



**UNITED NATIONS DEVELOPMENT GROUP
IRAQ TRUST FUND**

Programme Cover Page

Participating UN Organisation(s): UNDP (lead agency), UNOPS	Sector Outcome Team(s): Governance Sub Sector: Support to Electoral Process
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Programme Title: Institutional Development Support to the Independent High Electoral Commission (IHEC)	Programme Number: G11-23

Programme Description:

This programme has been jointly developed by the UN and the Iraqi Independent High Electoral Commission (IHEC) to support the IHEC in its continued institutional development as a sustainable institution within the government structure of Iraq, carrying out its constitutional mandate independently, efficiently, transparently and accountably, in line with professional standards.

The programme objectives are based on the results of a comprehensive IHEC capacity assessment in October/November 2009, recommendations from the IHEC and inputs of international advisors working closely with the IHEC on a day-to-day basis, and lessons learned from recent electoral events. These objectives aim to address significant gaps in the following areas:

1. Institutional framework and organisational capacity of the IHEC as Iraq's permanent electoral institution, established under the constitution;
2. Human resource capacity of the IHEC (staff skills, knowledge and resources) at both central and governorate office levels;
3. Technological capacity to manage electoral processes in a sustainable manner.

The programme will be implemented through strong partnerships between the IHEC and the various UN entities mandated and experienced in the sector of electoral support to Iraq. The successful implementation of programme activities is expected to contribute significantly to the achievement of outcomes prioritised in the UNCT's Assistance Strategy 2008-2011 and the UN Development Assistance Framework 2011-2014.

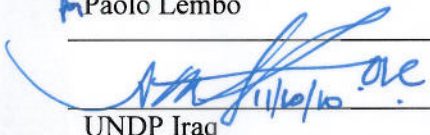
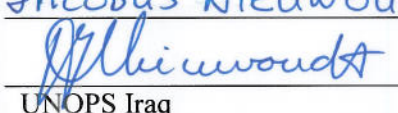
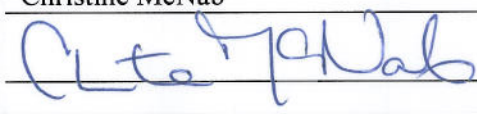
Programme Costs:		Programme Location:	
UNDG ITF:	24, 861, 991 USD	Governorate(s):	All
Govt. Contribution:	In kind	District(s):	All
Agency Core:		Town(s):	
Other:			
TOTAL:	24, 861, 991 USD		

Govt of Iraq Line Ministry Responsible:
Independent High Electoral Commission (IHEC)

Programme Duration:
Total # of months: 36 months
Expected Start date: 1 October 2010
Expected End date: 30 September 2013

Review & Approval Dates	
Line Ministry Endorsement Date:	15 October 2009 and 08 September 2010
Concept Note Approval Date:	10 November 2009 (by SOT only)
SOT Approval Date:	24 January 2010 and 15 September 2010 (revised prodoc)
Peer Group Review Date:	22 September 2010
ISRB Approval Date:	Not Applicable
Steering Committee Approval Date:	29 September 2010

Signatures of Agencies and Steering Committee Chair

I.	Name of Representative	Paolo Lembo
	Signature	
	Name of Agency	UNDP Iraq
	Date	29 September 2010
II.	Name of Representative	JACOBUS NIEUWOUDT
	Signature	
	Name of Agency	UNOPS Iraq
	Date	29 September 2010
III.	Name of Steering Committee Chair	Christine McNab
	Signature	
	Date	29 September 2010

National priority or goals (NDS 2007- 2010 and ICI):

NDS:

Strengthening good governance and improving security

ICI Benchmarks (as per the Joint Monitoring Matrix 2008):

3.1.2 Implementation of political/legislative timetable

Sector Team Outcome(s):

Outcome 1: Strengthened electoral processes in Iraq

Joint Programme Outcome(s):

JP1: Strengthened electoral processes in Iraq

**Detailed Breakdown of Budget by Source of Funds and
Distribution of Programme Budget by Participating UN Organisation**

Participating UN Organisation	Portion from ITF Budget (US \$)	First Tranche (US \$)	Second Tranche (US \$)	Third Tranche (US \$)
UNDP	13, 947, 279	5,008,719	4,746,328	4,192,232
UNOPS	10, 914, 712	2,976,001	4,073,589	3,865,122
Total ITF Budget (US \$)	24, 861, 991	7,984,720	8,819,917	8,057,354

Total budget (in US \$): \$24,861,991

Sources:

- Government \$0
- ITF (earmarked to Support to Electoral Process)* \$24, 861, 991
- ITF (unearmarked) \$0

UN Core/non-core sources

- UN Org (specify:) \$0
- UN Org (specify:) \$0

* 17,164,611 Unearmarked by Agency (Multi-Donor); 2,774,725.91 unearmarked by Agency (EC 2007 III - DCI-MED/2007/141-451); 5,172,653.52 Un-utilized Funds returned;

1. Executive Summary

Based on Security Council Resolution (SCR) 1770, extended through SCR 1830, 1883 and 1936, UNAMI with the assistance of the UN Country Team Iraq and with significant funding received from various international donors through the UNDG ITF, has provided support to the IHEC on three different levels since 2004: (i) operational support for electoral events; (ii) capacity development to IHEC infrastructure and staff in various sections and departments; and (iii) civil society engagement in the electoral context (including domestic electoral observation and electoral civic education).

The success of the support provided directly to the IHEC at both National Office and Governorate Electoral Office (GEO) levels has been evaluated through a comprehensive review of its capacity (October/November 2009). While the assessment has confirmed that significant progress has been made in a number of sectors, it also shows that IHEC as an institution has still broad areas requiring improvement in its capacity to implement its constitutional mandate efficiently, transparently and accountably, in line with professional standards. This assessment has been confirmed and further developed by recent reviews of the conduct of the March 2010 Council of Representatives election. Incorporating lessons learned from two previous UN capacity building projects for the IHEC, this programme therefore aims to ensure a continuation of the UN's support, advice and assistance, to address the need for further institutional development support in the priority areas identified, and to ensure sustainability of outcomes after the programme period.

Specifically, the programme aims to:

1. Strengthen the institutional framework and organisational capacity of the IHEC to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution;
2. Enhance the human resource capacity of the IHEC, by improving staff skills, knowledge and resources at both central and governorate office level, to enable staff to fulfil their functions effectively;
3. Improve the technological capacity of the IHEC to manage electoral processes in a sustainable manner.

These three objectives will be targeted through the achievement of various sub-components defined for each priority area. Specific activities will require further in-depth analysis. They will include providing support in the development and implementation of recommendations for improving existing IHEC policies, processes, staff capacity and systems. These recommendations will incorporate cross-cutting issues such as the promotion of gender equality and will take into consideration relevant lessons learned by the IHEC and participating UN offices during the implementation of previous projects within the electoral support sub-sector as well as in other areas of governance. If successfully implemented, this programme will contribute to the achievement of targets set in both the UNCT Iraq's Assistance Strategy 2008-2010 and the National Development Strategy (NDS) / National Development Plan (NDP).

Responsibilities for specific programme activities have been assigned to the participating UN offices based on their respective mandates, relevant experience and capacity to implement. UNDP and UNOPS will be executing agencies, with UNDP the lead agency. They will be responsible for implementation of all programme activities according to the workplan, standards and procedures agreed upon with the IHEC and UNAMI, and in line with UNDP and UNOPS financial and administrative policies, rules and procedures for contracting, procurement and recruitment. Both agencies will provide narrative and financial progress and final reports to the funding source UNDG ITF as per the Memorandum of Understanding signed with the UNDG's Administrative Agent for the International Reconstruction Fund Facility for Iraq (IRFFI). Based on its mandate extended through SCR 1936, the role of UNAMI will be to maintain technical oversight. Activities will complement capacity building initiatives undertaken by the IHEC, and by other partners (such as IFES).

Technical performance of this programme will be supervised through joint two IHEC-UN management forums: the Steering Committee for Electoral Support Projects, responsible for coordination between and overall oversight of all UN projects, and the Programme Board, responsible for management of this particular programme. Both platforms are comprised of representatives of IHEC, UNDP, UNOPS and UNAMI. This represents a management structure which fully integrates all programme partners. Programme partners will thereby together be responsible for monitoring progress and achievements of outputs, reviewing the workplan and endorsing any significant adjustments to this as necessary. Programme results will also be monitored and evaluated according to standard procedures of both executing agencies.

2. Situation Analysis

The Independent Electoral Commission of Iraq (IECI) was initially mandated in 2004 to conduct electoral activities for the transitional period. In 2005, three electoral processes were organised and implemented by the IECI. With the approval of the Law on the Independent High Electoral Commission (IHEC) by the Council of Representatives on 23 January 2007, the IECI became the IHEC, the permanent institution responsible for conducting electoral activities in Iraq. This law was enacted and a new Board of Commissioners to the IHEC was appointed in April 2007.

A wide range of political developments, which were highlighted in the Report of the Secretary-General pursuant to paragraph 6 of resolution 1830 (2008) – S/200/688, took place in Iraq during 2008. During this period and subsequently, in addition to supporting the IHEC in the implementation of electoral events, UNAMI has provided substantial support to the Iraqi Government in areas such as the passage of the election law.

The IHEC has in turn conducted several further electoral events. These include a voter registration update process in the summer of 2008 and governorate council elections in January 2009, collection of signatures for the proposed referendum on the formation of regions in Basra in January 2009, a voter registration update period for elections in the Kurdistan Region in May-June 2009 and the Kurdistan Region's presidential and parliamentary elections in July 2009. This was followed immediately by a national voter registration update period in August-September 2009 for the Council of Representatives (CoR) election, and the CoR election itself in March 2010. Altogether this represents an extremely intensive two-year operational cycle of electoral events.

Throughout the period 2004-2010, since the establishment of the IECI, the United Nations has been the leading partner and coordination body for international technical assistance and institutional development support to the IECI/IHEC. UNDP, UNOPS and UNAMI have played principal roles in supporting the IHEC through a range of projects and programmes.

This support has taken place within the wider context of international electoral support in Iraq, in which a wide range of actors have been engaged in institutional development activities, in coordination with UNAMI. In addition to UNDP and UNOPS, UNAMI Electoral Support Team works in partnership with a number of other organisations. Key organisations include IFES which has provided ongoing technical support to the IHEC in targeted areas since 2004, with a presence of technical advisors based in Baghdad. Scuola Superiore Sant'Anna, the School of Advanced Studies of the University of Pisa, has provided Training of Trainers and direct training programmes for the IECI/IHEC and the University of Utah provided advice and recommendations on the electoral legal framework for the recent election. UNESCO currently works to promote media coverage of electoral processes in Iraq. UNIFEM, DFID and the European Union have all previously been involved in providing support to the IHEC and electoral processes in Iraq, amongst others.

This programme builds upon ongoing institutional development support to the IHEC by UNDP, UNOPS and UNAMI. It is developed as a follow up, and similar in concept, to project G11-14, "Institutional Development – Organisational and Human Resource Capacity Building for the IECI/IHEC" (phase I, implemented by UNDP and UNOPS) and G11-19 (phase II, implemented by UNOPS), due to be completed in 2010¹. These projects aimed to increase the IHEC's organisational and human resource capacity to conduct future electoral events, based on priorities outlined in the UNEAD Capacity Building Assessment Report of 2006. Through this, a number of different activities were completed in support of a diverse range of sectors of the IHEC, jointly implemented by UNDP and UNOPS, in close coordination with UNAMI.

All institutional development support has focused on complementing the IHEC's own institutional development and capacity building programme. Under the internal coordination of the IHEC Capacity Building Department, responsible for development of staff skills, knowledge and resources, the IHEC has been increasingly involved in developing its own capacity building initiatives and organizing trainings for its own staff. The IHEC has also

¹ G11-14a was operationally completed on 30 June 2010, and G11-19 is due to be completed on 30 September 2010.

been active in seeking partnerships with potential service providers from other Iraqi government ministries and local training institutes. The IHEC has initiated several proposals for activities, which have been presented to the UN and other partners for potential cooperation. Any support from external agencies will therefore need to continue to complement and enhance the IHEC's own capacity building plans.

Since spring 2008, the IHEC has gained further experience through the conduct of various electoral events and was the central institution in the planning, implementation and management of the 2008, 2009 and 2010 electoral activities. With the operational and institutional development support it has received, the IHEC has rapidly developed its capacity and capabilities in a very demanding environment. While the focus of the IHEC in recent months has been by necessity less on capacity building and more on operational requirements, this has offered the IHEC a broad opportunity for learning through practical experience. Significant progress has therefore been made in IHEC capacity in a number of areas, but to a lesser degree in others. It is therefore an appropriate time to redefine institutional development needs and priorities for 2010 onwards, and to more closely align longer term institutional development goals alongside operational timelines and immediate needs.

