in greater or less detail than others; and 2) persons outside the project with legitimate need for information may not be able to find important material in the configuration needed or at all. A centralized database system would improve and make this situation more efficient, as long as it included both a method of cataloguing project documents and information and a verification system that would indicate whether the materials were completed and actually in their proper location.

## **PROJECT EVALUATION**

### **I. PROJECT OVERVIEW**

#### **A. Background**

Based on the compelling need to restore and maintain Iraq's cultural property and historic buildings, the UNDG Iraq Trust Fund (ITF) approved the Cultural Heritage Project in August of 2004. This project was to be implemented in three stages (Phase I- 2004, Phase II- 2005 and Phase III- 2006) with a total budget of US\$5,554,985. Of this amount, Phase I, described herein, was given a total budget of US\$2,091,711 that was funded by Japan through the Iraq Trust Fund. After a couple of extensions, it closed two years later than planned—in December 2006.

Phase I of the Project included capacity building but emphasized rehabilitation and capital goods. Though the ever-changing and difficult security situation caused the ITF to shift priorities to capacity building, the Project was implemented as designed due to a major funding contribution by the Japanese government. Phases II and III, as yet unfunded, will concentrate predominantly on capacity building activities.

The overarching goal that governs activities of the comprehensive three-phase project is to rebuild the national identity of the Iraqi people through the protection of Iraqi cultural heritage.

The objectives of Phase I aimed at progressing toward that overall goal are expressed as follows:

- Fight against illicit trafficking of cultural property and stop looting and plundering at archaeological sites and historic buildings;
- Empower the Iraqi national system through training and capacity building;
- Assist the Ministry of Culture (MoC) and the State Board of Antiquities and Heritage (SBAH) to devise and formulate a long-term project to protect, promote and enhance Iraqi cultural heritage;
- Rehabilitate cultural premises in order to allow Iraqi staff to resume their work and start training programs; and
- Facilitate the creation of job opportunities in Iraq.

The Project also articulated a set of major activities to achieve those goals:<sup>9</sup>

1. Provide the personnel of the State Board of Antiquities and Heritage (SBAH) with basic means to carry out regular patrolling and inspections at sites and historic buildings;
2. Re-establish an efficient guard system to watch over sites, facilitating the process of identification of critical and potential sites at risk, to be manned 24 hours a day;
3. Document cultural heritage with regard to those at risk;
4. Rehabilitate cultural premises (e.g., museums, libraries, archives) in order to allow Iraqi staff to resume their work and start training as soon as possible; and
5. Update professional skills in several fields of cultural heritage.

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<sup>9</sup> Some project documents refer to these activities as objectives. For clarity, the Evaluation Team refers to the methods of reaching objectives as activities.

To accomplish the project objectives, UNESCO received major funding from the Japanese government and coordinated activities with numerous partners including the Ministry of Culture (MoC), the State Board of Antiquities and Culture (SBAH), the World Monuments Fund (WMF), Getty Foundation (GFI), International Council of Museums (ICOM), World Heritage Centre (WHC) and others.

## B. Timeline

Table 2 below highlights management actions and external events that affected the progress of the Project. It does not include trainings or workshops. Smaller events are also not included for the sake of clarity.

**Table 2: Operational Chronology of the Project**

<b>Date</b>	<b>Operational Events</b>
Aug 2004	Project document is signed
Sep 2004- Jan 2005	Project implementation ongoing
Feb 2005	Equipment deliveries to National Library begin
Mar 2005	Security manual for museums is finalized in English
Apr 2005	1 <sup>st</sup> request for budget revision approved to reallocate funds between budget line items.
May 2005	With the advent of the first democratically elected Iraqi government in 50 years, a new Minister of Culture is appointed (Mr. Nuri Farhan al-Rawi)
Jun 2005	<ul style="list-style-type: none"> <li>• Rehabilitation of the Melodic Institute is completed</li> <li>• International Coordination Committee for the Safeguarding of the Cultural Heritage of Iraq (ICC) conducts its 2nd plenary session in Paris, France (22-23)</li> </ul>
Jul 2005	Project implementation ongoing
Aug 2005	Security manual for museums is translated into Arabic
Oct 2005	Project implementation ongoing
Nov 2005	2 <sup>nd</sup> request for budget revision approved to reallocate funds between budget line items.
Dec 2005	<ul style="list-style-type: none"> <li>• Equipment for site protection is delivered to MoC in Baghdad</li> <li>• Architectural drawings from the Regional Center for Conservation are completed and arrive at UNESCO office</li> <li>• Museum management manual is produced by ICOM in English, and Arabic version is completed</li> </ul>
Jan- Feb 2006	Project implementation ongoing
Mar 2006	<ul style="list-style-type: none"> <li>• Rehabilitation of the Child Museum begins</li> <li>• Rehabilitation of National Library begins</li> </ul>
Apr 2006	<ul style="list-style-type: none"> <li>• Iraq Museum in Baghdad closes due to deteriorating security situation</li> <li>• Newly re-elected President Talabani asks Shia compromise candidate Nouri Jawad al-Maliki to form a new government</li> <li>• New MoC: Asaad Kamal Hashemi</li> </ul>
May 2006	Equipment deliveries to National Library are completed
Jun 2006	<ul style="list-style-type: none"> <li>• Rehabilitation of Child Museum is completed</li> <li>• Rehabilitation of National Library is completed</li> </ul>
Jul –Nov 2006	Project implementation ongoing
Dec 2006	Project closes

## II. PROJECT DESIGN and IMPLEMENTATION

### A. Project Design

The design of the Cultural Heritage Project rests on evidence provided by two damage assessment missions to Iraq in May and June of 2003. These followed a UNESCO campaign to raise international awareness of the risk to heritage sites from damage and looting.<sup>10</sup> The first mission visited sites in Baghdad including museums, mosques, universities and institutes. The second mission was divided into two groups: one visiting museums, archives and libraries; and the other visiting archeological sites throughout the country. Their reports provided information on stolen or destroyed collections, artifacts, art work and damage to facilities varying from weapons fire to burned-out rooms or buildings.

Momentum from the dissemination of details regarding the damage to cultural sites resulted in a UN Security Council resolution calling for support of Iraqi cultural property, the return of stolen property and other specifics. Additionally, the International Coordination Committee for Safeguarding the Cultural Heritage of Iraq (ICC) formed and finalized the results of the assessments by identifying priority areas of intervention. These included archaeological sites, museums, libraries and archives, cultural institutions and historic buildings. Based on this foundation of solid information and international support the Protection of Iraqi Cultural Heritage Project was designed and a project design document presented to the ITF for approval.

Phase I of Cultural Heritage was comprised of three components that follow the priorities identified by the ICC. Though more than one component addressed the same objectives, each focused on the direct objectives in different ways. Moreover, each component provided equipment and material as well as capacity building.

#### Component 1: Strengthening the Overall Cultural Heritage Management.

- Fighting against illicit traffic in cultural property and to stop the looting of archaeological sites and historic buildings;
- Empowering Iraqi civilians and cultural institutes through training and capacity building; and
- Facilitating the creation of job opportunities in Iraq.

#### Component 2: Strengthening the Surveillance of Archaeological Sites and Historic Buildings.

- Empowering Iraqi civilians and cultural institutes through training and capacity building; and
- Facilitating the creation of job opportunities in Iraq.

#### Component 3: Rehabilitation of Museums and Cultural Institutions, Libraries and Archives – Improving the Conditions of Intangible Heritage.

- Empowering Iraqi civilians and cultural institutes through training and capacity building;

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<sup>10</sup> International meetings were carried out to devise measures to protect Iraqi cultural heritage: a) Paris, 17 April 2003, b) London, 29 April 2003, c) Tokyo, 1 August 2003.

- Rehabilitating cultural premises in order to allow Iraqi staff to resume their work and start training programs; and
- Facilitating the creation of job opportunities in Iraq.

A fourth component, Assistance to the Iraqi Legislation and Cultural Foundation, though part of the initial project design, was dropped at the request of the Government of Iraq.

The Project as designed and implemented created several tiers of beneficiaries as described in Table 3.

**Table 3: Project Beneficiaries**

<p><b>I. Primary Beneficiaries</b> (during LOP)</p> <p><u>Direct Beneficiaries:</u></p> <ul style="list-style-type: none"> <li>• 45 MoC personnel who attended capacity building activities;</li> <li>• Personnel of museums, libraries and cultural institutions who were able to resume work; and</li> <li>• Guards on duty at archeological sites and elsewhere.</li> </ul> <p><u>Indirect Beneficiaries:</u> Staff of museums, cultural centers, and libraries and personnel from ministries or sites that received equipment.</p>
<p><b>II. Secondary Indirect Beneficiaries</b> (EOP to 1.5 years after): Members of the scientific and educational communities and research institutes who utilize the library resources, archives and museum artifacts and documents; school children who benefit from museum programs; and international partners who struggle against illicit trafficking in artifacts such as INTERPOL, Carabinieri, etc.</p>
<p><b>III. Tertiary Indirect Beneficiaries</b> (over 1.5 years after EOP): Inhabitants of Iraq especially those in Baghdad or in proximity to other sites who will utilize the refurbished institutions as well as the general public as it gains knowledge and pride in their unique cultural heritage.</p>

Sources: Cultural Heritage Project Paper and Cultural Heritage Completion Report

## B. Implementation

Implementation of project activities was coordinated with the Ministry of Culture (MoC), the National Museum, the World Heritage Center and the World Monument Fund (WMF), although UNESCO was the central implementing agency. The Cultural Heritage project management team located at the UNESCO Iraq Office (UIO) in Amman took responsibility for all aspects of the procurement and delivery of equipment amounting to more than \$1.3 million. The MoC working with both national and Governorate institutes prepared the equipment needs assessment. Project design followed the priorities established by the international experts, including recommendations of the ICC.<sup>11</sup>

Procurement followed UNESCO guidelines requiring that a wide geographic range of qualified bidders be identified; the inclusion of local contractors and suppliers provides business opportunities for Iraqis which in turn increases local expertise.

<sup>11</sup> International Coordination Committee for the Safeguarding of the Cultural Heritage of Iraq elaborated a set of general recommendations in June 2005 that aligns closely with the project design.



However, the ET cannot verify this happened, as it is not clear from a list of contracts granted for supplies and services reviewed which companies and consultants are regional or local Iraqi companies.

Monitoring and evaluation was an integral part of project implementation. This function in the UNESCO projects with its inherent and documented risks is particularly challenging. The UIO project management needed to monitor the operational activities that showed progress toward goals as well as systems relating to supply and delivery of equipment. The UIO instituted a system of checks at the Ministry warehouses (the usual delivery points) which required the officials receiving materials to sign a Receipt Report. Following the acceptance of the delivery and the signed receipt, an official Acceptance Report is forwarded to UIO confirming that the correct goods were received in good condition. Only then was payment released. Though Ministry officials usually facilitated the customs clearances, Cultural Heritage project documents assign this function to UIO. The business of checking the arrival of goods at Ministry warehouses often fell to the UNESCO Monitors. When it was possible for them to travel safely they would visit warehouses to confirm the arrival of shipments.



*37 cars delivered to provide site protection for Iraqi cultural property / ©UNESCO*

The main activity under Component 1- Strengthening of Cultural Heritage was to assist in providing site protection for Iraqi cultural property. To this end 45 specialized cars equipped with radios and satellite communication equipment were purchased and sent to regions with targeted archeological sites: Babylon, Karbala, Najaf, Qut/Wassit, Missan, Qadassiya, Basra, Muthanna and Thi-Qar. During the transit from Baghdad eight of the vehicles were hijacked by bandits on the road. Although there were delays in delivering the vehicles to their planned destinations, caused by the vehicles not being properly registered and the security situation, they were eventually delivered.

Capacity building activities were also successfully carried out in support of Component 1.

Under Component 2- Strengthening Surveillance, the WMF and the Getty Foundation assessed conditions at archeological sites and developed the relevant databases for the sites. Subsequently, WMF organized GIS training.

Some of the most dramatic achievements were accomplished under Component 3- Rehabilitation of Museums, Cultural Institutions, etc. In spite of delays caused by fighting, four major cultural institutions were subject to refurbishment: the Child Museum, the National Library, Melodic Studies Institute, and the Regional Center for Conservation.

- Repairs to the **Child Museum** and the **National Library** were both completed in June 2006. Additionally, equipment such as computers, furniture, and telephones enabled the National Library staff to return to work. Unfortunately, the opening of the Child Museum has been delayed due to continuing violence in the area. Once it is functioning, programs will be designed to introduce children to their cultural heritage.
- The **Melodic Studies Institute**, important for the safeguarding of oral traditions, was rehabilitated in July 2005. This institute, established first in 1970 as a venue for Maqam singers, will also fill its role of preserving traditional oriental instruments for Maqam and other music.
- A fourth building, the **Regional Center for Conservation**, is a complex of nine units that eventually aims to be restored to full capacity. Following the 2003 conflict thieves destroyed the records and took everything that was possible to carry away including fixtures, paneling, and tiles. The architectural and structural designs for the complete rehabilitation were completed as planned for Phase I and submitted to the MoC in December 2005.

### III. DESCRIPTION and ANALYSIS of PROJECT OUTPUTS

#### A. Equipment, Supplies and Commodities

Phase I of Cultural Heritage devotes more than 62% of the total budget to equipment and supplies. The museums and other buildings needed basic equipment such as furniture, photocopiers and IT equipment in order to function. Table 4 shows the standard budget categories *Equipment* and *Supplies & Commodities* that correspond to these costs.

**Table 4: Planned Equipment, Supplies & Commodities and Their Estimated Costs**

Item Description and/or Function	Planned Types of Items	Total Estimated Cost (US\$)
<i>Equipment for:</i>		
ID object training		18,600
Strengthening sites' security		956,650
Sites' database		100,000
Child Museum		50,000
National Library computer systems		79,890
<b>Sub-total</b>		<b>1,205,140</b>
<i>Supplies &amp; Commodities</i>		0
<b>Total Costs</b>	---	<b>1,205,140</b>

Sources: Cultural Heritage Proposed Budget, Cultural Heritage Completion Report (Jan 2008), and Financial Status Report (31 December 2007)

The actual cost for providing *Equipment* was roughly \$110,000 more, although no explanations for these higher costs were given in the project documents.

Though random spot checks of equipment were planned for most projects, the nature and location of the museum buildings and archeological sites prevented the spot-checkers from visiting. The museum buildings are all clustered in Baghdad in areas that continue to be restricted due to security. The rural and distant location of the archeological sites likewise prevented safe travel.

## **B. Materials**

In addition to equipment, supplies and commodities contracts were let to produce manuals in English and Arabic during the life of the Project. They include two large handbooks: *Running a Museum: A Practical Handbook* and the accompanying *Trainer's Manual*. There are also two smaller handbooks: *Security at Museums* and *Care and Handling of Manuscript*.

These four documents were reviewed by Dr. Elizabeth C. Stone, a specialist in the archaeology of complex societies in the Near East who is also familiar with the Iraq Museum and specifics of Iraqi cultural heritage.<sup>12</sup> Dr. Stone was asked to review the materials for content, style, completeness, quality and appropriateness. Her assessment of each of the manuals is summarized below. It should be noted, however, that neither she nor SI had information regarding the authors' scope of work. That is, what level of detail they were to provide, the tone they were to use and the way they were to convey the information.

### **1. Running a Museum: A Practical Handbook and The Trainer's Manual**

The Iraq Museum is the repository of the artifacts and ethnological materials found in Iraq, one of the countries with the richest cultural heritage in the world. However, it is now in a dire situation. During the period of the economic embargo it lost many of its trained curators and failed to develop the electronic systems which swept the rest of the world's museums. It was also systematically looted in 2003, a process which, in addition to the theft of many objects, resulted in the destruction of both paper and photographic records, as well as physical damage to many of those objects left in the museum. Moreover, many of the seasoned members of the Museum who were still there in 2003 have since been forced to leave Iraq as a result of the security problems have been murdered and others have retired. Under these circumstances, the Iraq Museum staff are in desperate need of practical advice that is tailored to the extraordinary situation that has afflicted one of the world's great museums and to the unique nature of their collections. Unfortunately, the *Practical Handbook* fails, in most cases, to live up to its name and provide such advice.