United Nations support has evolved alongside IHEC development and needs. With the increasing experience of the IHEC, the United Nations focus has evolved from providing direct operational assistance in 2004-5, through initiation of a capacity building programme in 2007 during a non-operational cycle, to the situation now where it must consider how best to provide continued support to institutional development, while providing targeted advisory support where needed. This represents a transition from an operations based approach to a more integrated programme approach, focused on overall development of the IHEC as an institution, and harnessing the benefits of strategic partnerships between UNAMI and other organisations, such as the executing agencies, UNDP and UNOPS. This integrated role of agencies, under the framework of the UNAMI-led International Electoral Assistance Team (IEAT), enhances support provided to the IHEC and allows for coordinated international support.

IHEC institutional development needs have been recently evaluated in a comprehensive IHEC needs assessment, which took place in October-November 2009. This assessed the needs of all departments and sections of the IHEC at both National Office and GEO level. This assessment has confirmed that significant progress has been made in a number of sectors, while also highlighting that the IHEC as an institution has still broad areas requiring improvement in its capacity to implement its constitutional mandate efficiently, transparently and accountably, in line with professional standards. This assessment has been confirmed and further developed by recent reviews of the conduct of the March 2010 Council of Representatives election. Through this, priorities have been identified for UN support to institutional development of the IHEC for the next three years.

This project document was also analysed as part of the recent External Review of UN Contributions to Strengthened Electoral Processes in Iraq. The report of this review concluded that this programme is "in line with the needs of the IHEC...[as]... identified through the various assessments and evaluations conducted by the IHEC's Capacity Building Department". Recommendations from this review have also been fully incorporated into this project document.

This programme has therefore been designed in order to support the institutional development of the IHEC as an independent, professional, accountable and sustainable institution within the government structure of Iraq, fully able and prepared to conduct electoral activities. It aims to continue to unite support of the different UN agencies into an integrated, coherent and consistent programme, in support of IHEC goals for institutional development and UNAMI Electoral Support Team strategic guidelines for support to the IHEC for 2010-2013, and in line with the UNCT Assistance Strategy for the Governance sub-sector 'Electoral Support'.

3. Lessons Learned, NDS & ICI Relevance, Cross-Cutting Issues, and Agency Experience in Iraq/the Sector

3.1 Background/context

Pursuant to provisions of Article 61, Item 3 of Article 73 and Article 102 of the Constitution, Law No. 11 (2007) on the Independent High Electoral Commission establishes the IHEC as “a professional, governmental, independent, neutral and autonomous body, subject to the supervision of the Council of Representatives”. With this law, the transitional electoral commission in place since 2004 was replaced by the IHEC as Iraq’s permanent electoral commission. Law No. 11 grants the IHEC all authorities to conduct elections, including:

- (i) Promulgating rules, regulations and procedures for federal, regional and local elections and referenda throughout Iraq
- (ii) Conducting and overseeing all elections and referenda in all provinces which are not organised into regions
- (iii) Supervising any regional electoral body which conducts regional and local elections in the respective region.

The IHEC has conducted several elections since its inception. These represent steps towards the development of democratic governance in Iraq, with elections which are regarded as relatively fair and transparent, with results broadly accepted both domestically and in the eyes of the international community. The IHEC, however, operates in a highly politicized context. This reached a peak in the recent Council of Representatives election of March 2010, which was fiercely contested and represented an extremely narrow race. Only two seats separated the two winning blocs in the 325-seat Iraqi Council of Representatives. This has resulted in a struggle in the new parliament to form a government. The IHEC fell victim to this political rivalry during results tabulation, when attempts by the two largest blocs to win the balance of votes called into question the legitimacy of electoral processes and accuracy of results. This led to an order by the Electoral Judicial Panel, in response to an appeal, to recount the votes cast in Baghdad governorate, although there was no evident technical need for this. While the recount process confirmed results and thus enhanced the credibility of the IHEC in the public eyes, it illustrated the impact the political context can have on electoral processes in Iraq.

The IHEC Board of Commissioners itself consists of representatives who are politically affiliated coming from across the political spectrum, including Shia, Sunni, Kurd and Turkoman. Therefore, while Commissioners have political ties and may come under pressure from their respective affiliations, the Board as a whole was selected to represent a political balance and protect the IHEC as an institution from any single political bias.

SCR 1770 (extended by SCR 1830, 1883 and 1936) defines the mandate of UNAMI to provide assistance, support, and advice to the Iraqi government and the IHEC in order to maintain, administer and develop the electoral system in Iraq. Based on this SCR, the National Development Strategy (NDS) and the International Compact with Iraq (ICI), the UNCT’s Sector Outcome Team “Governance” has included “Support to Institutional Development of the IHEC” in its Assistance Strategy for 2008/2010.

In addition to contributing to the above objectives, UNDP, UNOPS and UNAMI will through this programme also play a role in the realisation of the objectives set in the ICI. In particular the programme will play a role in the achievement of the *implementation of political/legislative timetable*. This programme also relates to the Governance Sector Outcome Team, Outcome 1: *strengthened electoral processes in Iraq*, targeting specifically Output 1.1: *increased institutional capacity of IHEC to independently carry out elections*. By strengthening the institutional resources of the IHEC and its personnel, it will be possible to help ensure that the electoral events to be conducted in Iraq in the longer term will be carried out in an optimal manner. The improvement in IHEC’s overall capacity will also assist in ensuring that future electoral events will be carried out in a transparent and efficient manner and in respect of Iraq’s international obligations such as those arising from the United Nations International Covenant on Civil and Political Rights to which Iraq is a signatory country.

From 2011, the UNCT will operate under the overall strategic programme framework of the United Nations Development Assistance Framework (UNDAF) for Iraq 2011-2014, which describes the UNCT response to priorities in the national development framework.

In order to do this, the programme will have recourse to the technical expertise of UNDP, UNOPS and UNAMI whose staff have been continuously and successfully operating in Iraq and working closely with the IHEC. This will help the programme ensure best value for money in procurement, the optimal recruitment of experts, and the organisation of appropriate training, workshops, study tours and discussion fora for IHEC personnel in order to improve the effectiveness of IHEC institutional operations in election technical processes as well as areas such as finance, communications and information management, human resource management and field security. In addition, the IHEC itself, which has been involved in the development of this programme, will be fully and systematically engaged in all activities to ensure their long-term sustainability.

3.2 *Lessons Learned:*

There are a number of lessons learned in implementing capacity building activities, which have particular relevance to this programme. These are identified through review of previous institutional development initiatives and recent evaluations of the institutional development project G11-14, at the request of the ITF. These lessons learned include, inter alia, the following:

- It is essential that any institutional development support is developed in cooperation with the IHEC, and that the programme is both understood and accepted by IHEC personnel. This is necessary to ensure full participation of IHEC personnel and foster a sense of ownership of the programme as a whole.
- The importance of ensuring detailed definition of objectives and content of specific activities, in close consultation with the IHEC, is of high priority. This is to ensure that the objectives and content of training courses, study visits and other capacity building activities are clear to all programme partners and conducted to ensure optimal benefit to IHEC staff.
- Activity outlines on all activities must be developed with the IHEC prior to the implementation of the activity, in order to ensure feasibility, proper planning and IHEC commitment. These should include relevant information, such as time-frame, target group, number of participants and location.
- It is important to ensure that Standard Operating Procedures on implementation of institutional development activities are jointly agreed at the start of the programme and adhered to by all implementing partners and the IHEC. This is to ensure consistency of standards applied in implementation of programme activities.
- Efforts must be made to ensure establishment of standardized reporting templates, to ensure consistency and quality of reporting on technical outcomes of all capacity building, and not only training activities.
- It is also important to establish mechanisms whereby capacity building activities will be evaluated according to processes and standards agreed by the implementing agencies and the IHEC from the outset of the programme, and that the programme is also periodically evaluated and reviewed jointly by the IHEC, UNDP, UNOPS and UNAMI.
- Appropriate participant selection is key to ensuring optimal benefit of resources. It is essential to ensure that the target group for any activity is clearly defined in relation to objectives and that criteria for selection are fully understood. It is also important for the UN and IHEC to agree appropriate mechanisms for participant selection and ensure these are adhered to.
- The selection of training locations together with the suppliers of the capacity building services is also important. Serious consideration has to be given to the appropriate location for training as well as giving preference to suitable capacity building suppliers in Iraq itself or in the immediate region.
- Timing of activities is key to maximizing impact of institutional development initiatives. This includes ensuring that adequate time is available for appropriate follow up and IHEC staff are able to fully focus on assimilation of outcomes into working practices.
- Best practices from previous capacity building activities indicate that training inputs are most effective when planned with designated periods to exercise these skills and put them into practice in the

workplace. Work placements for a small number of staff for longer periods are also considered particularly effective in consolidating learning.

- It is essential to ensure that the workplan remains flexible and is continually reviewed according to new capacity assessments, electoral lessons learned activities and requirements of the electoral calendar. The workplan must be modified as necessary on an ongoing basis, evolving to take into account any new developments and institutional development requirements.

These lessons learned have been fully incorporated into programme design and will be monitored through establishment of the Programme Board as a programme management body comprised of the four primary stakeholders. Additionally, the programme aims to initiate activities by a seminar whereby lessons learned, best practices and the modus operandi for programme implementation will be discussed and agreed cooperatively, and fully incorporated into standards and procedures for delivery of capacity building activities.

3.3 *Assessment of Cross-cutting Issues:*

a) Human Rights

By aiming to enhance electoral processes in Iraq, this programme directly promotes Article 21 of the Universal Declaration of Human Rights, which states:

- (1) Everyone has the right to take part in the government of his country, directly or through freely chosen representatives.
- (2) Everyone has the right of equal access to public service in his country.
- (3) The will of the people shall be the basis of the authority of government; this will shall be expressed in periodic and genuine elections which shall be by universal and equal suffrage and shall be held by secret vote or by equivalent free voting procedures.

Given the role of the IHEC with respect to the administration and management of electoral processes in Iraq, the benefits to the Iraqi public in ensuring that elections are conducted in an open and transparent manner are clear. The institutional development support that the IHEC will receive will enable it to fulfil its mandate in a more effective manner and thus help ensure that all Iraqi citizens can participate fully in forthcoming electoral processes. This will also hopefully encourage all Iraqi citizens, including the more disadvantaged and marginalized, to take part actively in electoral processes and thus ensure the full exercise of their democratic rights and the establishment of Rule of Law which will as a result aid the promotion of human rights.

Additionally, the programme contains a component which assesses appropriate inclusion of IDPs and returnees in electoral processes (Output 1.3) for future elections, including analysis of IDP data and turnout figures, review of how IDP/returnee data can best be captured and managed in the voter registry, and evaluation of public information messages for IDPs.

b) Gender

Gender issues have been mainstreamed throughout the programme and will be incorporated into all activities. Gender equality principles will be considered in all recommendations to the IHEC on policy and processes. Gender considerations will be particularly relevant in the area of human resources management, included under Output 1.2 ‘Improved institutional management structures and practices’, whereby the IHEC recruitment and staffing policy must at minimum be in line with the gender-relevant provisions for public servants in Iraq.

Additionally, it is expected that both men and women will benefit from the proposed programme activities. Although, the selection of the participants in capacity building activities is the responsibility of the IHEC and will be carried out based on the needs identified by the IHEC, earlier phases of the programme have promoted inclusion of participation of women in agreed capacity-building activities, appropriate to the defined target

group. In this manner, the programme will be able indirectly to contribute to the achievement of MDG3 'promote gender equality and empower women'.

In the broader context of access to electoral processes, the programme's institutional development activities aim to enhance awareness of how to ensure all target groups, including women, have equitable access to electoral processes and how to promote full participation. Promoting women's access is a specific component of IHEC's public outreach for electoral events and this will be assessed in the programme as part of the planned review of an IHEC public outreach campaign. Additionally, results of a recent survey on women's access to electoral information and electoral processes will be reviewed and incorporated into the IHEC's public outreach strategy.

The UNDP Gender Advisor will be consulted to ensure inclusion of gender considerations throughout the implementation of the programme and promotion of gender issues where appropriate.

c) Key Environmental Issues

This programme does not entail any significant environmental risks, and environmental concerns do not fall directly within the framework of this programme.

d) Employment Generation

Employment generation does not fall directly within the framework of this programme, as this programme is focused instead on institutional development support to the IHEC. However, certain short-term consultancies or service provision contracts may take place during the programme's actual implementation phase. The programme will aim to utilize Iraqi trainers and service providers wherever possible.

3.4 Agency Experience in Iraq/in the Sector

The responsibility for specific programme activities has been assigned to the participating UN offices based on their respective mandates, relevant experience and capacity to implement.