The *Handbook*, available in French, English and Arabic, appears to be directed at a very general audience, those involved in museums anywhere in the Arab world. It pertains to art museums, natural science museums, children's museums, provincial museums, as well as museums of archaeology like the Iraq Museum. It contains a wealth of information on a range of different topics from collection management to caring for the visitor to marketing. It also provides boxes with summary information, such as typical responsibilities of the curator in relation to exhibition development.

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<sup>12</sup> See Appendix D for her full biography.

And while one can see that attempts have been made to make this information useful, such as providing sample job descriptions and the exercises in the Trainer’s Manual, it fails to provide the concrete practical advice urgently needed by those working at the Iraq Museum. Moreover, the high level and dense presentation of the material also are not appropriate for the current Iraqi situation. These would be better-suited for museums that have ample time and resources for reflection, organization and furnishing and not ones that have been practically destroyed because of on-going violence. Not only are most of the chapters written at a very broad level of generality, but they also assume a level of organization and stability which is simply lacking in Iraq. For example, there is an assumption of good communications with police and fire services and the existence of telephone books, none of which characterize Baghdad, even in the current improved security situation. Only one chapter provides real practical advice, and that is by far the longest chapter in the volume. This chapter on the care and preservation of collections provides an excellent overview of issues. However, for such a chapter to be truly helpful to the curators of the Iraq Museum, it needs to discuss one important omission: ways to handle different types of clay. In the discussion of various materials it includes clay but does not distinguish between baked clay, which is generally quite stable, and unbaked clay. Given the many unbaked clay tablets subjected to uneven temperature and humidity in the Iraq Museum, modern treatments should be discussed.

## **2. Two Handbooks: Security at Museums and The Care and Handling of Manuscripts**

The Handbooks are much more useful, as they are focused on more specific and detailed practical advice. They provide basic step-by-step instructions in both English and Arabic and pictures illustrating them. For example, the Security Handbook says to “Check location and state of fire alarm buttons” and “Put all the museum exits under lock and key.” While some of these may border on being too simplistic, overall they enable the handbook to serve as a check-list of duties for the relevant staff member and a valuable resource. The one concern is the slightly cartoon-like nature of the pictures. This may make them seem juvenile and thus less acceptable to the employees of the Iraq Museum, who tend to have considerable pride. In general, though, the advice contained in the Handbooks could improve the ways in which objects and manuscripts are handled in the Iraq Museum.

## **C. Training/Learning Events**

There were also three main training events that took place during the life of the Project: 1) a workshop on GIS; 2) a course called Rapid Assessment of Iraqi Sites, plus GIS databasing thereof; and 3) a workshop on ID Object Standards. This last workshop relates to a tool for the identification of artifacts or cultural property that records objects with recognizable cultural value. Through the ID the objects can be traced in the case of looting. Table 5 below displays all available data, including dates, location, training provider and information on participants, concerning these events.



*Identification (ID) standards workshop  
©UNESCO*

**Table 5: Iraqi Participants in Training/Learning Events for Cultural Heritage**

Event	Dates	Location	Training Provider(s)	Type(s) of Pax	No. of Pax	No. (%) of Pax by Sex		No. (%) of Pax by Region		
						M	F	Center	North	South
1. Workshop on GIS	18-23 Sep 2004	Amman, Jordan	Infograph (a private company)	IT and data- entry specialists	8	2 (25)	6 (75)	8 (100)	0	0
2. Course on Rapid Assessment of Iraqi Sites, plus GIS databasing thereof	21 Nov-18 Dec 2004	Amman, Jordan	World Monument Fund, and Getty Conservation Institute	Archaeologists and surveyors	17	9 (53)	8 (47)	14 (82)	3 (18)	0
3. Workshop on ID Object Standards	29 Nov-4 Dec 2004	Amman, Jordan	INTERPOL	Archaeologists and conservators	20	3 (15)	17 (85)	20 (100)	0	0
<b>Total</b>					<b>45</b>	<b>14 (31)</b>	<b>31 (69)</b>	<b>42 (93)</b>	<b>3 (7)</b>	<b>0 (0)</b>

Source: Training Tables provided by UNESCO

In order to understand the effectiveness and satisfaction with these events, data gatherers in country (Stars Orbit) conducted questionnaires and focus groups with trainees in Baghdad. Participants are described in Table 6.

**Table 6: Project Beneficiaries Who Participated in the Evaluation**

Participating Beneficiaries	Illustrative Positions of Participating Beneficiaries	Illustrative Training/ Learning Events Known to be Represented	Geographic Coverage Represented			No. of Participating Beneficiaries		
			Center	North	South	M	F	Total
Individual trainees – questionnaires	Aftermath Prospector, engineer, and designer from the Directorate for Culture	Training on GIS system; Training on photography	4	N/A	N/A	1	3	4
Groups of trainees –FGs (N=2 FGs)	Aftermath Prospector, engineer, and designer from the Directorate for Culture	Workshop on GIS; Training in GIS D-basing	14	N/A	N/A	9	5	14
Trainee managers/ supervisors – questionnaires	Aftermath Prospector, engineer, and designer from the Directorate for Culture	Training on GIS system; Training on photography	5	N/A	N/A	3	2	5
<b>Total</b>			<b>23</b>	<b>--</b>	<b>--</b>	<b>13</b>	<b>10</b>	<b>23</b>

## 1. Trainee Questionnaires

All respondents rated the training as ‘highly relevant’ and said that it was ‘about right’ or ‘exactly what they needed’ in terms of the level of knowledge it was geared to. The training materials were rated as ‘good’ rather than ‘excellent’ citing as their major complaint that materials were in English, not Arabic, and thus they had some difficulty reading and comprehending them. The use of visual aids helped to mitigate the short time allotted to the training. The instructors, though, were “highly efficient” and were seen as knowing their subject matter well and answering questions adequately.

All respondents reported that the GPS, GIS and digital cameras provided as part of this Project were most useful in allowing them to do their field work on a scientific basis. The fact that the software was expired negated some of these advantages. In fact, all respondents reported that due to the expired GIS and GPS software they do not use what they learned in trainings in the workplace.

## 2. Trainee Focus Group Responses

The participants in the two focus groups echoed many of the above comments. They too found learning the GIS and GPS technology to be useful and mentioned that learning modern methods in labeling and marking was beneficial. They appreciate being able to find information on the internet about lost or stolen objects and record them. One remark indicated an improved understanding of the field work using the new equipment.

However, they lamented the fact that the software was expired. Lastly, they were dissatisfied by the length of the training (“too short”) and the period of time between their learning the information and being able to actually apply it. In fact six months elapsed between the course and their use of the material in the field. Some felt this caused them to forget information.

## 3. Trainee Managers/Supervisors Questionnaires

All the supervisors viewed the training provided as important to their institutional unit. In particular, they mentioned that using the new GPS equipment to find and mark objects was useful as the old method was tiring and inaccurate. Another useful skill obtained was being able to use the modern technique to identify objects, reducing the loss of objects.



*Geographic Information System workshop / @UNESCO*

Supervisors noted the participants’ motivation to learn the new technology. They also remarked on noticeable improvements in the performance of those trained and their resulting work, “the work at the field differs completely [from] that [of] the past.” More specifically, measurements for the objects are more accurate, maps are better organized and easier to read, and the GIS has allowed them to discover new locations.

Not surprisingly, the respondents mentioned that equipment used in the field—GIS, GPS, and theodolites—along with computers were the most useful.<sup>13</sup> However, problems were reported as well. There was not enough equipment, some of the equipment did not have the proper software, and the software did not have licenses (“free trial” version), was expired or was not updated. This caused the computers to freeze, possibly causing damage to the equipment. The GPS equipment also required maintenance but the MoC does not have a facility to carry this out.

<sup>13</sup> A theodolite is an instrument for measuring both horizontal and vertical angles, as used in triangulation networks. It is a key tool in surveying and engineering work, particularly on inaccessible grounds.

Regarding transfer of training to the workplace, respondents report that staff are sharing the information learned and building team work. As a result, “the environment now is better and leading to more trust and understanding.”

#### **4. Evaluation Team Analysis**

There are some inconsistencies between the respondents’ positive view of the training measured against the equipment problems. First, responses from all groups indicate the GIS/GPS equipment apparently has been only minimally operational since shortly after the end of trainings. All groups are consistent in reporting problems with software that at times caused the systems to shut down. In at least one department they proceeded to purchase certain software “from a special company.” Another comment indicated that some of the equipment might still be in storage. Thus the immediate benefits from the training, especially the ability to use new techniques presumably have also been minimal.

Nevertheless, the managers/supervisors claimed to have observed major improvements in their units’ work, thanks to UIO equipment and training. Specifically, they cited “complete differences from the past” at the field level, stemming from: more accurate measures and tables for objects; better organized and more easily read maps; and greater ease in discovering, mapping, and numbering new locations. Likewise the new technology increased the ease and speed of labeling and marking of heritage objects “according to a very high technical method.” As a result staff are better able to track the loss of objects and facilitate their recovery or retention.

Cross checking the direct responses across questionnaires and focus groups we draw the conclusion that the content of the training was useful and appreciated by the participants. Additionally the ability and clarity of the instructors allowed participants to understand the content and methods of using new, high tech equipment. It seems that at least some of the GPS units, distance meters, and cameras were working well enough for the participants to produce better and more accurate field work as mentioned above. Nevertheless, the effects of the training will certainly be reduced if the equipment continues not to work and/or if the software is incompatible or out of date. This is a matter for follow-up within UIO.

## **IV. BEYOND OUTPUTS**

### **A. Institutional Strengthening**

The strength of the institution, in this case the Ministry of Culture, depends on the efficiency of systems and the ability of staff to function effectively in all its divisions. From its inception the Cultural Heritage Project interacted with multiple partners with a view to strengthening institutions. UNESCO achieved a number of activities in collaboration with those partners in the fields of:

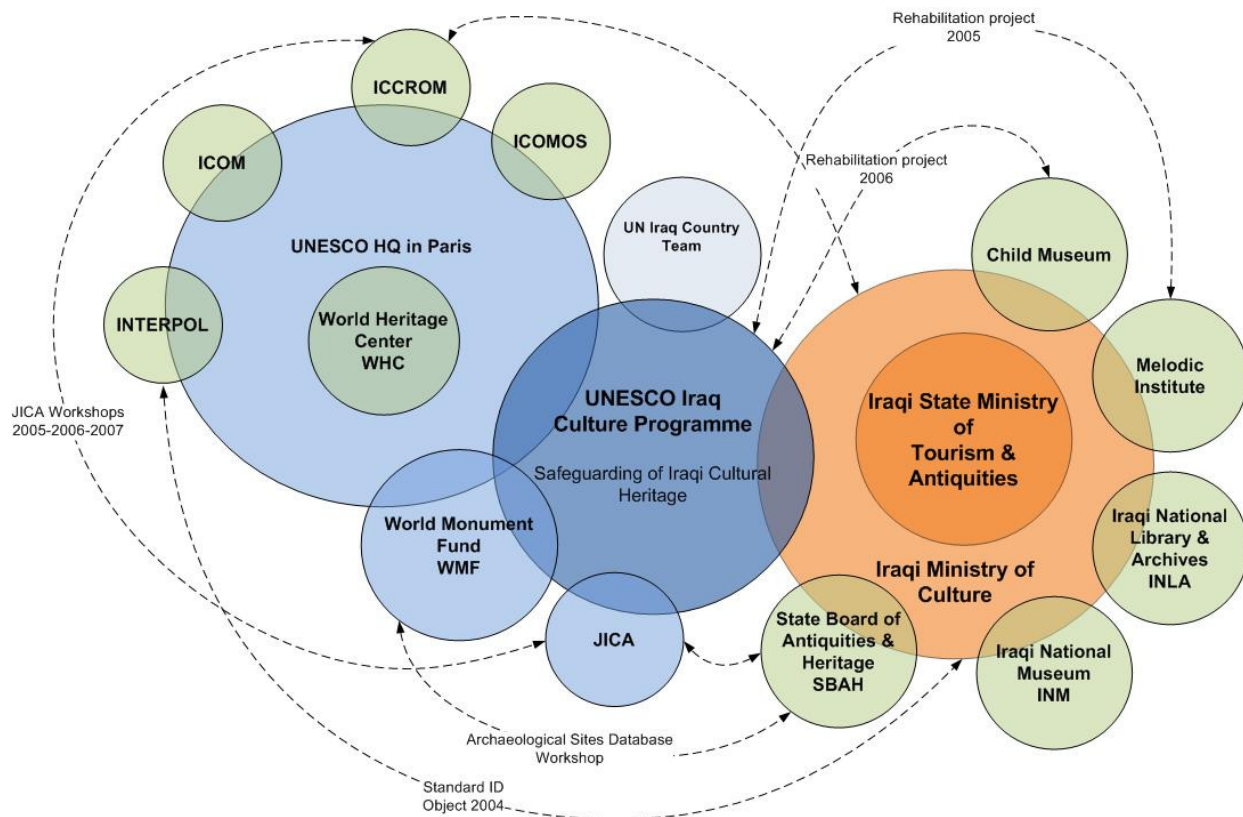


- Capacity Building: ID Object Standards with collaboration of the INTERPOL; archaeological sites database in collaboration with WMF and Getty Conservation Institute; and Japan International Cooperation Agency (JICA) workshops
- Rehabilitation of Cultural Institutions: Physical rehabilitation of the premises of the Child Museum; physical rehabilitation of the premises of the Melodic Institute; supply of equipment to the Iraqi National Library and Archives; and supply of equipment for the Iraqi National Museum

Figure 2 illustrates how the Project established a network between governmental and non-governmental agencies, Iraqis and other international partners, and promoted international cooperation in its implementation. The dotted lines show the activities that link these organizations together.

The Project itself is the dominant circle in the center. All of the smaller circles that surround and are partially encompassed by it represent the Project’s designers, implementers, funders and beneficiaries.<sup>14</sup> Clearly, the two largest of these were UNESCO HQ in Paris and the Iraqi Ministry of Culture.

**Figure 2: International Partnership Interface with Local Counterparts And Key Activities**



<sup>14</sup> Most of the statutory partners are already key actors in the UNESCO’s existing network and/or for ongoing projects. However, new partnerships were established in the Iraqi context. One example is JICA’s collaboration with archaeologists of SBAH directorates in the southern provinces of Iraq.

In terms of UNESCO HQ, the 1972 Convention concerning World Cultural and Natural Heritage identified three main statutory partners to help them in their efforts: the NGO International Council of Museums (ICOM); the NGO International Council on Monuments and Sites (ICOMOS); and the intergovernmental organization International Center for the Study of the Preservation and Restoration of Cultural Property (ICCROM). This relationship is represented in the figure with each of these organizations forming small circles around UNESCO HQ. The fourth circle in the figure is that of INTERPOL, which facilitates cross-border police co-operation and tries to combat international crime. They also play an important role in working with UNESCO HQ on preserving cultural heritage.

The Ministry of Culture was UNESCO's main counterpart for this Project. It also was the dominant agency controlling many cultural institutions in Iraq in 2004. In 2005 the State Ministry of Tourism and Antiquities was established within the MoC to watch over the State Board of Antiquities and Heritage (SBAH), the Iraqi National Museum and the Child Museum, all of which are represented in the figure. These along with the places in the other small green circles—the National Library and the Melodic Institute—were all partners as well as beneficiaries of the Project. In particular, capacity building for the staff of SBAH was one of the most effective developments to safeguard Iraqi cultural heritage. For instance, the Workshop on ID Object Standards given by INTERPOL allowed for greater communication between the two organizations and subsequently to better ways of notifying the international community about stolen objects and artefacts.