UNDP

UNDP has been actively engaged in Iraq since 1976, with a broad portfolio covering sectors of Recovery and Crisis Prevention, Poverty Reduction and MDGs, Democratic Governance, and Environment and Energy.

As the lead agency of the UNCT Governance Sector, UNDP is currently managing 20 active projects in the areas of constitutional processes, elections, public sector and public administration reform, aid management and coordination, independent media development, and strengthening accountable and responsive governing institutions. Projects include support to institutional development for a number of government bodies of central and local governance, such as parliamentary development, the Ministry of Planning and the Supreme Board of Audit, amongst others.

UNDP is the specialized UN agency for elections, working under the global mandate and agreed memorandum of understanding with UN EAD. In the area of electoral support, UNDP has been extensively involved in providing technical support and assistance to the IECI/IHEC since its establishment in 2004. In line with the policy to achieve a balance between supporting event-specific election assistance and promoting sustainable electoral systems and processes, this has included ongoing provision of technical expertise to the development of the IHEC and in support of its immediate electoral operational activities. Current projects include provision of technical assistance through international electoral experts, capacity building support for the IHEC and promotion of enhanced media coverage and monitoring of electoral processes.

UNOPS

UNOPS began operations in Iraq in the late 1990s and the structure of its current Iraq Operations Centre was established in 2003. The total budget value of UNOPS operations in Iraq since 2004 exceeds USD 216 million. In the implementation of this project portfolio, UNOPS has partnered with multiple stakeholders, including more than 150 Iraqi NGOs, many of which have also received significant capacity building support.

UNOPS current project portfolio includes 22 active projects with an annual budget in 2009 of USD 52 million. IQOC has three technical project implementation units in Baghdad, Basra, and Erbil.

UNOPS currently has six active projects within the UNCT 'Governance' sector. These are in the areas of electoral support, the constitutional review process, human rights and assistance to the Secretariat of the International Compact with Iraq and to UNAMI.

UNOPS is mandated to provide project management services to the UN, international financial institutions, bilateral donors, non-private and non-profit entities, and governments. In the area of electoral support, UNOPS has also been extensively involved in providing support to the IECI/IHEC since its establishment with ITF funding, including projects which have targeted Iraq-wide logistics and security support to the 2005 elections, communications support to the IHEC National Office and GEOs, promotion of the participation of women and youth in electoral processes, and support to civic education on electoral issues. Current projects include institutional development for the IHEC and mobilization of national electoral observer networks for electoral events in Iraq.

UNAMI Electoral Support Team

Under UN-SCR 1770 of 10 August 2007 (extended by SCR 1830, 1883 and 1936), UNAMI has the mandate to strengthen Iraq's electoral processes by providing assistance, support and advice to the Iraqi Government and the IHEC.

The UNAMI Electoral Support Team is a team of electoral experts, which implements UNEAD policy on electoral assistance under the leadership of UNAMI. UNEAD has complied strictly to the Note of Guidance on electoral assistance, established by the Department of Political Affairs of the UN Secretariat which stipulates that *"In the case of countries in which there is a residing SRSG, the Special Representative is responsible for overall political coordination"*, with the Electoral Assistance Division responsible for providing *"technical support to the focal point [UNDPA] in carrying out his functions"*.

The UNAMI Electoral Support Team has worked directly with the IECI/IHEC since 2004 providing significant assistance to its institutional development and the implementation of electoral events. UNAMI Electoral Support Team has a permanent and high-calibre presence in Baghdad and daily contact with the IHEC. It works to provide advice and support to the IHEC on an ongoing basis and provide recommendations to the IHEC on international recommended practices for electoral administration. UNAMI also heads the International Electoral Assistance Team (IEAT), a joint platform for international actors supporting the IHEC and electoral processes in Iraq, which includes UNDP and UNOPS, as well as other organisations such as UNESCO and Scuola Superiore Sant'Anna, amongst others.

4. The Proposed Programme

4.1 Programme Strategy

The programme builds upon ongoing institutional development support to the IHEC, to promote its sustainability as an independent institution, within the government structure of Iraq, and operating in a fully functioning, transparent and professional manner.

It utilizes findings and recommendations from a number of assessments of IECI/IHEC capacity that have been carried out since 2004. These are in particular the 2006 needs assessment conducted by UNEAD, which formed the basis of the 2007 capacity building programme, and a follow-up assessment undertaken by the IHEC itself in October-November 2009, with support from the executing agencies, as well as the 2009 communications assessment undertaken by UNOPS, the IHEC and UNAMI.

The programme has integrated best practices arising from implementation of the previous projects G11-14 and G11-19, recommendations from the recent independent evaluations of project G11-14 at the request of the ITF, as well as inputs from IEAT technical advisors. The programme also incorporates analysis of recommendations arising from IHEC lessons learned exercises on recent electoral events, including a range of IHEC and IEAT reports and questionnaires completed to date on the recent Council of Representatives election.

The 2009 IHEC review of capacity building needs was comprehensive in scope, with over 80 interviews conducted with the range of departments and units within the IHEC. The assessment reviewed broadly areas requiring attention to conduct future successful electoral events and recommended priorities for institutional development for the future. This assessment took place concurrently with development of this project document, with close coordination on definition of priority needs and areas for future partnership between the IHEC and the UN agencies. (See annex C, extract of the IHEC 2009 assessment, including recommendations.)

The 2009 assessment was reviewed following the Council of Representatives election and this project document was updated accordingly, as agreed with the IHEC, with the incorporation of activities involving relevant Iraqi institutional partners in electoral implementation (See annex D for an evaluation of the CoR election in relation to IHEC institutional development needs.)

The workplan for this programme will be reviewed on an ongoing basis and will continue to evolve to include any further reviews of IHEC capacity and the implementation of institutional development activities, as well as any further recommendations arising from future lessons learned activities. While the overall scope of the programme is broad, and aims to address identified needs for the institution as a whole, it is recognized that some areas may require significant inputs and others less so. Priorities for development will be agreed with the IHEC over the three year programme period and will be necessarily responsive to evolving needs. Initial priorities include management and coordination structures, including reporting, administration and finance, voter registration, legal framework and complaints, and database development (as well as media and ITC, which are addressed through other projects outlined below).

Programme activities are defined and developed on the basis of priorities identified through the above to enhance the IHEC's capacity appropriate to its current and future organisational needs, targeting both central and governorate levels. A broad range of initiatives are considered, as appropriate for each identified target area, including trainings, facilitated workshops, study visits, mentoring on technical skills, resource provision and introduction of technological advances, as well as expert review of existing systems and working practices in order to provide recommendations on their development. All activities aim to complement existing IEAT advisory support and the IHEC's own capacity building plan, as well as initiatives of other IHEC partners.

Programme methodology throughout represents an integrated approach, whereby targeted activities are complemented by ongoing technical advice and policy review as appropriate. Inputs in one area may lead to the

need to revise priorities or activities in another. Where needs are less clearly defined, further analysis will be undertaken prior to agreement on any specific activity. In the case of specific trainings, it is intended that these will be supplemented by targeted mentoring on skills learned by the IHEC and/or advisors as appropriate, to enhance consolidation of these skills into working practices. The methodology also recognizes that seminars and discussion forums, have proven to be a successful format of activity for senior management to address key policy issues.

Additionally, throughout activities, efforts will be made to enhance knowledge of alternative methodologies and available policy options. While election technical work can be seen as somewhat formulaic, technical knowledge must be adapted and applied each time to its specific context. In this respect, the IHEC's ability to determine appropriate policies and courses of action in the future would be greatly enhanced by broadening its knowledge of best practices. Work placements can offer a good means to enhance this.

Where systems development or support to improving the technological infrastructure of the IHEC is envisaged, this will require assessment of existing systems, before recommendations are agreed and prior to any targeted support in improvement or introduction of new solutions. Following this, training will be provided to IHEC staff on the usage and maintenance of improvements applied. These inputs aim primarily to result in measures which are viable and appropriate to the Iraqi context, and sustainable in the future.

This programme is also supported and supplemented by the joint UNESCO/UNDP project *Support for Enhanced Media Coverage and Monitoring of Electoral Processes*, which promotes institutional development of the IHEC, complementary to this programme and in line with IHEC capacity building objectives. This project aims to enhance media electoral processes through capacity development of three key institutions: the IHEC, the Communications and Media Commission (CMC) and journalists, so they can play their respective and complementary roles in providing stakeholders with timely, accurate and impartial information.

The UNDP component of the above project focuses specifically on building the capacity of the IHEC in media and public relations. As a current priority for the IHEC, following scheduled completion of the project, if additional inputs are deemed necessary to improve IHEC public relations policies and strategies, the workplan of this programme may be amended to include this (Output 1.3). This will be agreed through the programme's management structure and in consultation with other partners as necessary.

Close coordination on all electoral support projects will be maintained through the IHEC-UN Steering Committee for Electoral Support Projects, to ensure complementary activities are implemented to optimal benefit, and without duplication or overlap.

Inclusion of other Iraqi institutions within this programme as mentioned above will be incorporated throughout the project document where relevant. While the IHEC, as an independent institution, has all the authorities relevant to implementation to elections, it does this under the supervision of the Council of Representatives and in partnership with a range of other Iraqi institutions of the legislature, judiciary and government executive bodies, which also have responsibilities in the implementation of specific aspects of electoral processes.

The range of Iraqi institutional partners with which the IHEC must coordinate to conduct an effective electoral event is extensive. The IHEC is in varying degrees reliant on these institutions for specific aspects of the electoral process. These include the Council of Representatives (CoR), which supervises the work of the IHEC, and its Legal Committee responsible for issuing electoral legislation, the Electoral Judicial Panel, which decides electoral appeals, the Accountability and Justice Commission or other body appointed by the CoR responsible for De'Baathification issues and Court of Cassation on candidate vetting, the Supreme Court responsible for certification of election results, the Ministries of the Interior and Defence in the provision of security for electoral events and information for candidate vetting, the Ministry of Education in the provision of polling staff and information for candidate vetting, the Ministry of Trade for documentation and data for updates to the voter register, the Ministry of Displacement and Migration on of information on registration of internally displaced

persons for absentee voting, the Ministry of Planning in relation to definition of boundaries for future elections and the planned conduct of a census in relation to development of the voter registry, the Ministry of Health on removal of deceased persons from the voter register, the Communications and Media Commission on electoral media regulations and monitoring of media campaigns, the Article 140 Committee on registration and voting in disputed areas, and institutions of the Kurdistan Regional Government, amongst others.

The IHEC is reliant on these other Iraqi institutions for specific components of electoral processes. However proficient the electoral commission's technical processes may be, the institutional context in which it operates can impact significantly, either positively or negatively, on the performance of the commission and the conduct of an election operation. It is therefore important that attention is paid to ensuring appropriate understanding and support of institutional partners with whom electoral processes are carried out.

This potential impact has been evident in the recent CoR election, where the role of the CoR and other Iraqi institutions has influenced electoral processes significantly on a number of issues. This resulted in a highly complex election operation, and delays to both Election Day and the certification of results.

Of particular concern was the lack of awareness exhibited by other bodies of the potential impact of the support provided can impact on the quality of the election. In this respect, efforts will be made to promote dialogue between the IHEC and relevant Iraqi institutions on these issues, and to support the IHEC in its intention to foster a greater understanding of technical election processes with government partners. It is also intended that efforts will be made to encourage the IHEC to be more proactive in coordinating with all relevant partners, and in exchanging technical opinions. This is with an aim of promoting a clearer understanding of the importance of electoral timelines on quality of election processes, and the technical implications decisions may have.

The programme therefore assumes electoral institutional development, in its broadest sense, encompasses support to development of the structure and working practices of the organisation itself, the institutional context in which it operates and in which elections are managed, and the development of human resource capacity to plan and implement electoral events. With this in mind the programme has been designed around one outcome and three outputs, to enhance the IHEC's institutional and human resource capacity to conduct future electoral events.

Outcome 1: Strengthened electoral processes in Iraq

Output 1: IHEC has strengthened institutional framework and organizational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution

This addresses the need for coherent functioning of an institution, which provides the framework that enables staff to work at their optimum level and utilize their skills effectively. This includes the organization's management structures, administrative systems, internal processes and procedures, and working practices which facilitate the management of electoral activities.

This also addresses the institutional environment, or broad context with appropriate legal, policy and institutional frameworks, within which electoral processes are carried out, and the transparency of processes to stakeholders to whom the IHEC is accountable.

Output 1.1: IHEC has improved institutional transparency and accountability

The IHEC is a professional, governmental, independent, neutral and autonomous institution, subject to the supervision of the Council of Representatives. It performs its work according to article no. 102 of the Iraqi Constitution and Law no. 11 of 2007 on the Independent High Electoral Commission. It has all the authorities relevant to electoral events, including ensuring fair and transparent implementation of elections.

As such, the IHEC has a significant responsibility to the government and people of Iraq, to ensure mechanisms are in place to protect the integrity of electoral processes, and hence ensure the trust of all stakeholders. In order to do this, an electoral commission must have the political autonomy and professionalism necessary to administer a free, fair and competitive election, in which all political parties and candidates, and all eligible voters, can participate equally and fairly, and where election results accurately reflect the will of voters.

While the IHEC Board of Commissioners consists of representatives across the political spectrum (Shia, Sunni, Kurd, Turkoman) and was selected by a mixed CoR Committee, observed by representatives of the UN, civil society organisations and political blocs, thereby representing a political balance, it has not always been perceived as such by other political actors. It is therefore now of high priority to the IHEC to ensure that processes are sufficiently transparent for political leaders to understand the IHEC's policies and decisions with regard to electoral processes and their implementation, and for the IHEC to ensure it is fully accountable to the bodies to which it is responsible.

This component therefore aims to improve public and political confidence in the IHEC's conduct of electoral processes, by increased transparency and accountability. This includes facilitating review of the IHEC's reporting requirements to the Council of Representatives to ensure these are met in an appropriate and accountable manner, and also of other institutional mechanisms for promoting transparency and accountability to all stakeholders. Consideration of best practices will enhance this, alongside improvements in measures for publication of decisions.

The electoral legal framework is also key to fostering election integrity by protecting the principles of free, fair and competitive elections. Of particular concern in relation to the recent election is the lack of awareness exhibited by the legislature of how the timing and specific provisions of the electoral legal framework can impact on electoral timelines and quality of an election. Initiatives will therefore be undertaken, in conjunction with the CoR Legal Committee, to review the electoral legal framework, assess its impact on electoral operations, and consider recommendations for further developing a legal framework to support the conduct of future elections. This was highlighted as a priority in the briefing given by the UNAMI SRSG to the UN Security Council on 16 February 2010.

Within the broader electoral legal framework, lies the regulatory framework, developed by the IHEC for specific electoral purposes. Regulations are developed to ensure the fairness of processes and equitable participation, and Codes of Conduct are developed to prevent unethical behaviour. The IHEC Board of Commissioners and legal staff, while possessing legal knowledge and experience, have had limited exposure to best practices in development of regulatory legislation. Initiatives will therefore be undertaken to consider the purpose of and options for electoral regulations. Skills training will also be provided to IHEC staff to develop legal drafting skills for enhancement of the electoral regulatory framework.

Also central to the integrity of an electoral legal framework are the dispute resolution processes. Credible elections depend on corrections of any mistake or unlawful electoral action. Dispute resolution processes must therefore be impartial and based on prevailing law, as well as consistent and technically proficient, to foster trust in these mechanisms. The IHEC complaints process represents a key mechanism for the IHEC to take corrective action and promote trust in IHEC processes. Initiatives will be undertaken to review the complaints process for the recent Council of Representatives election, to enhance knowledge of understanding of the need for a transparent and accountable, as well as a consistent and efficient complaints resolution process.

This focus on IHEC internal processes will be complemented by initiatives to review the broader institutional framework for dispute resolution with relevant partners of the Iraqi legislature and judiciary. The recent Council of Representatives election highlighted some lack of clarity in roles and responsibilities of the various institutions, and a lack of transparency in government dispute resolution processes. These resolution processes were at times overlapping or even conflicting, presenting a challenge to ensuring the application of rule of law. Efforts will therefore be made to facilitate review of the institutional framework and legislation for dispute resolution by the relevant government bodies, and to enhancing knowledge and understanding of dispute

resolution processes. Comparative examples from other countries, including best practices and potential political consequences will be provided.

On the level of institutional integrity, this component will also support review of IHEC processes in relation to Government of Iraq regulations and procedures on administration, finance and oversight to ensure IHEC systems and practices are compliant. Training will be arranged for relevant staff at both HQ and GEO levels to ensure necessary provisions are properly understood and complied with as effectively as possible.

Another factor which impacts on the transparency of electoral processes and overall confidence in these processes is the level of IHEC engagement of external stakeholders. Elections are multi-stakeholder events and there needs to be consensus, commitment and compliance among political and electoral stakeholders at all levels. With regard to the IHEC, while greater efforts continue to be made to engage in dialogue with external stakeholders, the full benefits of partnerships and consultations with other actors is not yet realized. In order to better understand ways in which this might be further promoted, a series of seminars will be held with the IHEC and civil society organizations, political entities and observer networks to comprehensively discuss lessons learned and best practices in working with external stakeholders. It is hoped this will lead to greater understanding of the benefits of enhanced dialogue and/or partnership and concrete ideas for action.

This output component will be implemented by UNDP, with involvement of UNAMI in relation to coordination required with Iraqi partners of the legislature and judiciary, according to its role as the UN body responsible for overall political coordination in Iraq.

Output 1.2: IHEC has improved institutional management structures and practices

The 2006 EAD Capacity Building Assessment emphasized weaknesses in the IECE structure, systems and working practices, which were hampering the ability of staff to work to their potential at all levels of the organisation. It recommended that attention is paid to addressing structural inadequacies, establishing a comprehensive range of standard operating procedures, enhancing definition and understanding of roles and responsibilities, and improving coordination, communication and general management practices. The 2009 IHEC review of this assessment concluded that while improvements had been made in some areas (for example, communication with the GEOs, the holding of coordination meetings and awareness of job descriptions in some sectors), this is still one of the greatest challenges to IHEC's ability to function at its optimal capacity.

With the appointment of the new IHEC Board of Commissioners in April 2007, the primary managerial focus of the previous project in the time available before operational preparations, targeted the knowledge of the new Commissioners to equip them for their functions. Due to the subsequent changes to senior management and the recruitment of GEO Managers in 2008, specific activities defined for management of the Electoral Administration were deferred. For 2010-2013, while Commissioners will be included in management activities, and an initial induction will be organized for any new Commissioners upon their appointment, the scope of support to IHEC's institutional management will now be extended to all management levels at both HQ and GEO levels. This is with the aim of developing greater depth of management responsibility to reduce the adverse affects of potential loss of staff at senior management level, identified as necessary in both 2006 and 2009 capacity assessments of the IHEC.

A training package will be organised for senior and middle managers at HQ and GEO levels, incorporating a range of management practices such as delegation of tasks, methods of communication and presentation skills, leadership and time management. This will be complemented by ongoing advisory activities to enhance management practices on a day to day basis.

Inputs will also be made to provide guidance on identified problems relating to the IHEC's structure, slow and cumbersome administrative processes and planning practices which require greater coordination between IHEC sectors. Particular attention will also be given to facilitating enhancement IHEC coordination and

communication structures, between the Board and the Electoral Administration, between the different departments of the Electoral Administration and between the National Office and Governorate Electoral Offices. While the majority of this support will rely on provision of advice, discussion with the IHEC and development of standard operating procedures, this also includes development of and training on appropriate reporting guidelines, together with the IHEC. Throughout this, consideration will be given to possibilities for decentralization of authorities and processes to regional and governorate levels, as well as to coordination with and functions of the newly established permanent IHEC offices at district level.

Priority focus will be given to the areas of financial management, budgeting and oversight, human resources management and personnel policies, planning and information management. These are areas which, due to operational priorities, have received limited institutional development attention to date. Support will include contracting consultants to review and provide recommendations on existing policies and practices and provide support in the development of standard operating procedures. This will be supplemented by working with the IHEC to develop trainings on these internal procedures, and associated best practices.

This will also include assessment of the organisation's financial and administrative systems, to identify and implement measures to increase the efficiency and accountability of the IHEC's institutional management infrastructure. This includes financial and human resource systems, identified by the IHEC as a priority for improvement, as well as inventory and asset management. These systems are central to the IHEC's ability to provide efficient managerial support to both the day to day running of the institution at both National Office and GEO levels, as well as enabling the IHEC to provide the necessary infrastructure to implement Iraq-wide electoral events, which entail large scale staffing, expenditure and asset management requirements.

This output component will be implemented by UNDP, and will utilize the agency's experience in supporting capacity development of other Iraqi institutions within the governance sector.

Output 1.3: IHEC has enhanced electoral management policies and processes

In addition to institutional management, the effective and appropriate management of electoral processes is central to the IHEC's ability to conduct elections in a professional and accountable manner. Initially established in 2004, Iraq's electoral commission is still a relatively new institution, and still developing in its electoral processes and policies. As such, while recent elections have been gauged as relatively technically successful, there are still improvements necessary to increase efficiency and accountability in technical election processes and promote longer term sustainability in the future. Such improvements should not only improve technical management, but also lead to enhanced public trust and confidence in electoral processes as a whole.

Additionally, experience of staff has been gained almost exclusively from the conduct of electoral activities in the context of Iraq, with on-job application, or practice, of specific methods of implementation in its various sectors. As such, this limits the IHEC's knowledge of the broad range of available options for different policies or technical methods of implementation.

This component therefore aims to promote discussion and understanding of possible options, which can be applied to improve technical election policies and processes, to assist the IHEC in determining the most viable and appropriate solutions in the Iraqi context for the longer term, and to provide support in applying recommended measures for improvement. Throughout, consideration will be given to the potential role of GEOs. This is particularly important in light of potential district and sub-district elections, where servicing up to 500 constituencies will present the necessity for enhanced accuracy and efficiency in electoral processes.

A key area of focus in this is the voter registration and management of the voter register data. While it is recognized that the voter register is much improved in recent years, basing this on the Public Distribution System (PDS), as the best existing source of data available at the time, continues to present the IHEC with challenges in preparing a credible voter list for electoral events in the longer term. The IHEC's recommendation

to establish a voter register and data collection processes independent of the PDS remains a primary priority, in order to facilitate accurate management of voter data and the creation of voter lists for elections.

It will, however, take time to consider the various options in order to determine the optimal strategy, including coordination with the scheduled nationwide census and the potential role of GEOs in the process. Activities will therefore include exploring examples of relevant voter registration processes through case studies presented in discussion forums or study visits, assessment of possible operational policies and development of appropriate policies and processes. This will be supplemented under Output 3 by assessment of the technological infrastructure and introduction of feasible solutions in the Iraqi context as necessary.

A study will also be undertaken to analyse IDP data and turnout in the recent CoR election, to establish an accurate picture of IDP numbers and voting patterns. This is in order to reassess the most appropriate policies and mechanisms for inclusion, and formulate an appropriate approach to IDP voting in future elections.

Initiatives will also be undertaken to assess and improve processes for management of political entity and candidate data, at both National Office and GEO level, in order to ensure accountability and increase efficiency to respond to the increased volume for district and sub-district elections.

This component will also address the IHEC's management of providing voter information on electoral events. This includes evaluation of the voter information campaign for an electoral event, in order to fine tune IHEC internal voter information policies and strategies. Training will be provided to enhance message development, and on how to facilitate briefings and seminars to impart voter information at local level. Assessment will be made of call centre services and GEO helpdesks, to analyse speed of response and scope and correctness of information provided to voters. Improvements will be introduced to systems under Output 3 as required.

Above inputs will be supplemented by the organisation of lessons learned activities following electoral events to review electoral management and practices and develop recommendations for future electoral events, as well as providing opportunities to learn about international best practices and alternative methodologies, through examination of case studies and analysis of comparative examples.

Throughout this, the role of other Iraqi bodies of the legislature and government executive, who are involved in providing direct support to the implementation of electoral processes, will be taken into consideration. Efforts will be made to encourage greater coordination with relevant partners and in exchanging technical opinions. This includes in the areas of election security, provision of polling staff and polling locations, data required to develop voter lists, candidate vetting and on development of sustainable voter registration processes.

This output component will be implemented by UNDP and UNOPS. UNDP will take the lead on aspects relating to policy development and IHEC voter education strategies, and UNOPS will be responsible for development of systems and any required training. There will be particularly close cooperation with UNAMI in engagement with other Iraqi institutional partners in design and implementation of activities.

Output 2: IHEC has enhanced human resource capacity to effectively fulfil its roles and responsibilities at both central and governorate office level,

This focuses specifically on development of staff of the IHEC as its essential resource in conducting any electoral activity. This includes inputs to improve the level of staff skills, knowledge, understanding and access to information, which enables them to perform their functions effectively.

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

With the IHEC still a relatively new institution, initial IEAT capacity building support over the past three years to IHEC capacity building strategies has centred on facilitating integration of the Capacity Building Department into the IHEC structure to enable the department to fully carry out its remit, introducing standardized internal mechanisms for development and implementing activities, ensuring basic quality control tools are in place, and supporting the initiation of activities in support of a number of sectors of the IHEC.