## **B. Sustainability**

Many of the objectives of Phase I have been achieved through the coordinated efforts of the UIO management team and the many international partners shown above. However, the giant step forward of initiating major activities in rehabilitation of buildings and the safeguarding of cultural institutions does not finish the task. The international community wants sustainable achievements. And while the safety of the cultural institutions and archaeological sites is greatly dependent on outside forces, there are areas that UIO and MoC have the ability to safeguard to ensure such results.

The effects of Phase I include not only those related to the provision of technical equipment, the rehabilitation of buildings and capacity building; there are also intangible effects such as the relationship forged with the counterpart ministry, the confidence gained by staff who received training and the income generated by persons employed as a result of museums reopening or contracts let. All of these effects must be protected in order to support the sustainability of Phase I objectives.

Of greatest importance in maintaining advances is achieving the unequivocal commitment (buy-in) from the Iraqi government/MoC. Project documents fail to convince that such commitment exists. This may be the unintended consequence of documents focusing largely on UIO efforts and less on the staffing of cultural institutions or the responsibilities that we assume the MoC has taken on.

However, if it is the case that the MoC has largely left the implementation and administrative tasks of the Project to others, the odds of maintaining achievements diminish. To combat this, it will be important for UIO to follow-up and maintain contact with the MoC counterparts, museum staff and others. Such follow-on could include asking for evidence that museum staff are using the correct methods for preserving objects, programs for the Child Museum are being planned, and surveillance plans are being developed for the archaeological sites for which equipment was procured. The SI Team did not see evidence of this type of follow-on in the project documents.

## V. COST EFFECTIVENESS

This analysis looks at the breakdown of the budget according to the 10 standard budget categories and the differences in them from the originally approved amounts to the final approved amounts (that is, after budget revisions) to the final actual amounts.

While the estimated and actual costs were nearly the same, the original approved budget did not accurately reflect the actual costs of the different budget categories. Certain categories were overestimated: personnel (33%), training (71%) and miscellaneous (66%). Other categories were underestimated: contracts (20%), equipment (9%), travel (179%) and security (26%). Personnel, contracts, training and equipment are of main interest given their weight in the overall budget.

**Table 8: Project Budgets**

<b>Category</b>	<b>Original Approved Budget</b>	<b>Final Approved Budget After Revisions</b>	<b>Actual Cost</b>	<b>Actual as % of Original</b>	<b>Actual as % of Final</b>
Personnel	181,374	134,202	121,635	67%	91%
Contracts	343,600	417,578	410,969	120%	98%
Training	199,500	60,546	58,578	29%	97%
Transport	-	-	-	0%	0%
Supplies & commodities	-	-	-	0%	0%
Equipment	1,205,140	1,315,706	1,315,706	109%	100%
Travel	2,340	7,000	6,533	279%	93%
Security	39,097	49,097	49,097	126%	100%
Miscellaneous	22,916	7,884	7,884	34%	100%
Agency management support	97,744	99,698	90,395	92%	91%
<b>Total</b>	<b>2,091,711</b>	<b>2,091,711</b>	<b>2,060,797</b>	<b>99%</b>	<b>99%</b>

Sources: Completion Report for Programme for the Protection of Iraqi Cultural Heritage (January 2008) and Financial Status Report (as of 31 December 2007).

This situation soon changed though after two budget revisions were requested and approved. The first in April 2005 made a number of changes. The biggest change was reducing the training budget roughly 65% from \$199,500 to \$69,500. This reduction occurred for three reasons.

First, the MoC and the Iraqi Government decided to completely abandon the Cultural Foundation and to use national and not international staff for the “Revision of National Law” activity. Second, savings of \$24,000 were achieved on two workshops (“Archaeological Objects Identification Workshop” and “Objects Database Management Workshop”) as a result of competitive bidding. Third, and most importantly, donors indicated that in Phase II, they would be interested in only funding capacity building and training. This was a major policy shift and to accommodate it, smaller initial training activities (i.e. “Expert for Legislation” and “Child Museum”) were moved to the next phase.

The training money was reallocated to five different categories: personnel, contracts, travel and security each received \$10,000 while equipment received \$90,000. Given that Phase II would focus on capacity building and not rehabilitation, contracts needed money to ensure that the Melodic Institute would be rehabilitated during Phase I. Equipment also needed more money for the Melodic Institute, as well as the Conservation Laboratories of the National Museum, because of the focus on rehabilitation and higher costs. Travel and security both needed more funds as a result of the security situation.

The last revision in November 2005 shifted funds from personnel, training and miscellaneous to contracts and equipment. These changes were needed in order to rehabilitate the Child Museum and provide continued support to the National Library in Baghdad.

Both of these revisions were carried out in close collaboration with the United Nations Assistance Mission for Iraq (UNAMI) and the Japanese government, the main funder. Moreover, such revisions were even possible because the Japanese government had agreed to fund the originally proposed needed equipment and rehabilitations. This was crucial since, as mentioned earlier, the shift in policy meant securing funds for investment instead of capacity building would be difficult in later phases.

The whole exercise of reallocating the budget highlights the importance of being able to move funds to both respond to new challenges as they arise and successfully carry out the assigned tasks. Moreover, due to the revisions, the final approved budget for each category closely matched their actual costs.

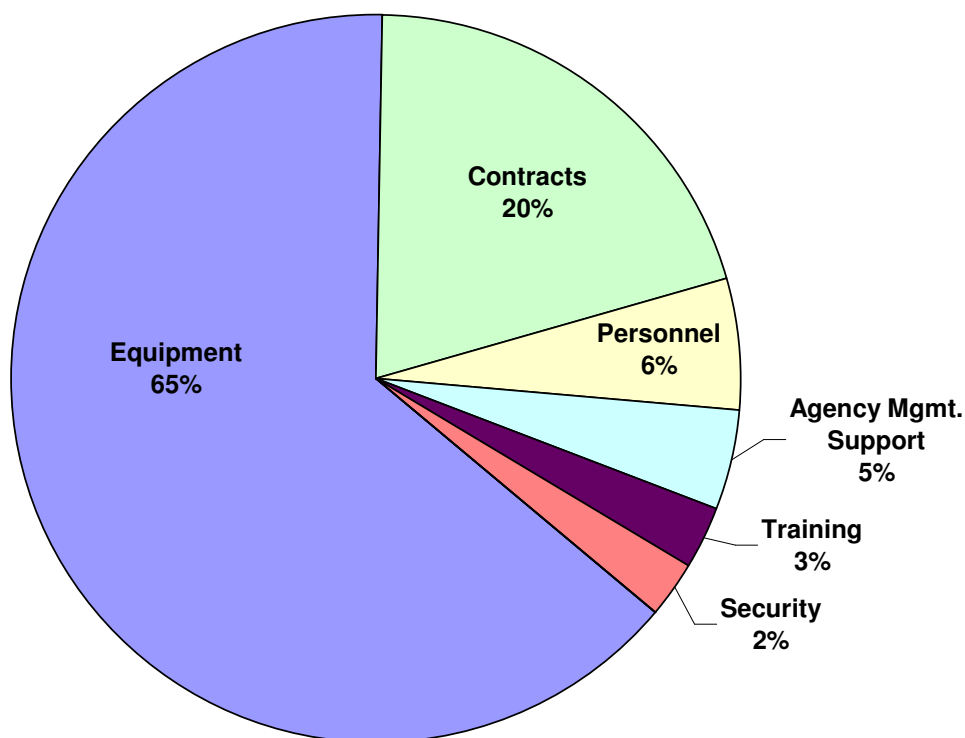
The actual budget allocation in Figure 3 shows these changes, as well as the objectives of this project.<sup>15</sup> The largest budget component is equipment at 65%. This included specialized cars and telecommunication equipment for archaeological sites and for border patrols to help them in their efforts stop looting and illicit trafficking. Unfortunately, eight vehicles were stolen and 37 vehicles, while delivered to Baghdad, suffered severe delays in arriving to their sites due to the security situation and lack of proper registration. Given that this was largely out of the hands of UNESCO, it is not something they should be penalized on. Other equipment was for strengthening the surveillance at sites and historic buildings. Additional equipment, which included computers, compasses, GPS units, cameras, and memory cards, was for the ID and Database workshops.

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<sup>15</sup> Since numbers have been rounded, the total is over 100%.

The next largest budget component at 20% is contracts. As discussed above, this money went to hiring construction and engineering firms to rehabilitate the Child Museum and the Melodic Institute. It also went to smaller activities, namely translation of manuals and documents.

**Figure 3: Actual Budget Allocation**



The training budget originally constituted 10% of the total budget, but given the shift in priorities to rehabilitation in Phase I, it fell to only 3%. However, this still covered the three trainings discussed earlier. Given that 45 people participated in these, the total cost per trainee amounts to \$1,300. This number may be low as parts of the personnel and contracts budget could have gone also to training.<sup>16</sup>

Given that the security situation and the change in focus to rehabilitation in Phase I and capacity building in Phase II, it does not appear that the original budget misallocated funds. Moreover, the actual budget allocation provides strong evidence that project funds were used according to the Project's slightly revised objectives.

<sup>16</sup> Budgets showing actual costs did not contain enough level of detail to determine this.

## **VI. LESSONS LEARNED**

1. To avoid last minute shifts in activities and to ensure a smooth process, it is important to understand what donors are willing to fund, not only in the first phase of the project, but in subsequent phases before the project begins. This is particularly true when those additional phases are already designed.
2. While UNESCO was able to adjust to unforeseen security related events better planning could have avoided these events all together or at the very least could have put contingencies into place immediately to deal with them. For instance, while there was only one instance of vehicles being stolen, one has to imagine that this is not an uncommon situation in Iraq. More broadly, it seems that better planning also could have delayed the start of this project. The security situation caused multiple delays and ultimately the closure of the National Library and Archives during implementation and the Iraq Museum less than a year after its completion. This begs the question of whether the timing was right for this Project. This is not to diminish its objectives, but rather whether the correct choice was made as to when the Project was implemented.
3. Although the Child's Museum was renovated the educational programs associated with the Project were not developed. Even when the Museum is fully repaired, without programs in place geared specifically to children, the value of the Museum will be diminished.

## **VII. RECOMMENDATIONS**

### **A. Participant Recommendations**

The following recommendations were given from participants given the questionnaire, as well as those who participated in the focus groups. Among frequent recommendations are the following:

1. Provide software for the GPS and GIS that doesn't expire and/or provide the necessary updates for it.
2. Train MoC staff on the maintenance and updating of the GPS and GIS equipment.
3. Offer refresher courses every six months.
4. Increase the length of time of each course.
5. Maintain UIO project communication with participants.
6. Make copies of materials used in training courses and give it to participants.

## B. SI Recommendations

The following observations and recommendations flow from project objectives and activities, participant and UIO recommendations and observations of the SI team.

1. The *Practical Handbook* and *Trainer's Manual* lacked the involvement of those familiar both with how modern museums operate and the on-the-ground situation of the Iraq Museum. Indeed, throughout the documentation there are only occasional nods to the specifics of the Iraqi situation. In the future, UNESCO will improve the products by using archaeologists with experience in Iraq who are also museum curators as consultants to ensure that the specific situation in Iraq was adequately covered.<sup>17</sup>

In addition, if future manuals are intended for a broader audience, as appeared to be the case with the *Practical Handbook*, it would be beneficial to provide a special annex detailing the specific situation of the Iraq Museum (or the targeted location). This would give the Iraq Museum staff the specific information they need without detracting from the manual's more universal view.

2. In planning training programs it is usually easy for the provider and beneficial for the participants if materials relative to the content are provided before the course begins. These may include a simple outline of material to be covered along with a glossary of terms. A bibliography of online references can also be useful. Preliminary explanatory material is usually welcomed and contributes to mastery of the issues. In the current situation in Iraq there appears to be a hunger for manuals and other resources. To the extent current supporting materials can be provided in Arabic these would be useful and appreciated. Of course preparation of this level of training material requires significant advance preparation.
3. Though many of the participant recommendations for longer and continued training sessions are linked to policy and funding, some of the requests are valid. Materials relative to the course, both course content information and resources amplifying the material, should be provided in the participant's native language. This ensures greater retention of material especially if there is a time lapse between instruction and application of the learning.

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<sup>17</sup> Dr. Stone names John Curtis of the British Museum and McGuire Gibson of the Oriental Institute as possible examples.

## **APPENDICES**



## APPENDIX A: Additional Tables

### Table A.1 Chronology of Key Events in Iraq

Date	Event
Mar 2003	<ul style="list-style-type: none"> <li>• American missiles hit targets in Baghdad, marking the start of a US-led campaign to topple Saddam Hussein.</li> <li>• In the following days US and British ground troops enter Iraq from the south.</li> </ul>
Apr 2003	<ul style="list-style-type: none"> <li>• US forces advance into central Baghdad. Saddam Hussein's grip on the city is broken.</li> <li>• In the following days Kurdish fighters and US forces take control of the northern cities of Kirkuk and Mosul.</li> <li>• There is looting in Baghdad, including the Iraqi National Museum, and elsewhere in the country.</li> </ul>
May 2003	<ul style="list-style-type: none"> <li>• President Bush announces end of military operations in Iraq- "Mission Accomplished."</li> <li>• UN Security Council backs US-led administration in Iraq and lifts economic sanctions.</li> <li>• US administrator abolishes Baath Party and institutions of former regime. Many consider this decision as the trigger for insurgency in the country.</li> </ul>
Jun 2003	
Jul 2003	<ul style="list-style-type: none"> <li>• Iraq's 25-member Governing Council met for the first time on 13 July, 2003. The Council includes 13 people described as Shi'a, five Kurds, five Sunni Arabs, one Christian and one Turkoman, including three women.</li> <li>• Commander of US forces says his troops face low-intensity guerrilla-style war.</li> <li>• Saddam's sons Uday and Qusay killed in gun battle in Mosul.</li> </ul>
Aug 2003	<ul style="list-style-type: none"> <li>• Deadly bomb attacks on Jordanian embassy in Baghdad.</li> <li>• Saddam's cousin Ali Hassan al-Majid, or Chemical Ali, captured.</li> <li>• The United Nations Assistance Mission for Iraq (UNAMI) heralded in Security Council.</li> <li>• Resolution 1500 adopted on 14 August 2003 as a one-year follow-through mission in the wake of the Oil-for-Food program handover on 21 November 2003.</li> <li>• Bombing of UN Canal Hotel in Baghdad kills at least 22 people, including SRSG Sérgio Vieira de Mello, and wounds over 100.</li> <li>• A massive car bomb claimed the lives of one of Shiite Islam's top clerics Ayatollah Mohammed Baqr al-Hakim and 124 others.</li> <li>• Evacuation of all UN Staff from Iraq begins.</li> </ul>
Sept 2003	<ul style="list-style-type: none"> <li>• The members of Iraq's first post-war cabinet were announced on 1 September after weeks of wrangling: <ul style="list-style-type: none"> <li>○ Minister of Culture: Mr. Mufid Mohammad Jawad al-Jazairi</li> <li>○ Minister of Education: Dr. Alaa Abdessaheb al-Alwan</li> <li>○ Minister of Labour and Social Affairs: Mr. Sami Azara al-Majun</li> <li>○ Minister of Planning: Dr. Mahdi al-Hafez</li> <li>○ Minister of Youth and Sports: Mr. Ali Faek al-Ghadban</li> <li>○ Minister of Higher Education: Dr. Ziad Abderrazzak Mohammad Aswad</li> <li>○ Minister of Human Rights: Mr. Abdel Basset Turki</li> <li>○ Minister of Technology: Mr. Rashad Mandan Omar</li> <li>○ Minister of Foreign Affairs: Mr. Hoshyar Zebari</li> <li>○ Minister of Water Resources: Mr. Latif Rashid</li> </ul> </li> <li>• Evacuation of all UN Staff from Iraq continues.</li> </ul>
Oct 2003	<ul style="list-style-type: none"> <li>• Madrid Donors' Conference - A summit of international donors raises at least \$13bn in pledges, mainly in grants, to help towards the reconstruction of Iraq. With \$20bn already pledged by the United States, the \$33bn total falls short of the estimated \$56bn needed to</li> </ul>