Specific focus will now be given to taking this through the next steps, in aiming to develop the skills and knowledge of the team members of the department itself to ensure more sustainable outcomes. This is to enable the department to better formulate its own capacity building strategy to meet the needs of the IHEC, improve internal trainings delivered by the department to IHEC staff, and improve electoral resources for the institution. It is thereby intended that the services the department may be able to offer to IHEC staff will be improved.

Activities will include providing guidance in the development of specific electoral training programmes and in training techniques. Study visits and research initiatives will be organized to enhance knowledge of capacity building methodologies and best practices from other capacity building programmes, as well as introduce the IHEC to the concepts of a professional development programme. Comparative resources will be provided to enhance the IHEC library of resources (electronic and hard copy). Arrangements will be made to enable full BRIDGE accreditation for an adequate number of IHEC staff in all regions, so they are authorized to use BRIDGE materials, and utilize these materials in delivering their own trainings to IHEC staff and external stakeholders. This will complement ongoing advisory support to the department.

A challenge inherent in capacity building activities is that it is difficult to assess the extent to which activities actually develop an institution's human resource capacity. While activities can in themselves be evaluated by feedback, tests and statistical analysis, overall capacity development can only be gauged over time, and in relation to how outcomes of activities lead to subsequent application of knowledge and skills or improvement to the institution's structural framework and working practices. Particular focus will be given to reviewing with the IHEC best practices in follow up to activities and developing a framework and tools for ongoing evaluation of capacity development.

In addition to this, tools and mechanisms to standardize development and implementation of activities are important to the smooth running of activities. In order to facilitate activities under this entire programme, the programme will be initiated by a workshop to establish IHEC procedures and joint standards of implementation of capacity building activities. The relative success of the programme and its best practices will then be jointly evaluated towards the end of the programme cycle.

Furthermore, electoral management bodies must attempt to mitigate tendencies for qualified and experienced staff to move to better paid positions in other organizations, and the consequent loss of institutional memory. Focus will therefore be given to assessing options for development of an internal IHEC professional development programme, and exploring these options through examples both inside and outside Iraq.

Activities directly targeting development of the IHEC's Capacity Building Department will be implemented by UNDP. Activities relating to development and review of this programme will be implemented jointly by both UNDP and UNOPS, in cooperation with UNAMI and IFES where applicable.

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

The IHEC's conduct of a number of electoral events over the past two years must be acknowledged as a success. As well as representing a significant achievement, it has provided the IHEC with broad opportunities for learning through practical experience. This, together with ongoing guidance provided by international advisors and targeted capacity building inputs, has led to overall improvement in staff technical knowledge and skills throughout the organisation. However, there are still areas which require further development for IHEC staff to effectively fulfil all functions required for a wide scale electoral operation without advisory support.

While technical skills was a target of support in the two previous capacity building projects, there are areas which require more advanced training for staff to complete tasks without international assistance. There are also sectors of the IHEC where high staff turnover until 2008 has resulted in a relative lack of experience in relation to other sectors of the IHEC. Additionally, while operational priorities have led to on-job practice, this would be well supplemented by some focused theoretical learning, and opportunities to see how skills can be further developed and utilized to their maximum.

This component therefore aims to target specific areas requiring improvement for conduct of future electoral activities, to reduce reliance on external inputs. These include areas of technical skills, such as database development, where staff skills have increased over the past three years to the level where database developers can maintain the voter registry, but further improvement is required for staff to be able to develop software from inception. The graphic design unit was initiated in 2007, and while graphic designers are able to undertake much of the work independently, ballot and electoral form design is a highly specific skill where greater experience and skills enhancement would be of benefit. The need to engage contractors to implement specific tasks for electoral events has also identified project management as an area for targeted skills development, to enhance abilities to define and manage activities where contractors will be hired by the IHEC. Warehouse management and security risk assessment are also areas where the IHEC requests further skills development.

To increase skills and experience, targeted trainings will be organised and customized for IHEC's specific needs. These will take place alongside ongoing advisory support to enable application of skills learned. Training will be followed by periods of mentoring by international advisors to ensure skills learned are practiced and consolidated into working practices. Priority areas for support are database development, procurement, warehouse management and stock control, translation, graphic design and field security.

Activities will require the development of terms of reference based on identified needs, identifying (for example by competitive process) and contracting regional training institutions or companies and experts to conduct these activities, and providing logistics support to ensure that trainings are provided to the satisfaction of the IHEC.

This output component will be implemented by UNOPS, utilizing its specialism in providing project management services in procurement, recruitment and contracting.

Output 3: IHEC has improved technological capacity to manage electoral processes in a sustainable manner

This focuses on the technological capacity of the IHEC with the aims of improving its technological infrastructure and systems. These are essential for ensuring the efficient, accurate and accountable management of technical electoral and organizational processes in Iraq. The improvement of existing systems as well as the introduction of appropriate technological advances to electoral and managerial systems will also promote longer term sustainability of the technological infrastructure of the IHEC in the future.

During recent electoral cycles, a number of problems were noted with regards to technical management, including specific technological aspects, of electoral processes. These led to both delays in completion of election processes, as well as concerns over the quality of data. While much effort has been made to ensure adequate systems are in place to create voter lists and therefore facilitate election results, there has not been a comprehensive assessment of available options to determine the most viable and appropriate sustainable technological solutions for the longer term.

This output therefore aims to assess existing technological processes and available options, determine appropriate solutions for the Iraqi context and improve systems in order to enhance the IHEC's capacity to manage electoral processes in Iraq. In particular, activities seek to introduce improvements to increase accuracy and efficiency, which will not only enhance technical management but also lead to enhanced public trust and confidence in electoral processes as a whole.

Areas identified for support are:

- i. Technology for voter registration, to facilitate longer term solutions in the accurate management of voter data and creation of voter lists. This may include database management software for storing and manipulating data, and imaging technologies that can be used for data entry, identification needs, data matching and data recognition. Technology needs will be determined in conjunction with operational policies for the capture and maintenance of voter data, and other government policies involving population data.
- ii. Tallying of results, including recording and consolidating votes, to ensure accuracy and accelerate the timeliness of publication of results. Research may be undertaken into options for consolidation of results at a regional level.
- iii. Geographic information systems (GIS) for mapping constituency and geographic data, for accurately assigning voters to geographic polling locations, and improving logistic and security operations.
- iv. Technology to improve voter information through call centre services.

Support will incorporate, as required:

- Assessment of existing systems, and assessment of available technological options and their appropriateness for sustainable IHEC management of processes
- Improvement to existing systems, or introduction of new systems to enhance efficiency
- Procurement and installation of new technology as relevant
- Provision of training of IHEC staff on the usage and maintenance of systems improvements.

A priority focus of this output is also area of information technology and communications. Following completion of the UNOPS project *Provision of Communication Support and Technical Assistance to the IHEC at the HQ and Governorate Electoral Office levels*, a joint communications assessment was conducted by UNOPS, UNAMI and the IHEC. This identified the need for a further streamlining and redesigning of certain components of the IHECs communication systems in order to ensure their effective functioning, plan for a potential increase in requirements for forthcoming major electoral events, and improve staff capacity to maintain these systems at both HQ and GEO level. Additionally, the assessment identified the need to establish a solid disaster recovery plan given the location of critical equipment and systems at IHEC HQ, and the paramount importance to ensure business continuity under all circumstances. With ITC central to the IHEC's infrastructure, and key to operational communications between HQ and the governorate offices, these needs will be addressed through communications contracts, training and advisory support.

Annex B to this document provides an initial workplan, which details breakdown of planned activities for all sectors of the IHEC.

The programme strategy outlined above, through all outputs, is intended to represent a last substantial initiative addressing the broad scope of institutional development support, with future support focused more on fine-tuning specific capacities or targeted areas as required.

4.2 *Programme Objectives and Implementing Partners Respective Responsibilities*

The programme's objectives have been designed in such a manner as to best support the IHEC's institutional development in terms of its capacity to conduct ongoing electoral events and contribute to long term organisational goals, without jeopardizing the impact of the programme on forthcoming electoral events. The programme is also structured to offer support to pre-existing institutional systems and assist in their streamlining and upgrading where required. Activities will complement capacity building initiatives undertaken by the IHEC, and by other partners (such as IFES).

UNDP and UNOPS will be the executing agencies for this programme and will therefore be responsible for the organisation of all programme activities. Responsibilities for programme outputs and their components have been agreed on the basis of the respective mandates and experience of the two organisations.

UNDP, as the primary agency responsible for institutional development support within the UN system, will be responsible for those areas which focus on the managerial and institutional development of the IHEC, including promotion of institutional transparency and accountability. UNDP's programmatic links and relationships with other government bodies within Iraq may be utilized to enhance this. Additionally, as the specialized UN agency for electoral support working under the agreed MoU with EAD, UNDP will harness its regional and global links in providing activities that raise awareness of international electoral best practices, and increase understanding of the different options for electoral processes.

UNOPS, as the agency mandated to provide project management services to the UN and other institutions, will be responsible for activities which require procurement, contracting and recruitment services. This includes provision of trainings on technical and support staff skills, which depend on appropriate selection and contracting of suitable service providers. According to its own specialization, UNOPS will also undertake the majority of procurement activities for items of technology and equipment, and support improvements to the IHEC's infrastructure, in terms of both assets and communications structures.

Based on its mandate extended through SCR 1936, the role of UNAMI will be to maintain technical oversight and provide technical input through its advisors. This will include management of the balance in focus between institutional development and operational support to the IHEC. UNAMI advisors will work closely with UNDP and UNOPS in the development and implementation of activities relating to their respective areas of expertise.

The programme objectives, together with UNDP/UNOPS respective responsibility for their realisation, are outlined in the workplan and results framework below. As the lead agency, UNDP will undertake overall coordination of the programme, under the technical oversight of the UNAMI Chief Technical Advisor.

The IHEC, through full partnership with the UN in the Programme Board will be actively engaged in implementation of the programme. The Programme Board will determine all implementation arrangements, including the duration, timing and location of each activity, the mode of implementation including service provider if relevant, and the target group and agenda. IHEC will in addition be responsible for internal coordination on activities, such as communicating with participants before and after an activity. Additionally, it is anticipated that IHEC staff will be present at activities, wherever possible, not only as participants but as part of a joint IHEC-UN support team for each activity, to assist in facilitation and organisation of each facility.

There may be activities also jointly implemented with other partners, such as UNESCO and IFES, as well as national or international NGOs or private companies. Roles will be determined on a case by case basis.

4.3 *Programme Beneficiaries*

The capacity building support provided to the IHEC through this programme will be open for all personnel working throughout the IHEC, including the Board of Commissioners, senior and middle management and all staff of both National and Governorate Electoral Offices (currently around 1,700 staff in total). Beneficiaries would therefore include both all IHEC staff who will benefit from the improved institutional capacity of the IHEC in its operations, and also those personnel who participate in the programme's specific capacity building activities.

At a secondary level, all potential Iraqi voters, who would benefit from an enhanced Iraqi electoral process in the future, will benefit from institutional development of the IHEC. A more effective, efficient, transparent and accountable performance of the IHEC will facilitate equitable participation of all Iraqi voters in free and fair electoral processes and the enhancement of democratic processes in Iraq.

Table 1: Results Framework and Indicators

Programme Title:	Continuation of Institutional Development Support to the IHEC	
NDS/ICI priority/ goal(s):	Strengthen good governance and improve security	
UNCT Outcome	Strengthened governance, institutions and process for political inclusion, accountability. rule of law and efficient service delivery	
Sector Outcome	Governance Outcome 1: Strengthened electoral processes in Iraq	
JP Outcome	Strengthened electoral processes in Iraq	NDS: Strengthen good governance and improve security ICI: 3.1.2 Implementation of political/legislative timetable

JP Outputs	UN Agency Output	UN Agency	Partner	Indicators	Source of Data	Baseline Data	Indicator Target
JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution	1.1 IHEC has improved institutional transparency and accountability	UNDP	IHEC	1.1.1 CoR reporting requirements reviewed with the IHEC	IHEC reports to CoR & feedback from CoR	No	Yes
				1.1.2 Board decisions published in Kurdish and Arabic	IHEC website	Some	All
				1.1.3 IHEC electoral regulatory framework reviewed	Applicable regulations; Review; Capacity building activity reports	No	Yes
				1.1.4 Electoral legal framework reviewed in cooperation with CoR Legal Committee	Applicable laws and regulations; Review;	No	Yes
				1.1.5 IHEC complaints process reviewed	Review	No	Yes
				1.1.6 Institutional framework for dispute resolution reviewed in cooperation with CoR Legal Committee, AJC, EJP	Applicable laws and regulations; Capacity building activity reports	No	Yes
				1.1.7 IHEC processes reviewed in relation to GoI regulations and procedures (admin, finance, contracts)	Review	0	3
				1.1.8. Number of capacity building activities ² organised on transparency, accountability and legal framework	Capacity building activity reports	0	19
				1.1.9 Number of personnel (male/female), representatives of relevant Iraqi partner institutions and external stakeholders engaged in capacity building activities on transparency, accountability and legal framework	Capacity building activity reports	0	340 ³ (20% female) ⁴
				1.1.10 Percentage of participants satisfied with the relevance and usefulness of the activity	Participant post activity assessments	n/a	80%
				1.1.11 Number of consultants providing technical support to IHEC on improved transparency and accountability	Consultant attendance sheet	0	5

² Capacity building activity' refers to training, study visit, workshop, seminar, roundtable or election lessons learned event.

³ Number of participants is actual number of participants in each activity. In some cases one staff member may participate in more than one activity over three years and will be counted as a participant each time

⁴ Indicator target is 20% female participation for each activity.

JP Outputs	UN Agency Output	UN Agency	Partner	Indicators	Source of Data	Baseline Data	Indicator Target
JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution	1.2 IHEC has improved institutional management structures and practices	UNDP	IHEC	1.2.1 IHEC SOPs drafted (finance, human resources, information management, administration approval processes)	SOPs	n/a	5
				1.2.2 IHEC reporting guidelines drafted	Reporting guidelines	No	Yes
				1.2.3 IHEC finance, human resources and inventory management systems assessed and upgraded	System assessment reports IHEC finance, human resources and inventory management systems	0	3
				1.2.4 Number of management capacity building activities ⁵ organised for enhancement of management structures and practices	Capacity building activity reports	0	19
				1.2.5 Number of personnel (male/female) engaged in management capacity building activities	Capacity building activity reports	0	400
				1.2.6 Percentage of participants satisfied with the relevance and usefulness of the activity	Participant post activity assessment	n/a	80%
				1.2.7 Number of consultants providing technical support to IHEC to improve institutional management structures and practices	Consultant attendance sheet	0	5

⁵ Capacity building activity' refers to training, study visit, workshop, seminar, roundtable or election lessons learned event.

JP Outputs	UN Agency Output	UN Agency	Partner	Indicators	Source of Data	Baseline Data	Indicator Target
JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution	1.3 IHEC has enhanced electoral management policies and processes	UNDP (lead) and UNOPS	IHEC	1.3.1 Assessment of voter registration policies, operational processes and systems completed, in cooperation with relevant Iraqi government bodies	Assessment report	No	Yes
				1.3.2 Study of IDP data and voting patterns completed, in cooperation with MoDM	Assessment report	No	Yes
				1.3.3 Systems for managing political entity and candidate data assessed and upgraded	Assessment report	No	Yes
				1.3.4 Voter information campaign evaluated	Evaluation Report	No	Yes
				1.3.5 IHEC GEO helpdesk and call centre services assessed and improved	Assessment report and procurement documents	No	Yes
				1.3.6 Number of capacity building activities ⁶ held to enhance electoral management policies and processes	Capacity building activity reports	0	27
				1.3.7 Number of personnel and representatives of relevant Iraqi partner institutions (male/female) engaged in capacity building activities to enhance electoral management policies and processes	Capacity building activity reports	0	450
				1.3.8 Percentage of participants satisfied with the relevance and usefulness of the activity	Participant post activity assessment	n/a	80%
				1.3.9 Number of consultants providing technical support to the IHEC to enhance electoral management policies and processes	Consultant attendance sheet	0	4

⁶ Capacity building activity' refers to training, study visit, workshop, seminar, roundtable or election lessons learned event.

JP Outputs	UN Agency Output	UN Agency	Partner	Indicators	Source of Data	Baseline Data	Indicator Target
JP Output 2 IHEC has enhanced human resource capacity to effectively fulfil its roles and responsibilities, at both central and governorate office levels	2.1 IHEC has enhanced internal capacity building and professional development strategy	UNDP (lead) and UNOPS	IHEC	2.1.1 Internal Capacity Building Department procedures and evaluation tools developed by IHEC	Internal procedures	No	Yes
				2.1.2 Number of personnel (male/female) using resources provided to the IHEC resource centre (books, publications)	IHEC resource centre	0	50
				2.1.3 Number of capacity building activities ⁷ organised for IHEC CB personnel	Capacity building activity reports	0	8
				2.1.4 Number of IHEC CB personnel (male/female) engaged in capacity building activities	Capacity building activity reports	0	67
				2.1.5 Percentage of participants satisfied with the relevance and usefulness of the activity	Participant post activity assessment	n/a	80%
				2.1.6 Number of capacity building activities ⁷ organised by IHEC CB Department	Capacity building activity reports	n/a	TBD by IHEC
				2.1.7 Number of personnel (male/female) engaged in capacity building activities organised by IHEC CB Department	Capacity building activity reports	0	TBD by IHEC
				2.1.8 Number of personnel (male/female) fully accredited as BRIDGE facilitator	Capacity building activity reports	0	4
				2.1.9 Number of consultants providing support to the IHEC in delivery of capacity building activities	Consultant attendance sheet	0	8
	2.2 IHEC staff have improved technical skills and knowledge to fulfil their functions effectively	UNOPS	IHEC	2.2.1 Number of capacity building activities ⁷ organised to enhance technical skills	Capacity building activity reports	0	15
				2.2.2 Number of personnel (male/female) engaged in capacity building activities to improve technical skills	Capacity building activity reports	0	298
				2.2.3 Percentage of participants satisfied with the relevance and usefulness of the activity	Participant post activity assessment	n/a	80%
				2.2.4 Number of personnel (male/female) trained in use of graphic design and translation equipment	Capacity building activity reports	0	10
				2.2.5 Number of consultants providing technical support to improve IHEC staff technical skills	Consultant attendance sheet	0	5

⁷ Capacity building activity' refers to training, study visit, workshop, seminar, roundtable or election lessons learned event.

JP Outputs	UN Agency Output	UN Agency	Partner	Indicators	Source of Data	Baseline Data	Indicator Target
JP Output 3: IHEC has improved technological capacity to manage electoral processes in a sustainable manner	3.1 IHEC has improved Technological capacities to support electoral processes in a sustainable manner	UNOPS	IHEC	3.1.1 Number of technological assessments completed	IT and Communications assessment reports	0	2 (IT and communications)
				3.1.2 Voter registration systems and equipment upgraded	Voter registration systems and procurement documents	No	Yes
				3.1.3 GIS system developed	GIS system and procurement documents	No	Yes
				3.1.4 Number of personnel (male/female) trained on the usage and maintenance of IT systems	Capacity building activity reports	0	252
				3.1.5 Percentage of trainees passing the end of training technical test	Training report	n/a	80%
				3.1.6 ITC Disaster Recovery Plan is developed	ITC Disaster Recovery Plan	No	Yes
				3.1.7 A strategy for improving data entry centre processes is developed	Strategy document	No	Yes
				3.1.8 Number of IHEC staff participating in a study visit on effective and efficient tabulation of results	Capacity building activity report	0	8
				3.1.9 IHEC call centre systems assessed and upgraded	Assessment report and procurement documents	No	Yes
				3.1.10 Number of consultants providing technical support to improve IHEC's IT communication and technology	Consultant attendance sheet	0	3

6. Management and Coordination Arrangements

6.1 Programme Implementing Agencies

The programme will be implemented as part of the portfolio of support, advice and assistance activities extended to the IHEC by the International Electoral Assistance Team (IEAT). The IEAT is headed by the Chief Technical Advisor (CTA) of the UNAMI Electoral Support Team. Various UN agencies, offices and programmes are members of the IEAT. These are currently UNDP, UNOPS and UNESCO. UNIFEM has also participated in the IEAT when relevant.

UNDP and UNOPS will be the executing agencies, and therefore responsible for the implementation of all programme activities according to the workplan, standards and procedures agreed upon with the IHEC and UNAMI, and in line with UNDP and UNOPS financial and administrative policies, rules and procedures for contracting, procurement and recruitment. Both agencies will provide narrative and financial progress and final reports to the funding source UNDG ITF as per the Memorandum of Understanding signed with the UNDG's Administrative Agent for the ITF.

Based on their respective mandates, UNDP will implement those activities that focus on the managerial and institutional development of the IHEC, and UNOPS will be responsible for activities that mainly require procurement, contracting and recruitment services. As the lead agency, UNDP will undertake overall coordination of the programme, under the technical oversight of the UNAMI CTA.

While not an implementing agency, the role of UNAMI, based on its mandate extended through SCR 1936, is to coordinate and provide overall technical oversight of all UN electoral support activities in Iraq. UNAMI will therefore maintain technical oversight of the programme and provide detailed technical input through its advisors. This will include management of the balance in focus between institutional development and operational activities arising from the constantly evolving electoral calendar.

Where necessary, external consultants and specialists will be contracted for specific targeted activities. Private contractors or NGOs may also be contracted to provide specified services and implement components of the programme. These will work closely with the implementing agencies, UNAMI and the IHEC as necessary, in fulfilling responsibilities. They will be selected in accordance with applicable UN rules and procedures, and in consultation with the UN-IHEC Programme Board (outlined below).

The overall performance of this programme will be supervised through the two joint IHEC-UN management forums: the Steering Committee for Electoral Support Projects and the Institutional Development Programme Board, within their established terms of reference. (See Annex E for terms of reference and diagram of management structure).

The recently established IHEC-UN Steering Committee for Electoral Support Projects is comprised of three IHEC Commissioners and three UN staff: the UNDP Programme Coordinator, UNOPS Electoral Programme Manager and the UNAMI CTA. This Committee is responsible for policy development for all IHEC-UN electoral support projects funded not only by the UNDG ITF but also any other funding sources⁸. In relation to this programme, it will be responsible for programme development, for ensuring there is no duplication between projects, for overall monitoring of progress and for policy guidance and relevant policy decisions as required. It will meet a minimum of three times a year and will approve any changes to the workplan as

⁸ Due to the involvement of other institutions, the UNESCO/UNDP project *Support for Enhanced Media Coverage and Monitoring of Electoral Processes* has a separate Advisory Board for that project, comprised of the IHEC, the CMC, UNAMI, UNESCO and UNDP. With the involvement of three of the current programme partners, coordination will be ensured. Should relevant issues arise at the IHEC-UN Electoral Support Steering Committee, these will be referred to the Advisory Board of the project *Support for Enhanced Media Coverage and Monitoring of Electoral Processes*.

necessary. It is also responsible for agreeing any significant programme adjustments if necessary. Should such revisions be agreed upon, UNDP and/or UNOPS will undertake the necessary revisions in the workplan, after obtaining the appropriate approvals from their respective managements and the funding source UNDG ITF.

The IHEC-UN Institutional Development Programme Board will be comprised of three representatives of the IHEC Electoral Administration, directly responsible for managing the IHEC's capacity building programme, and project management staff of the two executing agencies UNDP and UNOPS, and a designated staff member of the UNAMI Electoral Support Team. This will meet every three months to serve as the platform for reviewing and revising the workplan for the coming quarter for submission to the Steering Committee. It will also meet on a regular basis, as required, to develop individual activities, and plan and agree their implementation modalities, including preparation of activity outlines, development of agendas, determining location and timing of each activity and selection of any service provider. The Programme Board will be responsible for the monitoring of progress and achievements of individual outputs, the completion of quarterly progress report as agreed, and technical monitoring and evaluation of activities, including review of activity reports and evaluations. It is the function of the Programme Board also to ensure proper consultation with other IHEC senior management and working level staff in the design of the workplan.

It is intended that the Programme Board will also provide a forum for discussion with other partners working on a day to day basis with the IHEC on institutional development, such as IFES, who will be invited to attend quarterly planning meetings and other meetings as relevant.

The UN team will enter into an MoU with the IHEC, to formalize agreed coordination mechanisms, and relative roles and responsibilities in implementation of the programme.

Annex B to this document provides an initial workplan of planned activities and implementation responsibilities. This will be regularly reviewed and updated as relevant, according to new capacity assessments, election lessons learned and the electoral calendar, during the programme period.

In addition, programme results will be monitored and evaluated according to the standard procedures of both executing agencies.

On a day-to-day basis, UN agency presence in Baghdad, through the IEAT, ensures regular coordination with the IHEC on planning and implementation of activities. In order to promote coordination and regular sharing of up-to-date information between UN agencies, UNDP, UNOPS and UNAMI will actively contribute to and participate in weekly IEAT meetings where results are shared, lessons learned are addressed, activities coordinated, and partners updated on developments. UNDP, UNOPS and UNAMI will include planning and results of programme activities in their updates to the weekly IEAT Weekly Situation Analysis which is also shared with the funding source, donor organisations, the Governance Sector Outcome Team and other stakeholders.