Date	Event
	rebuild the war-torn country. The pledges include: <ul style="list-style-type: none"> <li>○ \$5bn from Japan in grants and loans</li> <li>○ \$500m from Kuwait</li> <li>○ \$500m from Saudi Arabia in loans plus \$500m in export credits</li> <li>○ \$232m from Italy</li> <li>○ \$812m from the European Union</li> <li>○ \$290,000 from Slovakia</li> <li>○ \$24.2m from China</li> <li>○ \$3bn-\$5bn from the World Bank</li> <li>○ \$4.35bn over three years from International Monetary Fund</li> </ul> <ul style="list-style-type: none"> <li>• Evacuation of all UN Staff from Iraq continues.</li> </ul>
Nov 2003	<ul style="list-style-type: none"> <li>• End of UN Oil for Food Program for Iraq</li> <li>• Evacuation of all UN Staff from Iraq ends.</li> </ul>
Dec 2003	Saddam Hussein captured in Tikrit
Jan 2004	Ross Mountain becomes the new SRSG ad interim for Iraq
Feb 2004	More than 100 killed in Erbil in suicide attacks on offices of main Kurdish factions.
Mar 2004	Suicide bombers attack Shia festival-goers in Karbala and Baghdad, killing 140 people.
Apr 2004	Establishment of UNESCO Iraq Office. Temporarily located in Amman-Jordan.
Apr-May 2004	<ul style="list-style-type: none"> <li>• Shia militias loyal to radical cleric Moqtada Sadr attack coalition forces.</li> <li>• Hundreds are reported killed in fighting during the month-long US military siege of the Sunni Muslim city of Falluja.</li> <li>• Photographic evidence emerges of abuse of Iraqi prisoners by US troops.</li> </ul>
Jun 2004	<ul style="list-style-type: none"> <li>• US hands sovereignty to interim government.               <ul style="list-style-type: none"> <li>○ First Iraqi President: Mr. Ghazi Mashal Ajil al-Yawir</li> <li>○ Foreign minister: Hoshiyar Zebari</li> <li>○ Minister of Human Rights: Bakhityar Amin,</li> <li>○ Minister of Public Works: Nesreen Mustafa Berwari,</li> <li>○ Minister of Science and Technology: Rashad Mandan Omar,</li> <li>○ Minister of Planning: Mahdi al-Hafez,</li> <li>○ Minister of Sport and Youth: Ali Faik Alghaban,</li> <li>○ Minister of Women's Affairs: Nermin Othman</li> <li>○ Minister of Labour: Leila Abdul-Latif</li> <li>○ Minister of Education: Sami Mudahfar,</li> <li>○ Minister of Higher Education: Tahir al-Bakaa</li> <li>○ Minister of Culture: Mufid Mohammad Jawad al-Jazairi</li> </ul> </li> <li>• Saddam Hussein transferred to Iraqi legal custody.</li> </ul>
Jun 2004	
Jul 2004	UN Secretary-General Mr. Kofi Annan, names Pakistan's current Ambassador to the US and Mr. Ashraf Jehangir Qazi, as his Special Representative for Iraq.
Aug 2004	Fighting in Najaf between US forces and Shia militia of radical cleric Moqtada Sadr.
Sep-Oct 2004	
Nov 2004	Major US-led offensive against insurgents in Falluja.
Dec 2004	
Jan 2005	An estimated eight million people vote in elections for a Transitional National Assembly. The Shia United Iraqi Alliance wins a majority of assembly seats. Kurdish parties come second.
Feb 2005	At least 114 people are killed by a massive car bomb in Hilla, south of Baghdad.

Date	Event
Mar 2004	
Apr 2005	Amid escalating violence, parliament selects Kurdish leader Jalal Talabani as president. Ibrahim Jaafari, a Shia, is named as prime minister.
May 2005	<ul style="list-style-type: none"> <li>• Surge in car bombings, bomb explosions and shootings: Iraqi ministries put the civilian death toll for May at 672, up from 364 in April.</li> <li>• The first democratically elected Iraqi government in 50 years was sworn in. <ul style="list-style-type: none"> <li>○ President Jalal Talabani</li> <li>○ Prime Minister Ibrahim Jaafari</li> <li>○ Foreign Minister: Mr. Hoshiyar Zebari</li> <li>○ Minister of Planning: Mr. Barham Saleh</li> <li>○ Minister of Higher Education: Mr. Sami Al Mudhaffar</li> <li>○ Minister of Water Resources: Mr. Latif Rashid</li> <li>○ Minister of Environment and Acting Human Rights Minister: Ms. Narmin Othman</li> <li>○ Minister of Labour and Social Affairs: Mr Idris Hadi</li> <li>○ Minister of Educaiton: Mr. Abdel Falah Hassan</li> <li>○ Minister of Culture: Mr. Nuri Farhan al-Rawi</li> <li>○ Minister of Science and Technology: Ms. Basimah Yusuf Butrus</li> <li>○ Minister of Youth and Sports: Mr. Talib Aziz Zayni</li> <li>○ Acting minister of state for tourism and antiquities: Mr. Hashim al-Hashim</li> </ul> </li> </ul>
Jun 2005	<ul style="list-style-type: none"> <li>• Massoud Barzani is sworn in as regional president of Iraqi Kurdistan.</li> <li>• Brussels Donors' Conference - Iraq donors' conference in Brussels achieved what participants hoped it would in terms of drumming up support for Iraq's transitional phase. The overwhelming phrase echoed by some 80 nations and international organizations was "We will do more, when the security situation allows it."</li> </ul>
Jul 2005	Study compiled by the non-governmental Iraq Body Count organization estimates that nearly 25,000 Iraqi civilians have been killed since the 2003 US-led invasion.
Aug 2005	<ul style="list-style-type: none"> <li>• Draft constitution is endorsed by Shia and Kurdish negotiators, but not by Sunni representatives.</li> <li>• More than 1,000 people are killed during a stampede at a Shia ceremony in Baghdad.</li> </ul>
Sep 2005	182 people are killed in attacks in Baghdad, including a car bomb attack on a group of workers in a mainly-Shia district.
Oct 2005	<ul style="list-style-type: none"> <li>• Saddam Hussein goes on trial on charges of crimes against humanity.</li> <li>• In a general referendum, voters approve a new constitution, which aims to create an Islamic federal democracy.</li> </ul>
Nov 2005	<ul style="list-style-type: none"> <li>• A series of coordinated bomb attacks on three hotels in Amman, Jordan, on November 9, 2005. Al-Zarqawi and Al-Qaeda in Iraq claim responsibility for the attacks, which killed 60 people and injured 115 others.</li> <li>• In lieu of the bombs, the UN issues a ban on holding conferences, workshops and meetings in Jordan until a further notice.</li> </ul>
Dec 2005	Iraqis vote for the first, full-term government and parliament since the US-led invasion.
Jan 2006	Shia-led United Iraqi Alliance emerges as the winner of December's parliamentary elections, but fails to gain an absolute majority.
Feb 2006	A bomb attack on Al-Askari Holy Shrine in Samarra unleashes a wave of sectarian violence in which hundreds of people are killed.
Mar 2006	
Apr 2006	<p>Newly re-elected President Talabani asks Shia compromise candidate Nouri Jawad al-Maliki to form a new government. The move ends four months of political deadlock.</p> <ul style="list-style-type: none"> <li>○ Prime Minister: Nouri al-Maliki</li> <li>○ Foreign Minister: Hoshiyar Zebari</li> </ul>

Date	Event
	<ul style="list-style-type: none"> <li>○ Minister of Planning: Ali Baban</li> <li>○ Higher Education Minister: Abd Dhiyab al-Ajili</li> <li>○ Minister of Municipalities and Public Works: Riad Ghareeb</li> <li>○ Minister of Water Resources: Abdul-Latif Rashid</li> <li>○ Minister of Labour and Social Affairs: Mahmoud al-Radi</li> <li>○ Human Rights Minister: Wijdan Michael</li> <li>○ Education Minister: Khodair al-Khozaei</li> <li>○ Culture Minister: Asaad Kamal Hashemi</li> <li>○ Minister of Science and Technology: Raed Fahmy Jahid</li> <li>○ Minister of Youth and Sports: Jasem Mohammed Jaafar</li> <li>○ Women: Faten Abdul Rahman Mahmoud</li> <li>○ Tourism &amp; Antiquities : Liwaa Semeism</li> </ul>
May-Jun 2006	An average of more than 100 civilians per day are killed in violence in Iraq, the UN says.
Jun 2006	Al-Qaeda leader in Iraq, Abu Musab al-Zarqawi, is killed in an air strike.
Jul-Oct 2006	
Nov 2006	<ul style="list-style-type: none"> <li>• Saddam Hussein is found guilty of crimes against humanity and sentenced to death.</li> <li>• Iraq and Syria restore diplomatic relations after nearly a quarter century.</li> <li>• More than 200 die in car bombings in the mostly Shia area of Sadr City in Baghdad. An indefinite curfew is imposed after what is considered the worst attack on the capital since the US-led invasion of 2003.</li> <li>• Mr. Abd Dhiyab al-Ajili, Minister of Higher Education, announced his "temporary resignation" from the government in protest at a mass abduction by people in police uniforms of people from a ministry building.</li> </ul>
Dec 2006	<ul style="list-style-type: none"> <li>• Iraq Study Group report making recommendations to President Bush on future policy in Iraq describes the situation as grave and deteriorating. It warns of the prospect of a slide towards chaos, triggering the collapse of the government and a humanitarian catastrophe.</li> <li>• Saddam Hussein is executed by hanging.</li> </ul>
Jan 2007	<ul style="list-style-type: none"> <li>• US President Bush announces a new Iraq strategy: thousands more US troops will be dispatched to shore up security in Baghdad.</li> <li>• Barzan Ibrahim - Saddam Hussein's half-brother - and Awad Hamed al-Bandar, former head of the Revolutionary Court, are executed by hanging.</li> <li>• UN says more than 34,000 civilians were killed in violence during 2006; the figure surpasses official Iraqi estimates threefold.</li> </ul>
Feb 2007	A bomb in Baghdad's Sadriya market kills more than 130 people.
Mar 2007	<ul style="list-style-type: none"> <li>• Insurgents detonate three trucks with toxic chlorine gas in Falluja and Ramadi, injuring hundreds.</li> <li>• Former Vice-President Taha Yassin Ramadan is executed on the fourth anniversary of the US-led invasion.</li> <li>• The Fifth Meeting of the International Reconstruction Fund Facility for Iraq (IRFFI), hosted by the government of Turkey, opens in Istanbul in the presence of Dr. Ali Baban, the Iraqi minister of planning and development co-operation, and chaired by U.S. Ambassador Michael Bell.</li> </ul>
Apr 2007	<ul style="list-style-type: none"> <li>• A bomb blast targets parliament, killing an MP.</li> <li>• Bombings in Baghdad kill nearly 200 people in the worst day of violence since a US-led security drive began in the capital in February.</li> </ul>
May 2007	The leader of al-Qaeda in Iraq, Abu Ayyub al-Masri, is reported killed.
Jun 2007	<ul style="list-style-type: none"> <li>• In June 2007 a warrant is issued for Hashemi's arrest, accusing him of ordering the</li> </ul>

Date	Event
	<p>attempted assassination of the Sunni Arab Iraqi politician, Mithal al-Alusi, in February 2005. In response the Front suspends its participation in the government. Al-Alusi then accuses the US Embassy of giving shelter to Hashimi.</p> <ul style="list-style-type: none"> <li>• Second attack on Al-Askari Shrine in Samarra resulting in the destruction of the shrine's two minarets. Second attack fails to unleash sectarian violence like the first one.</li> </ul>
Jul 2007	
Aug 2007	<ul style="list-style-type: none"> <li>• The main Sunni Arab political bloc in Iraq, the Iraqi Accordance Front, withdraws from the cabinet, driving the government into crisis.</li> <li>• Truck and car bombs hit two villages of Yazidi Kurds, killing at least 250 people - the deadliest attack since 2003. Many believe that Al-Qaeda is behind the attack.</li> </ul>
Sep 2007	<ul style="list-style-type: none"> <li>• UN Secretary-General appointed Staffan de Mistura of Sweden and Italy as his Special Representative for Iraq.</li> <li>• Blackwater security guards are accused of firing at civilians, killing 17.</li> </ul>
Sep-Oct 2007	<p>There are signs of general improvement in security situation especially in Baghdad. The number of violent civilian and military deaths continues to drop, as does the frequency of rocket attacks.</p>
Oct 2007	<ul style="list-style-type: none"> <li>• Turkish parliament gives the green light for military operations in Iraq in pursuit of Kurdish rebels.</li> <li>• Donor Committee Meeting held in Bari, Italy. Donors agree to further extend IRFFI to 2010 and to align it with the goals and benchmarks of the ICI and the NDS.</li> </ul>
Nov 2007	
Dec 2007	<ul style="list-style-type: none"> <li>• Turkey launches an air raid on fighters from the Kurdish PKK movement inside Iraq.</li> <li>• Britain hands over security of Basra province to Iraqi forces, effectively marking the end of nearly five years of British control of southern Iraq.</li> </ul>
Jan 2008	<p>Parliament passes legislation allowing former officials from Saddam Hussein's Baath party to return to public life.</p>
Feb 2008	<ul style="list-style-type: none"> <li>• Suicide bombings at pet markets in Baghdad kill more than 50 people in the deadliest attacks in the capital in months.</li> <li>• Turkish forces mount a ground offensive against Kurdish rebels in northern Iraq.</li> </ul>
Mar 2008	<ul style="list-style-type: none"> <li>• Unprecedented two-day visit by Iranian president, Mahmoud Ahmadinejad, to Iraq.</li> <li>• Dark smoke rises from the U.S.-protected Green Zone early Sunday after it was targeted by a series of rockets or mortars, but there were no immediate reports of casualties.</li> <li>• The US military death toll in Iraq since 2003 reaches 4,000, the US military and independent counts say.</li> </ul>

**Table A.2 Persons Contacted by the Evaluation Team**

<b>UIO Management and Administration</b>
Mohamed Djelid, Director
Michael Croft, Executive Officer
Salah Z. Khaled, Liaison and Administrative Officer
Louay Mousa, National Procurement Officer
Lubna Mousa, Procurement Assistant
<b>UIO Sectors/Project Teams</b>
Mohamed Abbas, Senior Program Specialist – Education
Mirna Abu Ata, Program Assistant – Education
Dina Al Dabbagh, Program Assistant - Cultural Heritage and Water Security
Nayab Al Dabbagh, National Program Officer- Cultural Heritage
Qasem Al Newashi, Program Manager – Education
Nour Dajani, Program Specialist – Education
Ryuichi Fukuhara, Program Specialist – Natural Sciences
Ghada Georgie, National Education Officer
Carmen Issa, Project Assistant – Education
Riyad Minawi , Project Manager – Education
Ula Mohammed, Project Assistant – Education
Zein Rasheed, Project Assistant – Education
Tamara Teneishvilli, Program Specialist - Cultural Heritage
<b>Other UIO/UNESCO-Related Staff</b>
Sami Al-Khoja, SOC/UIO Monitor in Erbil, Iraq
Dr. Wigdan Al Qassey, former DG for Agricultural Planning in Iraq’s MoP, and former UIO participant Water Security Project
Geoffrey Geurts, UN Evaluation Specialist, Evaluation Section IOS (Internal Oversight Section)
Pamela Husain, Representative, UNDG ITF Steering Committee Support Office
Basil A. Sadik Senior Partner, Stars Orbit Consultants

## APPENDIX B: Detailed Evaluation Methodology

### I. EVALUATION LIMITATIONS<sup>18</sup>

First and foremost, the evaluation approach and the actual evaluation focused on the project's inputs, activities, outputs and outcomes. Given the limited amount of available data and more importantly, the short time that has elapsed since the projects were completed, this evaluation was not able to assess impacts.<sup>19 20</sup>

Secondly, in terms of equipment and supplies, the project documents provided to the Evaluation Team only contained specifics in terms of planned and not actual costs and amounts. For this reason, no assessment regarding the two, including identifying gaps, is given. However, while in Amman the Evaluation Team did view the system-wide procurement database that tracks equipment by project number and description as mentioned above. Given the sophistication of this system, we assume that unless otherwise noted in the progress reports or final report, all outputs were purchased and delivered as planned.

Third, the ET also did not receive any detailed documentation of specific procurement contracts issued. For this reason, very little is discussed in terms of procurement.<sup>21</sup>

Fourth, the SI Evaluation Team was not able to travel to Iraq for security reasons. Instead, SI contracted Stars Orbit Consultants (SOC), a local firm with on-the-ground data gatherers. Through SOC SI was able to contact a limited number of project beneficiaries: trainees and their managers. No attempt was made to contact other beneficiaries given the limited resources, the difficulty in finding these individuals, UIO input, and the security situation.

Lastly, while this evaluation was supposed to be a relatively short exercise, it ended up taking much longer than expected: the organization of data collection in the field was very complicated to coordinate and complete; there were delays in providing the ET with key information and data; and in some cases no information was provided.<sup>22</sup>

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<sup>18</sup> These limitations pertain to the overall evaluation, i.e. to all eight projects.

<sup>19</sup> Inputs are the financial, human, and material resources used; activities are the actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs; outputs are the products, capital goods and services resulting from an intervention; outcomes are the likely or achieved short-term and medium-term effects of an intervention's outputs; and impacts are positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. Source: Keith McKay, How to Build M&E Systems to Support Better Government, World Bank Independent Evaluation Group, 2007.

<sup>20</sup> To understand these different aspects of a project, take this example of a health project: inputs are funding and training of instructors; activities are giving trainings to parents and kids on the importance of hand-washing; outputs are informed parents and kids; outcomes are that parents and kids now wash hands; and impacts are decreases in diarrheal rates and other diseases.

<sup>21</sup> Regardless, determining whether this process was as efficient as possible would require a lengthy audit, one that is usually done internally, and thus was outside of our scope of work.

<sup>22</sup> For instance, UNESCO Monitors were to conduct surveys in Erbil but this data was never provided to the Evaluation Team.

Part of this was clearly a result of the Iraq situation: UIO has a very demanding schedule and the local firm had difficulty contacting and bringing together participants due to the country's security situation.

## **II. EVALUATION METHODOLOGY**

Final selection of methodology options and specification of their content depended upon close coordination with UIO, particularly for clarification of the many types and numbers of project stakeholders and beneficiaries who could potentially be identified and located inside Iraq and thus be accessed by different evaluation methods and modes. Ultimately four groups of methods were chosen: a) Desk study; b) Direct Examination of Relevant UIO Management Tools and Published Project Outputs; c) Collection and/or Compilation, Re-Array, and Analysis of In-house Data; and d) Instruments for Collection of New, Primary Data.

However, as is the case with any evaluation, and especially one in such an unstable region like Iraq, the proposed evaluation methodology is not always implemented exactly as planned. In the case of this evaluation a number of significant changes were made to the original methodology as the data collection process progressed. These changes as well as the originally proposed methodology are discussed in detail below.

### **A. Desk Study**

To gain background/context information on the eight projects under review, as well as quantitative and qualitative secondary data on them, the Evaluation Team reviewed all available project reports and summaries provided to them by UIO at the onset as well as those requested later as the evaluation progressed.<sup>23</sup> They also mined a vast corpus of UNESCO's Internal Oversight Service (IOS), International Reconstruction Fund Facility for Iraq (IRFFI), ITF, UIO and United Nations Assistance Mission for Iraq (UNAMI) documents and websites. In total, probably some 200 such items were examined.

### **B. Direct Examination of Relevant UIO Management Tools and Published Project Outputs**

The evaluators spent nine work days in Amman, Jordan. There they sat with relevant management and administrative staff so as personally to examine in-house systems such as UIO's procurement database and the individual projects' tracking systems.

SI's Education Evaluator visually scrutinized the primary- and secondary-school textbooks funded and delivered by UIO, as well as the lab manuals. Although these were mostly available only in Arabic, she was able to appreciate elements such as sturdiness/material quality, clean layout, visual interest, and so forth. Meanwhile, the Team Leader briefly examined the multitude of workshop manuals produced by the Water Security project. All were written in English with the vast majority available only in hard-copy.

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<sup>23</sup> These included Project Documents, Six-month Progress Reports, Completion Reports, Requests for Budget Extensions, Budgets, Training Plans, Action Plans and other related documents.



An expert on Iraqi Cultural Heritage also reviewed five documents: 1) *Running a Museum: A Trainer's Manual*; 2) *Running a Museum: A Practical Handbook*; 3) *Handbook: Security at Museums*; 4) *Handbook: Care and Handling of Manuscript*; and 5) *Handbook: Documentation of Artefacts' Collections*.

### C. Compilation and Analysis of In-house Data

In Amman, four tools were identified and designed in order for project teams to compile extant, or gather new, qualitative data for the evaluation. They included operational chronologies (milestones), success and learning stories, training tables, and project collaboration diagrams.

**Table B.1 The Four Tools**

<b>Tool Name</b>	<b>Planned Number</b>	<b>Purpose</b>
1. Operational Chronology (Milestone Charts)	1 for key security events in Iraq since 2003 1 for key UIO management and administrative events 1 for each project	To indicate both the external and UN/UIO internal enabling environments in which the projects operated, to outline key events in the LOP of each project and more generally and to provide the context in which to evaluate project results.
2a. Success & Learning Stories – by UIO staff	1-2 for UIO management and administration 2-3 for each project	To provide descriptions of “when, what, where, how, and why” a project has succeeded in its objectives and in cases of unanticipated project difficulties or negative impacts, how these were identified and overcome, and what was learned from the experience that may be helpful to other or future projects.
2b. Success & Learning Stories – by others	Perhaps 1-2 for each project	Same as above but with the added credibility of being collected from non-UIO sources through the use of other evaluation methods.
3. Training Tables	1 for each project	To permit definitive computation of trainees by gender and other key variables – especially distribution by governorate, for design of sampling for other data-collection instruments.
4. Project Collaboration Diagrams (unique)	1-2 each for Water Security and Cultural Heritage	In a sort of visual “analysis,” to highlight these two projects’ real and extensive linkages to and astute use of other organizations’ human, material, and knowledge resources or their influence and voice.

Given the Evaluation Team’s limited time in Jordan, they were not able to implement these tools during their trip. However, they did provide instruction and UIO agreed to send SI HQ the tools once completed with the necessary data. Unfortunately, the actual products received by SI HQ were many times delayed or did not conform to the agreed upon format or content, as discussed in greater detail below.

## **1. Operational Chronology/Milestone Charts**

In total, SI was to receive 10 milestone charts from UIO. The first milestone chart for key security events was completed during the evaluation team's time in Jordan. Due to UIO's staff busy schedules, it was later agreed that UIO would not produce any more and that SI would instead take over this task.

## **2. Success and Learning Stories**

As can be seen in Table B.1, originally it was envisioned and agreed to that there would be three to four success and learning stories per project, with some of these collected by project teams themselves, while others by non-UIO sources. Moreover, during the evaluation team's time in Jordan, they worked with project teams to identify some of these stories. They also gave the project staff a handbook with a format, questions and examples to help guide them in their efforts.

While UIO recognized the importance and added-value these of these success stories, there were problems with their delivery and content. After much delays, again caused by UIO's demanding schedule, SI HQ received only two stories—both for Water Security—that conformed to the requested information and met our expectations. For six of the other projects, only one success story per project was given, containing short paragraphs of information pulled from reports instead of the desired insightful information sharing how a project succeeded in its objectives or overcame unanticipated project difficulties. No success and learning stories were sent for In-Service.

## **3. Training Tables**

UIO did a fantastic job of sending SI HQ all of the training tables in a timely manner. Moreover, as the Evaluation Team needed more specific information or clarity on related issues, UIO was able to respond quickly and effectively.

## **4. Project Collaboration Diagrams**

As requested, project collaboration diagrams meeting our specifications were completed and sent to SI HQ for Water Security and Cultural Heritage

## **D. Instruments for Collection of New, Primary Data**

To obtain data from those that had first-hand knowledge of the projects, the Evaluation Team had face-to-face interviews with project staff and key informant groups while in Amman.

To obtain data from project beneficiaries, the SI Evaluation Team designed questionnaires for trainees and their managers and a focus group guide for trainees. They also designed site spot-checks to verify the existence of equipment and its current state.

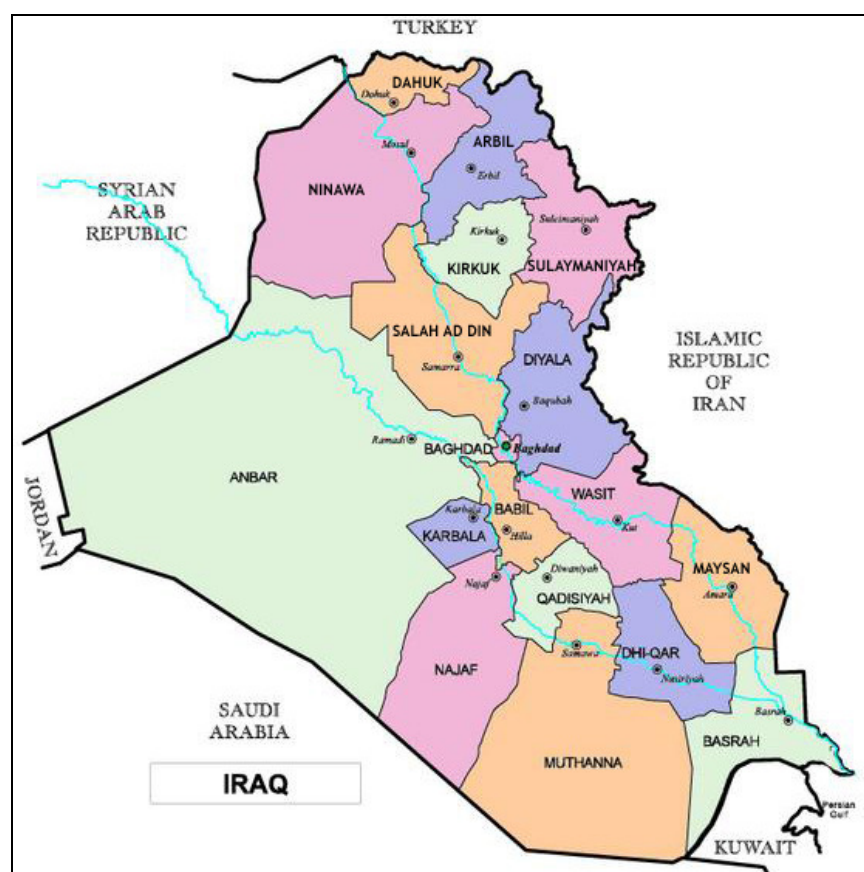
The questionnaires, focus groups and spot-checks were to be carried out by Stars Orbit Consulting (SOC), a survey firm with field staff in Iraq and the UNESCO Monitors located in Baghdad and Erbil. In total, they were to be implemented in seven of Iraq’s 18 governorates: Baghdad, Dyala, Erbil, Kirkuk, Missan, Muthana and Najaf.<sup>24</sup> (See Table B.2 and Figure B.1)

**Table B.2 Regions and Governorates of Project Beneficiaries**

CENTER	NORTH	SOUTH
Anbar	Dohuk	Basra
Babylon	<i>Erbil</i>	<i>Missan</i>
<i>Baghdad</i>	<i>Kirkuk</i>	<i>Muthana</i>
<i>Dyala</i>	Ninewa	<i>Najaf</i>
Kerbala	Sulaymaniyah	Thi-Qir
Qadassiya		
SalahDin		
Wassit		

Source: Information and classification of Governorates based on “*Distribution of Direct Beneficiaries per Governorate*” supplied to SI by UNESCO

**Figure B.1 Map of Iraq**



<sup>24</sup> There are multiple spellings of Iraqi’s governorates. We will use these spellings throughout this document.

These governorates were chosen because they contain the largest pools of beneficiaries and reflect the cultural and geographic diversity of the country.

- The Southern Region is a Shia area largely neglected during Saddam's regime. But its sparse population nevertheless benefited from various UNESCO projects;
- The Central Region containing Baghdad, the center of government, is the site of the central ministries with whom UNESCO worked. It is the largest population area of the country and also home to the largest number of training beneficiaries;
- The Northern Region covers a large area and has been the scene of continued upheaval. It contains Erbil, the largest city in the Kurdish area of Iraq, which is distinct culturally from the Arabic populations in the rest of the country.

The actual sampling frame consisted of a pragmatic mix of the following variables:

- Where (institutionally and geographically) each project concentrated its efforts in terms of funding for infrastructural activities like rehabilitation or refurbishment (of supplies, furnishings, equipment, vehicles).
- Where (institutionally and demographically) each project concentrated its efforts in terms of trainees, e.g. by governorate or region.
- Which sectors (water security, education, cultural heritage) received the most funding.
- Where it is/will be safe for on-the-ground personnel in Iraq to go, depending on the methods in question.

## 1. Data Collection

The questionnaires, focus groups and spot-checks all suffered from problems in their implementation extreme delays and questions of data quality. There were four main issues with the data collection process:

1. UNESCO Monitors were originally supposed to conduct questionnaires, focus groups and spot checks in Baghdad and Erbil. Due to scheduling conflicts, SOC was asked and agreed to take over their tasks in Baghdad. However, the UN Monitors were still to be responsible for collecting data in Erbil. While the work in Erbil was allegedly carried out, it was never sent to SI HQ.<sup>25</sup> Thus, we have no data from Erbil.
2. There were delays of over two months in getting the questionnaire data collected by SOC. While the initial delay was a result of their need to take over the UNESCO Monitors work, subsequent delays were without valid explanation. UIO was helpful in helping SI HQ to eventually get the first round of the promised data.
3. Questionnaire data collected by SOC and sent to SI HQ suffered from quality issues. Many of the answers were similar if not the exact same across projects. Also the questionnaires were not self-administered as envisioned, but given by a surveyor.

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<sup>25</sup> UIO did inform SI HQ that there had been problems with UN Monitors finding all of the targeted beneficiaries, which caused a delay and resulted in them missing their promised deadline of the end of July. However, a firm deadline of September 3, 2008 was later agreed to given the need for the evaluation team to continue their work. On that date, no data was delivered.

4. Lastly, the data was not as complete as was envisioned, as SOC only shared a few of the comments given. Requests to clarify these issues were generally not successful, although SOC did revise some of the data and said that the information was accurate. SI, though, is still very cautious about this data and the extent to which it can be believed and relied upon.
5. There was a low rate of success in meeting the target numbers of those to be given the questionnaire, those to be in the focus groups and spot check sites to visit. While such low response rate is expected in general and even more so given the security situation, the fact that no spot checks were carried out for Water Security or Cultural Heritage was very disappointing.<sup>26</sup> Moreover, SOC did not adhere to the sampling frames provided.<sup>27</sup>

The below tables show the differences in the proposed methodology and what was actually obtained for Questionnaires, Focus Groups and Spots Check.