6.2 Core Programme Teams

Programme personnel will be located both in Iraq and outside Iraq in Jordan. In order to ensure close liaison with the relevant counterparts within the IHEC, there will be national programme staff based in both Baghdad and Erbil. Other programme personnel will be required to undertake regular missions to Iraq. At all times, programme personnel will operate according to the appropriate UN procedures (including UN-DSS rules for deployment and mission travel). Should the security situation and mission structure allow, deployment locations may be reviewed.

UNDP and UNOPS will each recruit an international project manager, to manage each agency's component of the programme, under the oversight of the head of electoral programme for the respective agency. These will be supported by a national project officer and national support staff.

Figure 1: UNDP Programme Personnel

No	Position Title	International/National	Location
1	Institutional Development Programme Coordinator	International	Amman / Baghdad
2	Project Manager	International	Baghdad
3	Project Officer	National	Baghdad
4	Project Officer	National	Erbil
5	Project Associate	National	Amman
6	Finance Associate	National	Amman
7	Procurement Associate	National	Amman
8	Translator	National	Baghdad or Amman

Figure 2: UNOPS Programme Personnel

No	Position Title	International/National	Location
1	Electoral Programme Manager UNOPS (75%)	International	Amman / Baghdad
2	Project Manager	International	Baghdad
3	Project Officer	National	Baghdad
4	Project Officer	National	Amman
5	Finance Associate	National	Amman
6	Procurement Associate	National	Amman

UNDP and UNOPS will engage a number of consultants to support its programme personnel in the delivery of programme activities. These consultants will work closely with the relevant sector(s) of the IHEC, primarily in Baghdad. National consultants will be recruited wherever possible. It is currently expected that consultants will be engaged in the following areas:

No	Consultant	Duration (months)	Output	Agency
1	Human Resources	12	1.2	UNDP
2	Finance and Budget	12	1.2	UNDP
3	Voter Registration	18	1.3	UNDP
4	Management and Coordination	9	1.2	UNDP
5	Information Management	6	1.2	UNDP
6	Strategic and Operational Planning	6	1.2	UNDP
7	Website Content Management (national)	6	1.3	UNDP
8	Legal – electoral legal framework	6	1.1	UNDP
9	Legal – Gol financial, administrative (national)	6	1.1	UNDP
10	External Relations	12	1.1	UNDP
11	Electoral Management Processes Software Development	12	1.3	UNDP
12	Curriculum Development	6	1.1	UNDP
13	Technology and Communications	18	3	UNOPS
14	Graphic Design	10	2.2	UNOPS
15	Database Development	20	2.2 / 3	UNOPS
16	Data Management (national)	12	3	UNOPS
17	Geographic Information Systems	6	3	UNOPS

In addition, there will be short term consultants for specific capacity building activities, which will total up to 6 months.

The executing agencies may also be involved in monitoring and evaluating services provided by engaged service providers. Any personnel employed by contractors will come under the responsibility of the contracted organisation.

6.3 *Line ministry counterparts and management role*

The IHEC will be the direct national counterpart to the programme as in the previous projects. The working relationship with the IHEC in both previous projects has been very cooperative and productive. This high level of collaboration and teamwork will be further enhanced in implementation of the programme through the joint IHEC-UN management bodies, responsible for oversight of programme planning and monitoring.

The IHEC, together with the executing agencies, will be responsible for determining all activities and delivery methods. These will be agreed by the IHEC, prior to any activity taking place. Additionally, the programme will ensure the inclusion of IHEC and its personnel in the programme's delivery and execution of activities. This will be particularly important for successful implementation. It is hoped that activities will be jointly implemented to as great an extent as possible. Programme activities aim to complement and support IHEC's own capacity building plan, with the IHEC also undertaking its own initiatives.

Direct involvement of the IHEC is not only important in ensuring IHEC ownership, but also necessary in order to jointly determine resource requirements which go beyond the programme period (such as staffing, licences, systems maintenance etc), and which will need to be covered by the IHEC after completion of the programme.

The integrated role of the IHEC in programme management will be guaranteed through the joint IHEC-UN management forums: the Steering Committee for Electoral Support Projects and Programme Board, as described in 6.1 above. The UN partners will enter into an MoU with the IHEC, which stipulates agreed roles and responsibilities, and confirms the agreed management structure.

6.4 *Sector Outcome Team and other Cooperation*

This programme falls within the Governance Sector Outcome Team and its specific area of 'Electoral Support' and follows the SOT's matrix within the context of the UN Assistance Strategy for 2008-2010. International assistance to the IHEC is coordinated through the IEAT of which UNAMI is the lead agency. The programme will therefore keep the SOT informed on progress outputs, as UNDP, UNOPS and UNAMI have done during programme formulation, through the provision of regular updates and reports to the SOT and the IEAT and will also aim, to as great an extent as possible, to cooperate with partner agencies in these bodies in order to improve programme implementation.

Also within the SOT, through the UNAMI-led IEAT, all programme partners will ensure cooperation with UNESCO in relation to support to the IHEC on media and public relations activities, in relation to implementation of the joint UNESCO-UNDP project *Support for Enhanced Media Coverage and Monitoring of Electoral Processes*, to ensure activities are complementary, mutually supportive and not overlapping.

This programme has also been discussed with other stakeholders involved in electoral processes in Iraq, including other agencies supporting the IHEC, such as IFES and the EC, to ensure a fully coordinated approach and avoid overlap in areas of technical support.

It is envisaged that the programme will continue to coordinate and cooperate with other partners whenever possible. Periodic coordination meetings will be held with other stakeholders supporting electoral processes in Iraq, coordinated through the IHEC-UN Steering Committee for Electoral Support Projects. These meetings will act as forums for discussion with other relevant stakeholders (such as IFES, NDI, IRI, Iraqi CSOs, international donors etc) of issues relating to electoral support as a whole, including institutional development as relevant.

7. Feasibility, risk management and sustainability of results

7.1. Feasibility

Given the socio-political situation in Iraq, while there are clearly certain risks to the implementation of activities, the previous two institutional development projects are acknowledged as having been generally successful, albeit with certain lessons learned that have been incorporated into the formulation of this programme. Therefore, given the support of the Board of Commissioners, the commitment of IHEC staff and the expertise acquired by UNDP, UNOPS and UNAMI during the previous projects, it is envisaged that there should be no substantial risks to the feasibility of execution of this programme. Indeed, as a result of the carefully constructed and strong working relationships between all programme stakeholders, together with the integrated, cooperative management structure of the programme, and lessons learned from the previous projects, it is anticipated that this programme will, if anything, be more effective and efficient than previous projects in this area.

It is recognized that the realisation of programme results within the timeframe is dependent on the electoral calendar and other risks outlined below. This is why it is considered essential to have an integrated management structure and a flexible workplan to enable continuous review of institutional development priorities against a programme which aims to address needs identified across the institution as a whole.

7.2. Risk Management

1. Security

The security factor remains one of the main constraints and risks to programme implementation. While it is probably fair to say that over the past couple of years, the overall security situation in Iraq has improved significantly, the drawdown of US forces may increase the volatility of the security context. At the same time, it must be acknowledged that given the importance of electoral activities in Iraq's transition to democracy, there are certain elements which remain a serious threat to this and hence to programme personnel, beneficiaries and other partners in this programme. Therefore, the programme will be implemented in the realisation that personnel and partners could come under threat and certain restrictions will continue to apply to staff movement and the conduct of programme activities.

The programme will also take into consideration the potential security risks for international and national staff and IHEC personnel participating in programme activities. The programme will adhere to all UN-SSU/UN-DSS guidelines and instructions with respect to ensuring the security of personnel and the implementation of the programme's activities. The safety and security of all personnel will take priority over programme delivery, and flexibility will be maintained for this reason. Security factors may demand travel restrictions for participants and may result in changes to timing or location of specific activities. Activities must also take into consideration the varying security situations throughout Iraq, and higher or lower risks in certain governorates. For governorate based activities, this should not cease overall implementation of activities, as security risks in one governorate do should not prevent implementation of activities in other locations.

One important aspect of the UN's support to the electoral process is their close relationship with the IHEC, and presence on a daily basis in Baghdad, working with their counterparts. Clearly, if the security situation deteriorates to the extent that access to the IHEC National Office is limited or denied, this will impact on the ability of UN staff members to discuss the programme and its activities directly with IHEC counterparts. While reduced, however, this may still allow for UN contact with IHEC, through telephone and written communication, and efforts will be made to find alternative meeting places in appropriately secure locations. It is noted that since the start of the previous institutional development project G11-14, access has not been denied to the IHEC National Office for more than a few days at a time.

2. Current Political Situation

Following certification of results for the Council of Representatives election on 01 June 2010, the challenge lies in the expected struggle in Parliament to not only convene its first session but to form a government. The “largest bloc” has the power in the Iraqi Constitution to put forward a candidate for Prime Minister. During the election there was no single bloc campaigning which emerged as the single largest for purposes of selecting the Prime Minister. The election was fiercely politically contested and represented an extremely narrow race, with only two seats separating the two winning blocs in the 325-seat Iraqi Council of Representatives. Thus, post-election coalition formation is required and this could take several months. While the first session of Parliament started on 14 June, so far Parliament has failed to assume its duties through the first step of electing its speaker. During which time, there has been concern over who will maintain civilian control over Iraq’s security forces and on what basis a caretaker government and parliament can remain in power to address this gap. While previous talk among some political parties of a “looming constitutional crisis” now seems exaggerated, the situation does have the potential to leave Iraq without clearly empowered interlocutors for a time and this could impact any programme implementation.

Combined with concerns about the time needed to convene a new Parliament and form a new Government is the impact such delays (which some commentators are saying could be up to 180 days) could have on the planned withdrawal of US forces. It is expected that the Kurds in particular will delay any formation of a new government as it is in their own security interests to keep US forces on the ground as they provide a buffer in the disputed areas. The ability of IHEC to function, let alone conduct elections with such a backdrop may indeed provide good opportunities for capacity building, but one must be aware of the tenuous security situation caused by such political instability. The CoR focus of attention on this situation may also delay activities involving members of the CoR, until the government is formed.

3. Electoral Calendar

The electoral calendar for Iraq, following the Council of Representatives election in March 2010, is currently undefined. However, there are various electoral events which may be scheduled during the programme period, and reduce the available timeframe for programme activities.

There is talk that Kurdistan Region governorate council elections may be scheduled in the coming months, but this is not confirmed and unlikely to take place before spring 2011. Other potential elections include district and sub-district elections, which should, according to the law on provincial powers, take place six months after the governorate council elections. These elections are pending clarity on district borders and voter lists which cater for district and sub-district levels. Such elections would necessitate a comprehensive voter registration exercise, which would require significant time and resources of the IHEC. There are also possible elections for the Article 23 governorate council in Kirkuk, as well as potential referenda on the Iraqi constitution, the constitution of the Kurdistan Region, the Status of Forces Agreement (SOFA), disputed areas, or referenda on the formation of regions, as well as potential events as yet unforeseen. These may all require voter registration update processes, or full voter registration exercises for disputed areas.

While the above electoral events are not yet on the electoral calendar, the scheduling of any of these during the programme’s implementation period would necessitate a redirection of IHEC’s focus to operational preparations. This would impact on availability of staff and reduce the time available to concentrate on institutional development activities.

With the enhanced experience of the IHEC in conducting electoral events, it is intended that institutional development objectives will be aligned more closely to operational activities, in a more integrated framework. Nevertheless, the programme will need to maintain flexibility and programme partners will need to adjust the workplan and priorities according to operational requirements. The overall timeframe has been assessed as sufficient for significant progress in institutional development, given analysis of the current situation as well as past experience in implementing previous projects.

4. Support of and Cooperation with the IHEC

The overall success of this programme will clearly depend to a great extent on the level of cooperation the implementing agencies are able to achieve with the IHEC. Institutional development objectives can only be achieved if IHEC supports the planning and implementation of initiatives, and promotes participation of its staff in programme activities. In this regard, there has been significant discussion with the IHEC to agree priorities and potential activities during the development of this programme.

Cooperation will also be key not only to ensuring activities meet IHEC's own institutional development priorities but also in ensuring that implementing agencies understand the demands placed on IHEC resources by the electoral calendar and other socio-political factors. However, given the high levels of cooperation and mutual understanding that already exist between the programme's implementing agencies UNDP, UNOPS and UNAMI and the IHEC, a coordinated approach will be followed in developing an implementation schedule which will work effectively around the other demands and priorities.