**Table B.3 Target and Actual Data for Trainee and Manager/Supervisor Questionnaires**

Project	Trainee Questionnaire		Manager or Supervisor Questionnaire		Location	
	Target	Actual	Target	Actual	Target	Actual
<b>Textbooks</b>	9	9	N/A	N/A	Baghdad	Baghdad
<b>EMIS</b>	59	41	5	none	Baghdad Dyala Erbil Kirkuk Missan Muthana Najaf	Baghdad Dyala Kirkuk Missan Muthana Najaf
<b>In-Service</b>	68	29	N/A	N/A	Baghdad Dyala Erbil, Kirkuk Missan Muthana Najaf	Baghdad Dyala Kirkuk Missan Muthana Najaf
<b>SSE</b>	68	16	N/A	N/A	Baghdad Erbil Kirkuk Missan Muthana Najaf	Baghdad Kirkuk Missan
<b>TVET</b>	16	5	11	5	Baghdad	Baghdad
<b>LLD</b>	n/a	n/a	29	19	Baghdad Dyala	Baghdad

<sup>26</sup> SOC explained that their “field team couldn’t conduct the spot check for these sites due to coordination and security issues with the Water Department and Ministry of Culture.”

<sup>27</sup> It also appears that at times SOC was operating off of an older version of the sampling frame, while other times they had target numbers that did not match up with any sampling frames.

Project	Trainee Questionnaire		Manager or Supervisor Questionnaire		Location	
	Target	Actual	Target	Actual	Target	Actual
					Muthana	
<b>Cultural Heritage</b> <sup>28</sup>	10	4	11	4	Baghdad	Baghdad
<b>Water Security</b> <sup>29</sup>	59	23	60	21	Baghdad	Baghdad
<b>TOTALS</b>	<b>289</b>	<b>127</b>	<b>116</b>	<b>50</b>		

Table B.4 Target and Actual Focus Groups

Project	Selected Training Topic(s) and Events	Focus Groups	
		Target	Actual
<b>Textbooks</b>	<i>Training in Graphic design</i>	1 FG of 9	None
	<i>Training in textbook authorship</i>	None <sup>30</sup>	1 FG of 10
<b>EMIS</b>	<i>Training on EMIS software &amp; Data Entry</i>	None <sup>31</sup>	1 FG of 3
<b>In-Service</b>	<ul style="list-style-type: none"> <li>• Development of instructional materials</li> <li>• Follow-up workshop in UK</li> </ul>	1 FG of 12 core teachers, ideally those completing both workshops	2 FGs: 1) 9 from Development of materials; and 2) 7 from follow-up workshop
	<i>Training of mentors by core teachers</i>	1 FG of 8 to 10 mentors, trained by core teachers (if possible)	None
<b>SSE</b>	<i>Training in science education curriculum</i>	None <sup>32</sup>	1 FG of 6
	<i>Trainings in Germany</i> <ul style="list-style-type: none"> <li>• School principals</li> <li>• Lab technicians</li> </ul>	1 FG of up to 12, combining participants from both trainings	None
<b>LLD</b>	<i>Study visit, India, Thailand, Jordan</i>	1 FG of 6 to 8	1 FG of 5 (containing individuals who went on study visit <i>and</i> had training in development of materials)
	<i>Development of advocacy materials</i>	1 FG of 8-10	See above
	<i>Planning, management of non formal education</i>	None	1 FG of 5
<b>Cultural</b>	<i>Training in site assessment</i>	1 FG of up to 12 that	2 FGs: 1) 8 from

<sup>28</sup> The target was the universe of remaining trainees or managers/supervisors after the FG discussions were held. Thus, we do not have specific numbers for the two categories. Instead, we know that the universe for both equaled

<sup>29</sup> The target was the universe of remaining trainees or managers/supervisors after the FG discussions were held. Thus, we do not have specific numbers for the two categories. Instead, we know that the universe for both equaled 119. Thus, we simply divide this into two for illustrative purposes.

<sup>30</sup> This was requested in an earlier version of the sampling frame.

<sup>31</sup> This was requested in an earlier version of the sampling frame.

<sup>32</sup> This was requested in an earlier version of the sampling frame.

	<b>Selected Training Topic(s) and Events</b>	<b>Focus Groups</b>	
<b>Project</b>		<b>Target</b>	<b>Actual</b>
<b>Heritage</b>	<i>using GIS</i> • Workshop on GIS • Training in GIS D-basing	ideally includes only those completing both trainings	workshop on GIS; and 2) 6 from training on GIS D-basing
	Workshop on ID Object Standards	1 FG of up to 12	None
<b>Water Security</b>	<i>Formulation of Water Projects:</i> • Intro workshop • Advanced workshop	1 FG of up to 12, ideally of trainees completing both workshops	None
	<i>Training in Computerized Modeling:</i> • Intro workshop for groundwater • Advanced workshop for groundwater • 1st workshop on watersheds • 2nd workshop on watersheds	1FG of up to 12, ideally of trainees completing a maximum of these trainings	4 FGs: 1) 8 from intro to groundwater; 2) 6 from advanced groundwater workshop; 3) 6 from 1 <sup>st</sup> workshop on watersheds; and 4) 6 from 2 <sup>nd</sup> workshop on watersheds
	<i>Training in Weed and Canal Control and Maintenance</i>	1 FG of up to 12	None
	<i>Water Laboratory Training:</i> • Intro training • Water and wastewater analysis	1 FG of up to 12, ideally of trainees completing both workshops	None
<b>TOTALS</b>	<b>20 training/learning events</b>	<b>12 FGs ideally ranging from 6 to 12 pax</b>	<b>13 FGs with a total of 84 pax</b>

The site spot-check targets were not as specific as those given for the questionnaires. This is because the Evaluation Team did not know the exact locations given equipment nor what this equipment consisted of. Thus, the Evaluation Team provided SOC and UIO with a broad list of certain type of places to be visited. They then worked together to determine the final locations without SI input. Unfortunately, the places actually visited differed greatly from what was proposed and expected. It should also be noted that there is no way to guarantee that the equipment that was identified at each site was bought entirely with project funds. This is particularly true for those sites that were used for more than one project.

**Table B.5 Target and Actual Spot-Checks**

<b>Project</b>	<b>Target</b>		<b>Actual</b>	
	<b>Site</b>	<b>Governorate</b>	<b>Site*</b>	<b>Governorate</b>
<b>Textbooks</b>	MoE's pre-press unit	Baghdad	Administration Building	Baghdad
<b>EMIS</b>	MoE's main data collection office(s)	Baghdad	Administration Building	Baghdad

Project	Target		Actual	
	Site	Governorate	Site*	Governorate
			Administration Building	Baghdad
			Training Center	Baghdad
			Training Center	Baghdad
			Training Center	Kirkuk
			Training Center	Kirkuk
			Admin Building	Missan
			Training Center	Missan
			Administration Building	Muthana
In-service	MoE's central TLC	Baghdad	Administration Building	Baghdad
	Directorate of Education's TLC	Dyala	Administration Building	Baghdad
	Directorate of Education's TLC	Najaf	Administration Building	Dyala
	Directorate of Education's TLC	Kirkuk	Administration Building	Kirkuk
			Administration Building	Muthana
			Secondary School	Muthana
			Secondary School	Muthana
			Training Center	Muthana
			Administration Building	Najaf**
SSE	A boys' school	Baghdad	Secondary School	Baghdad
	A girls' school	Baghdad	Secondary School	Baghdad
	A boys' school	Southern Region	Secondary School	Baghdad
	A girls' school	Southern Region	Administration Building	Dyala
	A boys' school	Erbil	Secondary school	Kirkuk
	A girls' school	Erbil	Training Center	Kirkuk
			Secondary School	Missan
			Administration Building	Missan
			Administration Building	Missan
TVET	A TVET Institute in a given field, e.g. carpentry, commerce, electronics, etc	Baghdad	None	None



Project	Target		Actual	
	Site	Governorate	Site*	Governorate
	A TVET Institute with a different field from the above	Muthana	None	None
	A TVET Institute with a different field from the above	Erbil	None	None
	A TVET Institute with a different field from the above	Kirkuk	None	None
LLD	A CLC	Baghdad	Administration Building	Baghdad
	A CLC	Muthana	None	None
	A CLC	Dyala	None	None
Cultural Heritage	State Board of Antiquities and Heritage	Baghdad	None	None
	Melodic Institute	Baghdad	None	None
	National Museum	Baghdad	None	None
	Plastic Arts Museum	Baghdad	None	None
Water Security	The lab of a certain water-research center	Baghdad	None	None
	MoWR's Information Technology (IT) unit	Baghdad	None	None
	MoWR's central library	Baghdad	None	None

\* Note that some locations are used for more than one training

\*\* No location was given for this spot-check. However, since the only spot check SI requested in Najaf was for In-Service, we assume this administration building is for that project.

Even though the data from these tools was not of the expected quality or content, the Evaluation Team still was able to use them in the analysis.

## APPENDIX C: Data Collection Tools

### 1. Self- Administered Focus-Group Guide for Project Trainees

#### Instructions to Monitors/Stars Orbit Consultants (SOC) Personnel

This guide is designed for use by trainee focus groups (FGs), as organized and assisted by UNESCO monitors or SOC personnel, one of whom will also serve as a silent note-taker throughout the discussion (ideally by computer), a timekeeper and break facilitator. An actual FG member (where possible, to be identified beforehand by the project team in consultant with the evaluation TL) will administer the guide, adding his/her own opinions into the discussion.

Note that FGs cannot exceed 12 persons; and 8 to 10 is ideal. However, when circumstances make it difficult for people to assemble – in some parts of Iraq -- the minimum number for an FG is 6 persons.

Note-takers please be advised of the following. You will take many many pages of notes, as fast as you can type. Also, your typed notes should be organized by each major FG question and, within it, by who made what comments in response to which questions. The “who” should ultimately consist of the speaker’s title and/or position. For rapidity of note-taking, however, you can assign a simple identifier of your choice (e.g., Blue Suit, Spectacles, Young Woman, Beard, whatever). Later, you can substitute their title/position – but never their actual names. Also please note where consensus is obtained. Box I-1 provides a schematic example of FG notes.

#### **Schematic of FG Notes**

*Question No. 1:* What, why, how...

#### *FG Responses:*

Blue Suit answered that, in his case and in his unit, x, y, z resulted, due to UNESCO interventions a, b, c.

Spectacles said his experience was somewhat different. In his department, only x and y resulted, but there was another result, w. On the other hand, his group did not receive c but only a and b interventions, plus another, d.

Young Woman responded with yet a different constellation of interventions and results, as follow: ..... Speaking for himself and others of his group present in the FG, Beard noted that their experience was very similar to Young Woman’s.

However, all agreed that a common UNESCO result was ....., thanks especially to judicious UNESCO inputs a and b.

*Question No. 2:* What, why, how...

As above

### **Recommendations for Future Projects**

These can simply be enumerated, with a note as to who made the recommendation and whether others seconded it.

1. Blue Suit recommended ..... A majority of the group agreed with this suggestion.
2. Beard suggested ..... But others felt this would not work for their units so well.
3. Rather, they recommended.....
4. Etc.
- 5.

FG's invariably run nearly 3 hours, approximately as follows.

- ¼ hour for people to arrive -- with beverages (water, coffee, tea, sodas) appropriate to the culture and time of day available upon arrival -- plus time for FG members to greet acquaintances and settle into their seats;
- ¼ hour for members to listen to a brief introduction about FG aims (see Introduction above) and procedures (see below), ask questions, and introduce themselves to each other;
- 1 hour for discussion;
- ¼ to ½ hour for a break, again with beverages plus tasty snacks appropriate to the culture and time of day;
- 1 more hour for discussion;

Thus, at a maximum, no more than 2 FGs can be scheduled per monitor per day: one in the morning and one in the afternoon. Depending on the location of participants and the security situation, it may only be possible to have one FG per day. Note that the provision of beverages and snacks is critical to the FG experience because it fosters a less formal meeting atmosphere. It is also good to pass around inexpensive hard candies during the discussion hours, to relieve dry throats and potential boredom. Relatedly, FG members should be seated in a circle, ideally around a comfortably large table. The note-taker should sit silently off to a side at a separate small table, where his/her presence and the sound of his/her typing are unobtrusive.

Standard FG procedures are usually written on a large piece of paper taped to a wall where all can see. Typically, they include the following, plus any others that make sense and that the group agrees upon.

- Please speak freely and candidly because no names and only very general titles/positions will appear in any report, including the notes being taken today.
- Make sure everyone has a chance to speak; and help draw out members who may be shy.
- On the one hand, be respectful of others' opinions and ideas.
- On the other hand, provide specific examples to support or refute your own or others' opinions and ideas.
- Turn off cell phones until the break.

- No smoking until the break – unless the FG and the institution providing their meeting site agree that smoking is ok.
- Also, note where the restrooms are.
- Add any other procedures, as agreed by all.

To organize the FGs for which they are responsible, monitors should have received from UIO a list like the one below for each FG -- albeit with actual names and contact information attached and likely with many extra names to allow for attrition or unavailability of possible FG members in order to achieve the number of persons needed. By the time the FG begins, however, monitors should make sure that Table I-1's roster reflects the individuals who actually attended.

### Roster of FG Members in Attendance

Title / Position	Institutional Affiliation	Governorate	Training(s) in which Member Participated (Mode and Topic)	Sex (M, F)
1.			a. b.	
2.			a.	
3.			a. b.	
4.			a.	
5.			a.	
6.			a. b.	
7.			a.	
8.			a.	
9.			a.	
10.			a.	
11.			a.	
12.			a.	

Finally, all FG members should have a copy of the question list below, to follow along in discussion and help them formulate their thinking.

### FG Guide

**Project Name:** UIO/Stars Orbit pick one and delete all the others here: Water Security, EMIS, Textbooks II, In-service, SSE, TVET, LLD, Cultural Heritage

**General Location of FG:** Institution or other

**Date of FG:**

**Name of Monitor/Other Personnel:**

**Affiliation:** UIO or Stars Orbit

## Introduction

You have been invited to join this focus group (FG) because UNESCO's Iraq Office (UIO) has commissioned a formal, external evaluation of 8 of its projects implemented between 2004 and 2006. Re-building institutional capacity in Iraq – human as well as material -- is the ultimate goal of all these projects. They targeted diverse groups and immediate materiel needs within various Iraqi ministries – notably, those for Water Resources (MOWR), Education (MOE), Culture (MOC) and/or the Ministry of Tourism and Antiquities (MOTA).

Now, one year after most of these projects closed out operationally, this focus group seeks to gauge the longer-term results of the professional training, physical rehabilitation and refurbishment, and equipment provided to you and your institutions.

The purpose of our discussion group is to ask you about the results of the training and other goods and services that you and your unit received, plus elements that helped or hindered your learning and its subsequent application on-the-job. The questions also explore for any significant, positive changes in attitudes, procedures, policies, outputs, etc. in your institutional unit as a whole that may have been introduced or even adopted due to your or other trainees' learning and the facilities, texts, equipment, machinery, etc. provided by the UNESCO project in which you participated.

Finally, we also want to hear about ways you recommend for future projects might do things better or differently, plus any training or other needs that you consider a priority for your units, given the possible re-design of follow-on UNESCO projects.

The evaluators thank you for whatever insights you can provide. Also, please note that your name will be kept confidential. It will not appear in any resulting reports – or anywhere else, including the notes taken during this FG.

## FG Discussion Points

1. Please give up to 4 “best” examples of how you or your institution benefited from UNESCO assistance in terms of: building or site rehabilitation or refurbishment, or provision of supplies, equipment, machinery, vehicles, etc.

This is meant not to solicit just a listing of such items. Yes, please identify the particular intervention or item, but then go on to describe how these inputs improved your/your unit's work? What did they make it possible to learn or achieve that otherwise could not have been – both in the short-term and the longer-term?

2. Please give up to 4 “unsatisfactory” examples of rehabilitation, refurbishment, provision of supplies, equipment, etc. These might include: poor choice of priorities in these regards; non-delivery or poor quality/durability of construction, supplies, equipment, etc.; inadequate numbers of items supplied; inappropriate levels or language of library books, manuals, texts; and anything else you might think of. As above, be specific in describing these “unsatisfactory cases.”

3. Please give up to 4 “best” examples of improvements in your work or that of your institution as a result of UNESCO assistance in terms of training: study tours, training courses, workshops, seminars, conferences, high-level meetings, etc.

Be sure to explain what made these such good examples of a learning experience, e.g.: the immediate relevance to your work; the level of knowledge (e.g., introductory, advanced, state-of-the-art); the training materials – manuals, workbooks, texts, videos, etc.; the instructor; the language of training; the levels, types, and mix of trainees; and so forth.

4. Please give up to 4 “unsatisfactory” examples of UNESCO training. As above, be explicit about what made these such poor examples of a learning experience.

>>> Break Time <<<<

5. Overall, what do you consider the greatest accomplishments resulting from your, your unit’s, and your institution’s participation in this UNESCO project? What stands to have the highest or longest-term effects, and why?

These might include significant, positive changes in the workplace in terms of: physical environment and safety; staff and management attitudes; unit or institutional procedures, policies, and outputs; new and intellectually or financially rewarding contacts and networks internationally as well as nationally; increased staff retention, morale, tolerance, etc.; and anything else you consider to have been initiated, fostered, or put forward due directly or indirectly to your own and colleagues’ UNESCO training. Please name and explain as many accomplishments as you wish (up to 10-15), making clear how these are linked to UNESCO assistance.

Accomplishment 1.  
Accomplishment 2.  
Accomplishment 3.  
Accomplishment 4.  
Accomplishment 5.  
Etc.

6. Finally, looking ahead to the possible re-design of follow-on UNESCO projects and thinking about priority training needs in your unit and institution, what recommendations would you make to UNESCO with regard to improving any aspect of training discussed above. That is, what might UNESCO do better; different, more/less of, or not at all; how; for what subject matters; etc. Your ideas on these points are particularly solicited. Please give as many, concrete and specific recommendations as you can, up to 10 or 15.

Recommendation 1.  
Recommendation 2.  
Recommendation 3.  
Recommendation 4.  
Recommendation 5.

## **Questionnaire for Project Trainees**

### **Instructions to Monitors/Stars Orbit Personnel**

The background information in each questionnaire should be pre-filled out by UIO or Stars Orbit personnel before e-mailing or handing the instrument to the particular respondent in question.

For electronic administration, it is recommended that the entire instrument be sent within an e-mail, i.e. not as an attachment. The reason for this is that a respondent's e-mail system might or might not have attachment capabilities.

The handwritten version of the instrument can be created from the version displayed below simply by adding extra space between questions for people to write in, and then printing, photocopying, and stapling the resulting pages. If desired, lines can be added in these spaces also, to help keep handwriting straighter and clearer.

## **Questionnaire for Project Trainees**

### **Introduction**

You are receiving this questionnaire – via e-mail or by hand – because UNESCO's Iraq Office (UIO) has commissioned a formal, external evaluation of 8 of its projects implemented between 2004 and 2006. Re-building institutional capacity in Iraq – human as well as material -- is the ultimate goal of all these projects. They targeted diverse groups within various Iraqi ministries – notably, those for Water Resources (MOWR), Education (MOE), Culture (MOC) and/or the Ministry of Tourism and Antiquities (MOTA). Now, one year after most of these projects closed out operationally, this questionnaire seeks to gauge the longer-term results of the professional training provided to you and your institutions.

The purpose of the questionnaire is to ask you about the results of the training you received plus elements that helped or hindered your learning and its subsequent application on-the-job. The questionnaire also asks about any significant, positive changes in attitudes, procedures, policies, outputs, etc. in your institutional unit as a whole that may have been introduced or even adopted due to your or other trainees' learning. Finally, we are also interested to hear about any training needs you consider a priority for your unit, given the possible re-design of follow-on UNESCO projects.

This questionnaire is designed in such a way that you can fill it out yourself -- whether electronically using MSWord, or by hand – according to whichever way you received it. Please return your electronic answers to the e-address from which you received this instrument. For hand-written questionnaires, please return these to the person who gave you the form.

The evaluators thank you for whatever insights you can provide. Also, please note that your name will be kept confidential. It will not appear in any resulting reports, or anywhere else. Indeed, even the questionnaire itself does not call for a name; only an e-mail address, if any.

**Background Information**

**Project Name:** UIO/Stars Orbit pick one and delete all the others here: Water Security, EMIS, Textbooks II, In-service, SSE, TVET, LLD, Cultural Heritage,

**Respondent's Title/Position and Institutional Affiliation:**

**Respondent's Sex:**

**Respondent's Location:** Governorate, City/Town, Neighborhood

**Respondent's e-mail address (if any):**

**UNESCO Training Mode and Topics in which Respondent Participated:** e.g., study tour, on-the-job training, training course, workshop, seminar, conference, high-level meeting, -- and in each case, on what topics?

- 1.
- 2.
- 3
- 4.

**Relevance and Quality of Training**

Was the subject matter directly relevant to your present or possibly future professional needs? Place an "X" in the slot that best applies.

- Not at all relevant  
 Somewhat relevant  
 Relevant  
 Very relevant

Was the training(s) geared to the level of knowledge you needed? Place an "X" in the slot that best applies.

- Too simple  
 Too difficult  
 About right  
 Exactly what I needed

Please comment on your response to the above question.

What was the quality of training materials such as manuals, articles, texts, library materials, videos, etc? Place an "X" in the slot that best applies.

- Poor  
 Fair  
 Good  
 Excellent



In terms of state-of-the-art knowledge, clarity, language, visual illustrations, or any other factors you consider significant, please comment on the training materials that you found:

- Most useful, and why?
- Least useful, and why?

Did the instructor(s) appear to know his/her subject matter well? Place an “X” in the slot that best applies.

\_\_\_\_\_ Yes

\_\_\_\_\_ No

If “no,” please comment.

Did the instructor(s) answer trainee questions adequately? Place an “X” in the slot that best applies.

\_\_\_\_\_ Yes

\_\_\_\_\_ No

If “no,” please comment.

If the UNESCO project also provided your institutional unit with supplies (e.g., textbooks, laboratory materials, etc.) or equipment (furnishings, computers, printers, scanners, software, photographic/photocopy, GIS/GPS, artifact tagging, etc.) please comment on:

- Which items were most useful to your unit’s work, and why?
- Which items were least useful to your unit’s work, and why?

### **Transfer of Training**

To what extent are you using your learning in your workplace? Place an “X” in the slot that best applies.

\_\_\_\_\_ Not at all

\_\_\_\_\_ A little

\_\_\_\_\_ Fairly frequently

\_\_\_\_\_ Almost all the time

If you are no longer working in the same unit or position you were during training, do you still use your training knowledge? If not, why not?

Please comment on what specific techniques or knowledge you have been able to apply in the workplace:

- Use most, and why?
- Use least, and why?

Has the management of your institution been supportive of the use of your new learnings, and have you been encouraged to share them with colleagues and others? Place an “X” in the slot that best applies.

\_\_\_\_\_ Yes

\_\_\_\_\_ No

If “yes,” please give specific examples.

### **Training Results and Recommendations**

How has the training benefited you personally or professionally?

In your opinion, what are the greatest accomplishments resulting from your, your unit’s, and your institution’s participation in this UNESCO project? These might include significant, positive changes in the workplace in terms of: physical environment and safety; staff and management attitudes; unit or institutional procedures, policies, and outputs; new and intellectually or financially rewarding contacts and networks internationally as well as nationally; increased staff retention, morale, tolerance, etc.; and anything else you consider to have been initiated, fostered, or put forward due directly or indirectly to your own and colleagues’ UNESCO training.

Accomplishment 1.

Accomplishment 2.

Accomplishment 3.

Accomplishment 4.

Accomplishment 5.

Etc.

Finally, looking ahead to the possible re-design of follow-on UNESCO projects and thinking about priority training needs in your unit and institution, what recommendations would you make in regard to improving any aspect of training discussed above. That is, what might UNESCO do better; different, more/less of, or not at all; how; for what subject matters; etc. Your ideas on these points are particularly solicited.

Recommendation 1.

Recommendation 2.

Recommendation 3.

Recommendation 4.

Recommendation 5.

Etc.

## **2. Questionnaire for Managers or Supervisors of Trainees**

### **Instructions to Monitors/Stars Orbit Personnel**

The background information in each questionnaire should be pre-filled out by UIO or Stars Orbit personnel before e-mailing or handing the questionnaire to the particular respondent in question.

For electronic administration, it is recommended that the entire instrument be sent within an e-mail, i.e. not as an attachment. The reason for this is that a respondent's e-mail system might or might not have attachment capabilities.

The handwritten version of the instrument can be created from the version displayed below simply by adding extra space between questions for people to write in, and then printing, photocopying, and stapling the resulting pages. If desired, lines can be added in these spaces also, to help keep handwriting straighter and clearer.

Important note: If the manager or supervisor receiving this questionnaire was also him/herself a UNESCO trainee, then be sure to send him that questionnaire as well.

## Questionnaire for Managers or Supervisors of Trainees

### Introduction

You are receiving this questionnaire – via e-mail or by hand – because UNESCO’s Iraq Office has commissioned a formal, external evaluation of 8 of its projects implemented between 2004 and 2006. Re-building institutional capacity in Iraq– human as well as material -- is the ultimate goal of all these projects. They targeted diverse groups within various Iraqi ministries – notably, those for Water Resources (MOWR), Education (MOE), Culture (MOC) and/or the Ministry of Tourism and Antiquities (MOTA). Now, one year after most of these projects closed out operationally, this questionnaire seeks to gauge the longer-term results of the professional training provided.

The purpose of this questionnaire is to ask whether you -- as the manager or supervisor of one or more UNESCO trainees<sup>33</sup> -- have observed any meaningful improvements in these individuals’ on-the-job performance. The questionnaire also asks about any significant, positive changes in attitudes, procedures, policies, outputs, etc. in your institutional unit as a whole that may have been introduced or even adopted due to trainees’ learning. Finally, we are also interested to hear about any training needs you consider a priority for your unit, given the possible re-design of follow-on UNESCO projects.

This questionnaire is designed in such a way that you can fill it out yourself -- whether electronically using MSWord, or by hand – according to whichever way you received it. Please return your electronic answers to the e-address from which you received this instrument. For hand-written questionnaires, please return these to the person who gave you the form.

The evaluators thank you for whatever insights you can provide. Also, please note that your name will be kept confidential. It will not appear in any resulting reports, or anywhere else. Indeed, even the questionnaire itself does not call for a name; only an e-mail address, if any.

### Background Information

**Project Name:** UIO/Stars Orbit pick one and delete the others here: Water Security, EMIS, Textbooks II, In-service, SSE, TVET, LLD, Cultural Heritage,

**Respondent’s Title/Position and Institutional Affiliation:**

**Respondent’s Sex:**

**Respondent’s Location:** Governorate, City/Town, Neighborhood

**Respondent’s e-mail address (if any):**

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<sup>33</sup> Note: If you were yourself also a UNESCO trainee, you should be receiving a second questionnaire about your personal learnings experience.

**UNESCO Trainees** under the respondent's management or supervision:

Title/Position of Trained Staffer	Mode* and Topic of Training Received	Trainee Sex (M, F)
1.	a. b.	
2.	a.	
3.	a. b.	

\*Mode = e.g., study tours; on-the-job training; training course, workshop, seminar; conferences; high-level meetings.

### Training Results

Did the UNESCO project provide training in skills and learning important to your institutional unit? Place an "X" in the slot that best applies.

- Yes  
 No  
 Don't know

Please describe the skills or learning that have proven:

- Most useful, and why?
- Least useful, and why?

Have you observed improvement in the performance of UNESCO trainees in your unit, thanks to the project training they received?

- Yes  
 No  
 Don't know

If "yes," please describe specific types of improvements, whether for individual trainees or for your unit as a whole, thanks to UNESCO training.

- Improvement 1.  
 Improvement 2.  
 Improvement 3.  
 Improvement 4.  
 Improvement 5.

### Institutional Change

If the UNESCO project also provided your institutional unit with supplies (e.g., textbooks, laboratory materials, etc.) or equipment (furnishings, computers, printers, scanners, software, photographic/photocopy, GIS/GPS, artifact tagging, etc.) please comment on:

- Which items were most useful to your unit's work, and why?
- Which items were least useful to your unit's work, and why?

As a result of the UNESCO project, does your workplace now provide an environment that encourages the use of new learnings? E.g., physical surroundings or infrastructure conducive to better work? Sufficient number, quality, and sophistication of equipment in good working order? Supportive managers and supervisors, and collegial peer relations? Better transport to work sites? Anything else? Please describe and give some specific examples.

Example 1.

Example 2.

Example 3.

Example 4.

Example 5.

In your opinion, what are the greatest accomplishments resulting from your employees' and your unit's participation in this UNESCO project? These might include significant, positive changes in the workplace in terms of: physical environment and safety; equipment and machinery; staff and management attitudes; unit or institutional procedures, policies, and outputs; new and intellectually or financially rewarding contacts and networks internationally as well as nationally; increased staff retention, morale, tolerance, etc.; and anything else you consider to have been initiated, fostered, or put forward due directly or indirectly to UNESCO's provision of both goods and services, the latter mainly in the form of training.

Accomplishment 1.

Accomplishment 2.

Accomplishment 3.

Accomplishment 4.

Accomplishment 5.

Etc.

### **Recommendations**

Finally, looking ahead to the possible re-design of follow-on UNESCO projects and thinking about priority training needs in your unit and institution, what recommendations would you make in regard to improving any aspect of training discussed above. That is, what might UNESCO do better; different, more/less of, or not at all; how; for what subject matters; etc. Your ideas on these points are particularly solicited.

Recommendation 1.

Recommendation 2.

Recommendation 3.

Recommendation 4.

Recommendation 5.

Etc.

### 3. Site Spot-Check Instrument

This form is for application to the sample of sites to be spot-checked shown as Table 6 in the body of this report. That table also shows the great span of facilities that are to be included, e.g., labs, IT units, museums, classrooms, TVET machinery shops, libraries, community or teacher training centers, and more.

#### Background Data

**Project Name:** UIO/Stars Orbit pick one and delete all the others here: Water Security, EMIS, Textbooks II, In-service, SSE, TVET, LLD, Cultural Heritage

**Name of Site Visited:** Institution and Unit

**Date Visited:**

**Location:** Governorate, City/Town, Neighborhood

**Name of Monitor/Other Personnel:**

**Affiliation:** UIO or Stars Orbit

**Persons from whom information was gathered** for these reporting forms – either during the site visit itself (especially, but not exclusively, from UNESCO trainees there) or in the course of organizing the visit.

Title / Position	UNESCO Training(s) Received (if any)	Sex (M, F)
1.	a. b.	
2.	None	
3.	a.	
N.	a. b. c.	

#### Rehabilitation

What was the major rehabilitation work done at this site using UNESCO funds? (Information to be supplied by UIO prior to visit)

Please observe the current condition of the site and comment on the facility's suitability for its planned uses. E.g. is the facility generally clean and in good repair? Does it have electricity and water?

## Refurbishment of Furniture and Equipment

<b>*Major refurbishment: Consumables</b> delivered by the UNESCO project, e.g.:	<b>Approx. no. items in each defined category</b>	<b>Approx % items still on supply, from any source</b>	<b>Monitor's remarks</b> on why/why not 100% re-supplied.
Lab glassware, hoses, chemicals/cleaners, etc,			
Artifact tagging supplies			
Stationery or lab supplies			
Teachers' manuals			
Textbooks			
Other			
Other			
N others			
<b>*Major refurbishment: Durables</b> delivered in good order by the UNESCO project, e.g.:	<b>Approx. no. of such items delivered</b>	<b>Approx % items still present &amp; functional</b>	<b>Monitor's remarks</b> on why/why not still 100% present and functioning.
Ordinary computers			
GIS-capable computers			
Softwares			
GIS-capable printers			
Scanners			
Furniture			
Major machinery (specify)			
Major equipment (specify)			
Other			
Other			
N others			

\*Note that these lists are only illustrative here. Before a site visit is made, monitors or SOC personnel must be supplied by UIO with lists of consumables and durables delivered to the site in question.

## Project-Trained Staff

*Site Visitor: Please obtain the following information from project-trained and other staff at the site.*

Please list any other trainings (besides those already noted in Form 1's contacts) provided by UNESCO to site staff for the enhanced use of this facility. (If institutional memory is dim, this information may have to be supplied by UIO.)

- 1.
- 2.
- 3.
- 4.



How busy and active does the facility appear to be?

Please check one: \_\_\_very \_\_\_somewhat \_\_\_not very

In the opinion of the individuals spoken with, are their work materials, computers, and other equipment or machinery sufficient in number, quality, and sophistication to do their jobs? Please comment, using direct quotes from respondents as much as possible.

Relatedly, are the materials, equipment, machinery, etc. accessible to and used by the persons or groups UNESCO intended? Please explain.

What major accomplishments have been made possible in professionals' work at the facility thanks to UNESCO's rehabilitation and/or refurbishment of the site?

What priority needs and activities can professionals at the site recommend for any future UNESCO projects at their own or similar sites or in their own and related disciplines?

## **APPENDIX D: Team Biographies**

### **Social Impact**

Established in 1996, Social Impact (SI) is a global social enterprise dedicated to helping international agencies, civil society and governments become more effective agents of positive social and economic change. SI's mission is to make international development more effective in improving peoples' lives. SI provides integrated services to strengthen the performance of development organizations, their programs and the capacity of their local partner organizations. More specifically, these services include Project and Program Evaluation & Design, Performance Management Systems, Capacity Building, Partnerships Management, Strategic and Sector Planning and Team Building. SI works across all sectors including: economic growth; health and education; agriculture and rural development; environment and natural resource management; and democracy and governance. Over the past 12 years, the principals of SI have improved the quality of nearly 1000 development and social change projects and programs in over 130 countries.

SI works through a core team of 15 staff and closely affiliated consultants and has an extensive data base of more than 1000 vetted consultants based worldwide. SI clients include a broad range of development assistance agencies including the United Kingdom's Department for International Development (DFID), the World Bank (Bank), the Asian and African Development Banks, the United States Agency for International Development (USAID), Centers for Disease Control and Prevention's Global AIDS Program (CDC/GAP), agencies of the United Nations, government ministries, and nongovernmental organizations (NGOs).

SI has a proven track record of working with UN agencies including the following: the International Fund for Agricultural Development (IFAD); Pan American Health Organization (PAHO); United Nations Children's Fund (UNCF); United Nations Capital Development Fund (UNCDF); United Nations Development Program (UNDP); United Nations Disarmament Committee (UNDC); and United Nations Food and Agriculture Organization (FAO).

### **Dr. Constance McCorkle: Team Leader (TL)**

Dr. Constance McCorkle, a Senior SI Associate, is a highly capable and successful anthropologist/sociologist with worldwide credentials and ample international experience. Dr. McCorkle specializes in M&E of developmental relief programs and interventions and many of her experiences have involved conflict and post-conflict settings including Afghanistan, Iraq, Angola, and the former Yugoslavia. She has designed and/or conducted dozens of evaluations and studies in a variety of sectors, including: agriculture, natural resources management, soil-and-water conservation; irrigation, potable water supply, sanitation, and related health risks; literacy and numeracy training for adults; vocational education for special groups such as child laborers, ex-combatants, widows and orphans, poor farmers, people living with HIV/AIDS, and youth-at-risk generally; and community- based capacity building of many types. Dr. McCorkle is well-versed in evaluations for programmatic impact, sustainability and efficiency and has authored more than 35 major technical reports or M&E tools, including the landmark report entitled "Looking Back and Looking Forward: Final Evaluation of the Iraq Community Action

Program” (Nov 2006).

### **Ann Skelton: Education Evaluator**

Ann Skelton, a Senior SI Associate, is an international development specialist with an emphasis on education. She has over 30 years experience that includes the management and evaluation of international education and training projects, secondary and university level teaching, adult education course design, workshop design and delivery, training needs assessment and training project design and evaluation. Formerly, as Vice President of Training Services with a consulting firm serving the US government, she was responsible for managing USAID international training and education projects, designing and implementing those projects, monitoring progress toward goals and evaluating results and impact. She has led project assessment design tasks in Latin America, Egypt, and Africa. As team leader on a recent multi-country Africa based education project assessment and design, Ms Skelton led a team of US and local specialists in assessing sector education needs through interviews, site visits and comparisons of various pilot program designs. Since retirement from full-time employment, Ms. Skelton has continued to consult with international development and education organizations. Currently she teaches in the English department of Montgomery Community College.

### **Dr. Elizabeth Stone: Cultural Heritage Expert**

Elizabeth C. Stone was educated at the University of Pennsylvania, Harvard University and the University of Chicago, where she received her PhD. She is a specialist in the archaeology of complex societies in the Near East. Her research began with a focus on the organization of houses and households in ancient Mesopotamian cities but rapidly expanded to a consideration of the role of neighborhoods in urban organization. Today she is primarily concerned with the relationship between urban planning and underlying social and political organization in early complex societies. Since the invasion of Iraq in 2003, Dr. Stone has been actively involved in attempting to help Iraqi archaeology recover from more than a decade of war and sanctions. She enabled the first significant shipment of equipment and furniture to the Iraq Museum after it was looted, and since October 2003 has been the PI of a USAID grant to help rebuild higher education in Iraq. Working especially with the faculty at Baghdad and Mosul Universities, she was able to rehabilitate the departments, provide computers, equipment and books, provide training programs—including an MA program for Iraqi students at Stony Brook—and expand the availability of Near Eastern Archaeology resources available on the web.

She has published a number of books, including *Nippur Neighborhoods*, *Adoption in Old Babylonian Nippur*, and *The Iron Age Settlement at 'Ain Dara, Syria*, *The Anatomy of a Mesopotamian City: Survey and Soundings at Mashkan-shapir* as well as numerous articles.

## **APPENDIX E: Terms of Reference**

### **Terms of Reference (TOR)**

#### **Iraq Office UNDG ITF Program Evaluation**

##### **A. Evaluation Approach and Methodology**

Social Impact (SI) will evaluate all eight of UNESCO's projects taking a utilization-focused and mixed-methods approach to data collection and triangulation. This combines participatory as well as conventional techniques, and field- as well as desk-based methods, to allow evaluators to identify the experiences and opinions of beneficiaries directly and indirectly.

SI will gather quantitative information from statistical analysis of UNESCO databases, project MISs, and thorough reviews of strategic documents and analyses of UNESCO M&E data and project/program activity reports. Qualitative information will be collected through interviews with key personnel, formal focus groups in the same areas or possibly self-administered focus groups within Iraq, surveys and/or questionnaires and/or surveys for gathering a wide sample of data without putting the evaluation team, UNESCO staff or beneficiaries. All evaluation instruments will be developed and pre-tested by the SI team.

SI's evaluation approach will be based on the five principles that UNESCO lists as essential to the success of their programs: Efficiency, Effectiveness, Relevance, Impact and Sustainability. With the lens of these five principles, SI will evaluate UNESCO programming by asking the six following questions, adopted from the RFP:

- To what degree has the program objectives been attained over time?
- Is the program cost effective?
- What impact has the project had upon the target clientele?
- Is the amount of benefits being delivered the right amount (of beneficiaries)?
- What factors that may affect the long-term sustainability of the program?
- What decisions (changes) should be taken on similar follow-up programs?

To better accommodate all these mandates SI will carefully refine the evaluation scope and focus through evaluation design discussions with UNESCO. The overarching design will be systematically applied to each project area. Key questions or issues for each component will be agreed between the relevant UNESCO staff and the evaluation team once the team has reviewed basic project documentation. In the evaluation report, SI will clearly distinguish differing types of findings and, as appropriate, findings will also be flagged for relevance to varying UNESCO projects in Iraq. A detailed description of team roles and timing can be found in section C.

##### **B. Outputs (Deliverables)**

SI will deliver the following six outputs, which will be comprehensive to communicate findings and recommendations to UNESCO. These five outputs fit into three phases, which will be detailed in Section C.

**1. Team Building Meeting** - SI will conduct a Team Building Meeting to orient the team regarding working styles, deadlines, roles and responsibilities and communication among all stakeholders. The SI Task Manager will chair this meeting and a UNESCO representative will be invited to join the discussion via conference call.

**2. Methodology Paper** – After the desk review (phase 1) and before the team departs for Amman, SI will deliver a methodology paper outlining refined interview protocol, a more detailed and accurate field plan as well as draft components of the mixed methodology; i.e. surveys, interview protocols, a document review list, etc. The proposed Arabic-speaking Economist/Statistician can draft surveys in Arabic if necessary to reach wider audiences.

**3. Informal Debrief** – After the field work and before the team returns to DC, the SI evaluation team will hold an informal debrief with appropriate UNESCO personnel in Amman regarding preliminary findings and recommendations and present a draft outline of the report. This output will ensure that UNESCO agrees with preliminary findings and can tag any “red flags” before they make it into the draft report.

**4. Draft report** – The draft report will be written as the final with key findings, conclusions and recommendations regarding the eight program areas. UNESCO is to provide comments one week after the draft is submitted.

**5. Final Report** – The final report will be a document ready for dissemination among UNESCO staff, stakeholders, donors and relevant sectors at UNESCO HQ. Table 1 illustrates the types of findings that could be included in the final report.

**Table 1: Types of Evaluation Findings to Be Reported in UNESCO Final Report**

Looking Back

- Based on the log frame(s), a check that **outputs** have been delivered as planned (without which planned outcomes are unlikely), as evidenced by regular report or monitoring data;
- Assessment of achievement of planned **outcomes** against indicators and targets – but also including any unplanned effects (positive as well as negative);
- Distillation of **strengths/best practices** emerging across the life of program
- Likewise for **weaknesses/lessons learned**;
- As further input to most of the above elements, examination of any **midterm-evaluation recommendations** made, and why or why not they were **acted upon** by end of program;
- Likewise, review of the adequacy of program and project oversight, management, and administration.

Looking Forward

- **Recommendations for sustainability** of project achievements;
- **Recommendations for the next phase** of UNESCO programming in Iraq.

**6. Final Presentation** – The final presentation using Power Point given by the SI team and including a 30-minute overview of the evaluation process and findings (all taken from the final report) to take place in Amman, allowing for Q&A from participants.

### C. Timing

SI's evaluation of UNESCO's Iraq projects will consist of three main phases or steps:

- 1) framing the evaluation and methodology;
- 2) data collection, analysis and drafting the report; and
- 3) final report and presentation.

The following workplan summarizes SI's proposed steps to achieve the task, outputs that fall under each step and the level of effort (LOE) required for each step.

<b>PHASE 1: Framing the Evaluation and Methodology</b> <b>Weeks 0-4</b>
<p><u>Activities</u></p> <p>Immediately upon award of the evaluation assignment (Week 0) to Social Impact, drawing upon the program documents already in hand, SI will work with a UNESCO Representative to draw up a bibliography of program reports and related documents for UNESCO to collect and e-forward to the Evaluation Team (hereafter, simply team). The Team Leader will also send UNESCO a standardized checklist of evaluation materials that it might consider forwarding. These activities will ensure that the documents reach the team in time for Week One's literature review and pre-planning.</p> <p>During Weeks 1-4, the team will finalize evaluation approaches and research materials; review all pertinent project documents as per the eight project areas; categorize and chart the myriad groups of stakeholders to be involved in the evaluation; based on logic model and discussions with UNICEF focus and refine key evaluation questions; organize a one-day Team Building Meeting for the whole team that includes introductions, a point-by-point review of the Terms of Reference, review and refinement of the workplan and tentative report outline, tentative assignment of writing tasks for report, discussion of team members' relative strengths and weaknesses vis-à-vis the types, numbers, locales, languages, etc. of evaluation activities, task assignments, and task management; and draft the methodology paper for UNESCO review.</p> <p><u>Outputs</u></p> <ul style="list-style-type: none"> <li>• Team Building Meeting</li> <li>• Methodology Paper</li> </ul>

LOE for Phase I

<b>Title</b>	<b>Name</b>	<b>LOE</b>
Program Manager	Susan Kupperstein	4
Team Leader	Constance McCorkle	15
Education Specialist	Ann Skelton	12
Economist/Statistician	Plamen Nikolov	8
Water Expert	Patti Delaney	1 (as needed)
Cultural Heritage Expert	TBD	1 (as needed)

Note: In terms of team composition, it is strongly recommended that a UNESCO Representative be designated as a Point of Contact (POC) for the team; a planning phone-call between the POC and the team leader would be useful. One suggestion would be to include the UNESCO POC in part of the Team Building Meeting. From past experience, SI has learned that having a Donor POC available to answer questions and clarify aspects of the material or SOW is invaluable in keeping the evaluation on schedule, and eliminating an overlap of opinions.

**Phase II: Data Collection, Analysis and Drafting the Report**  
**Weeks 5-7: Field Work/Data Collection**

Activities

During Week 5, the Team Leader and Education Evaluator will travel to the field to work independently conducting interviews, distribute surveys, facilitate focus groups and complete other methods of data collection with available UNESCO staff and partners. Before their return to DC, team members will hold a joint informal debrief regarding preliminary findings and conclusions.

Since the Team Leader and Education Specialist are traveling together, they will hold a brief coordination meeting in the morning before starting the work day and a “lessons learned” wrap-up meeting at the end of the day. Communication will also remain open between members in the field and team members in DC; the Task Manager will coordinate regular check-in meetings between all team members to ensure the evaluation is progressing smoothly and the field team is receiving the support they need. This task-management strategy will ensure that assignments are completed in the most expeditious way with nothing “falling through the cracks,” that any necessary adjustments and trouble-shooting are promptly addressed, and that the team shares the maximum amount of information and insights from their respective interviews and fieldwork before these “go cold.”

Once everyone returns to DC, the entire team works closely in DC to analyze collected data, share best practices and lessons learned and begin work writing selected report components. It is the responsibility of the Team Leader to compile report pieces and edit them into one cohesive document. As an added safeguard for quality control, the team will submit the report several days before it is due to UNESCO so that the Task Manager can do a final edit on the report.

Outputs

- Informal Debrief
- Draft Report

LOE for Phase II

<b>Title</b>	<b>Name</b>	<b>LOE</b>
Program Manager	Susan Kupperstein	4
Team Leader	Constance McCorkle	30 (18 travel and 12 data analysis/report writing)
Education Evaluator	Ann Skelton	30 (18 travel and 12 data analysis/report writing)
Economist/Statistician	Plamen Nikolov	10
Water Expert	Patti Delaney	.5 (as needed)
Cultural Heritage Expert		.5 (as needed)

**Phase III: Final Report and Presentation**  
**Week 8-10: Analysis and Report Writing**

Activities

UNESCO will take one week to review the draft and give comments on content and findings. This information will greatly assist in making the final report a useable, helpful document that can be widely disseminated to donors, stakeholders and other appropriate UNESCO HQ staff. SI integrates comments into Final Report answering all questions, filling gaps and correcting any mistakes made in the initial draft.

SI holds formal debrief with UNESCO in person.

Outputs

- Final Report
- Final Presentation