A significant factor in the past in ensuring excellent cooperation with the IHEC has been the daily presence of IEAT staff in Baghdad and the consequent ability to engage in direct communication, rather than relying on 'remote coordination' through e-mail or telephone. In both programme design and implementation phases, therefore, programme personnel are able to organise meetings and hold discussions with the IHEC in order to ensure that the programme meets IHEC's expectations and needs in a sustainable manner and also identifies any areas that might require corrective action.

5. IHEC Staff Retention

Staff retention on the part of the IHEC continues to be an important factor in ensuring the success of any project or programme providing support and technical assistance to the IHEC, both in the immediate and longer term. Although this has improved over the last two years, until recently the IHEC has experienced difficulties in retaining personnel, owing to the temporary nature of IHEC employment contracts. It is hoped that this will now be largely resolved with steps taken to bring IHEC formally within the Iraqi civil service. The programme is tackling this issue directly with the human resources management support it will provide to the IHEC through engaging the appropriate external expertise to support the IHEC in defining the status of its employees within the Iraqi government structure.⁹ Furthermore, the programme will review and provide recommendations on current IHEC human resources management and personnel policies, and redevelop systems as required, in order to promote fair and professional human resource management practices and an equitable recruitment system.

Additionally, the term of the Board of Commissioners is limited to five years. As the current Board was appointed in April 2007, it is likely that this will be replaced during the lifetime of the programme. This may lead to a halt in Board decisions over the appointment period. While this may temporarily halt approval of new activities, this should not affect implementation of activities already approved, since responsibility for implementation lies with the Programme Board, which consists of technical staff of the Electoral Administration, and not Commissioners. The appointment of new Commissioners can also lead to some changes in senior management staff. For this reason, it is important that any management training targets not only those of Director General level, but also their deputies and middle management heads of section.

⁹ In early 2010, the Prime Minister's Office agreed in principle that IHEC and its staff would formally come under the Iraqi civil service. This is currently pending review and approval of the IHEC organizational structure by the Ministry of Planning and Ministry of Finance. Following the Council of Representatives election, a structural review committee was established in the IHEC to assess and revise the structure for submission to the two Ministries.

6. Post-election Fatigue

One risk to programme implementation relates to post-election fatigue after intense operational periods. This can relate not only to IHEC staff, but also to partner institutions and decision-makers. This can result in indifference in a post-election period to any type of electoral, political and administrative reform that may impact on election administration. A recurrent problem is the underestimation at the political level of the consequences, both financial and administrative, of decisions which are considered technical in nature (for example, to transition from one type of voter registration system to another). Efforts must be made both to maintain momentum internally within the IHEC to initiate institutional development recommendations arising from the 2009 capacity assessment and election lessons learned events while it is there, and also to seek continued dialogue with other relevant institutions to ensure appropriate support is provided and needs are met.

7.3. Sustainability of Programme Results

The primary concern of an institutional development programme is not only increased efficiency and effectiveness of that institution, but also its sustainability within the environment in which it operates. This may be particularly difficult in an environment such as Iraq, given the nature of the political and security situation. However, this entire programme is designed to enhance the institutional development of the IHEC as a sustainable institution within the government structure of Iraq, fully able and prepared to conduct electoral activities with minimal reliance on external inputs.

The programme therefore envisages the scope of institutional development as not only focusing on staff capabilities, but also on IHEC's internal management processes and the support of Iraqi institutional partners in electoral implementation as essential to sustainability. This is in addition to the need for transparency and accountability in order to gain political and public confidence in the IHEC and electoral processes as a whole.

The programme aims to target support in those areas still requiring international assistance, complementing the IHEC's own capacity building activities. Priority areas for technical support are those areas still reliant on significant international support for effective performance, with the aim of reducing the need for these inputs. As agreed with the IHEC, those activities which the IHEC is able to undertake without support will not be included in programme activities, but will be approached by the IEAT in its ongoing advisory capacity.

Particular focus is given to enhancing the capacity of the IHEC Capacity Building Department itself, in order to optimize sustainability in the longer term and reduce reliance on executing agencies (addressed in Output 2.1). This includes inputs aiming to improve the quality of internal trainings delivered by the department to IHEC staff, to enhance knowledge of capacity building methodologies and best practices, and to improve abilities to develop appropriate capacity building and professional development strategies. Trainings which may be replicated in the future by the IHEC will be developed as Training of Trainers programmes, with guidance provided in the development and initial delivery of the training programme.

For outsourced activities, where expertise outside the IHEC is required, local trainers and service providers will be utilized wherever possible, and the development of partnerships between the IHEC and local service providers will be encouraged throughout the programme. National consultants will be prioritised over international consultants, wherever suitable candidates are available.

IHEC ownership over the programme is assured through the programme's integrated management structure. All activities and their implementation arrangements are agreed through the two joint IHEC-UN management committees. Through these committees, the programme will support the IHEC in developing its relationships with other international partners and potential donors, to broaden the scope of support for future projects and endeavours.

It is noted that it is difficult to assess the extent to which activity outcomes lead to institutional development, as this can only be measured in the longer term. While activities can be assessed upon completion, overall capacity development must be considered over time, and in relation to subsequent application of skills learned. Throughout the programme, outputs will be considered in a longer term perspective, with continual forward planning, to ensure impacts do not cease after the programme's completion.

Lessons learned from previous capacity building initiatives indicate that inputs are most successful when accompanied by ongoing mentoring and advice, with periods designated for putting into practice knowledge and skills learned during capacity building activities. An integrated approach will therefore be followed, whereby targeted activities and technical guidance are mutually supportive. Significant focus will be placed on the development of appropriate evaluation and follow-up mechanisms, to try to ensure staff are able to incorporate lessons learned from activities into their working practices. This has also been identified as a priority by the IHEC during the 2009 capacity building assessment.

The UN will work with the IHEC to establish mechanisms to ensure sustainability of programme inputs. This includes ensuring any follow up activities may be assumed by the IHEC within its own budget after programme completion. Care will be taken not to undertake commitments the IHEC may struggle to continue after close of the project. This includes both financial commitments and also maintenance of systems or equipment.

The programme has therefore been specifically designed to ensure it contributes to the sustainability of the IHEC's institutional capacity, and sustainability is emphasized in all activities. The programme strategy is intended to represent a last substantial initiative addressing the broad scope of institutional development support, with future support focused more on fine-tuning specific capacities or targeted areas as required.

8. Monitoring, Evaluation, and Reporting

8.1. Monitoring and Evaluation (M&E)

a) Internal Programme M&E

Monitoring and evaluation is integral to the design of this programme and will ensure successful implementation at each stage. UNDP and UNOPS will follow up on the quality and successes of project implementation utilizing a three-pronged approach as outlined in the table below. Achievements will be tracked through the performance monitoring indicators included in the programme results framework, and will be undertaken through a range of qualitative and quantitative measures that will allow for quality assurance, ensure feedback loops are created to share lessons learned and identify any problems that may occur, and guarantee overall accountability.

<i>M&E Stakeholder</i>	<i>M&E Roles and Responsibilities</i>
Programme Management staff: Managers of Electoral Programme for UNDP and UNOPS and Project Managers for each agency for this project	<ul style="list-style-type: none"> – Programme management staff are responsible for monitoring all of the electoral activities conducted by their respective agency on a regular basis. This includes the monitoring of both technical and financial components of this project. – Programme management staff also will inspect and ensure that service providers' contractual obligations are implemented on time and stipulated services are delivered to designated beneficiaries. They will assess service providers from both operational and programmatic perspectives, ensuring that services are of the highest quality possible, while maintaining cost-efficiency and transparency. – In addition, programme management staff will participate in the M&E activities of the Project Management Committee and Steering Committee as described below.
Steering Committee Comprised of IHEC Commissioners, UNDP and UNOPS Managers of Electoral Programme, Head of UNAMI Elections Team	<ul style="list-style-type: none"> – The Steering Committee will meet at least every three months to maintain broader oversight of programme activities and achievements. – The Steering Committee specifically examines programme successes from a policy perspective. This will ensure that specific activity progress is in line with overall programme objectives, ensuring the relevance and context-appropriateness of all interventions. – The Steering Committee is also responsible for reviewing project progress reports completed by the Project Management Committee and activity workplans to ensure they are coordinated with other electoral support activities and avoid duplication of efforts.
Programme Board (Project Management Committee) Comprised of IHEC technical staff of the Electoral Administration, UNDP and UNOPS Project Managers, and a senior UNAMI staff member.	<ul style="list-style-type: none"> – The Project Management Committee will meet at least once every month and is responsible for monitoring every capacity building activity conducted under this programme to ensure quality, and appropriateness. – The Project Management Committee's monitoring activities will examine the success of each capacity building intervention, identify any problems, as well as recommend future activities where appropriate. All of the activity evaluations will utilize inputs from the participants themselves, according to agreed criteria, and by relevant UN advisors. Standards and criteria for activity assessments will be built into the planning process during the development of each capacity building intervention. This will allow the Committee to assess the activity based on pre-determined, objective indicators of success. – All Project Management Committee project progress reports and recommendations will be submitted to all partner agencies, the Steering Committee and the IHEC.

In addition to the specific M&E responsibilities outlined above, additional monitoring and evaluation activities will be conducted out as follows:

1. IEAT Capacity Building Advisors will provide M&E support to the programme to track realisation of the programme's outcome and outputs.
2. Annual review and planning exercises will be conducted each year to reflect on achievements of the previous year and identification of areas for follow up for incorporation into the plan for the following year.
3. The IHEC needs assessment will be reviewed prior to start of programme activities and rapid assessments (snapshots) will be conducted periodically with focus on specific IHEC departments or units, in cooperation with the relevant IEAT advisors and the IHEC.
4. An internal mid-term review will be conducted half-way through the programme period to review progress, consider best practices and lessons learned in implementation, and re-assess programme priorities for the second half of the programme. The mid-term review will be conducted by the IHEC, UNDP, UNOPS and UNAMI with an external facilitator.

b) External Independent Evaluation

7. Provision for an independent evaluation has been made in the budget. This will be undertaken towards the end of the programme period.
8. The programme will also be subject to UNDP and UNOPS' standard reviews and audits, coordinated through the respective HQs.

8.2. Reporting

As this programme will be executed by UNDP and UNOPS, management and oversight of the programme will be according to standard UN procedures laid out in the UNDP and UNOPS programme manual and other reporting requirements agreed between UNDP, UNOPS, UNAMI and the undg itf. All programme activities shall be carried out in accordance with this programme document, and the approved workplan.

UNDP and UNOPS will prepare periodic progress and final reports, both narrative and financial, to the funding source undg itf, according to the schedule and formats, as specified in the MOU between UNDP/UNOPS and the Administrative Agent of the undg itf.

As the lead agency, the UNDP Programme Coordinator will consolidate narrative progress and final reports from UNDP and UNOPS, so as to provide a comprehensive account of progress for the entire programme for submission to the undg itf and other programme partners.

Each agency shall submit separate financial statements and reports directly to the undg itf for expenditure by their respective agency.

The Programme Board will agree on any additional internal reports on programme implementation.

9. Work Plans and budgets

Work Plan for: Institutional Development Support to the IHEC 2010-2012

Period Covered by the Work Plan: Aug 2010 – Jul 2013

Sector Outcome: Governance Outcome 1: Strengthened electoral processes in Iraq															
JP Outcome 1: Strengthened electoral processes in Iraq															
UN Organisation-specific Annual targets	Major Activities	Time Frame (by activity)												Implementing Partner	PLANNED BUDGET (by output)
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12		
JP Output 1: IHEC has strengthened institutional framework and organisational capacity to effectively conduct electoral processes as Iraq's permanent electoral institution, established under the constitution															
UNDP/UNOPS <i>UNDP</i>	1.1 IHEC has improved institutional transparency and accountability														USD 13,755,178 <i>USD 3,638,708</i>
	Review reporting requirements with the IHEC to the CoR		X			X				X			X	IHEC, UNAMI, CoR/Legal Committee	
	Review and improve institutional mechanisms for promoting transparency and accountability to stakeholders			X	X	X	X	X	X	X	X	X	X	IHEC, UNAMI	
	Review IHEC processes in relation to GoI regulations and financial/administrative procedures and provide training to IHEC staff on this					X	X				X	X		IHEC, UNAMI, MoP, MoF, CoR Legal Committee	
	Review the IHEC electoral regulatory framework and develop skills in drafting electoral legislation			X	X	X	X	X	X					IHEC, UNAMI, CoR Legal Committee	
	Review the electoral legal framework with legislative partners		X	X	X	X								IHEC, UNAMI, CoR legal committee	
	Provide technical inputs to the enhancement of IHEC complaints resolution processes		X	X					X	X				IHEC, UNAMI, CoR Legal Committee	
	Review dispute resolution framework with institutional partners		X	X	X	X	X	X						IHEC, UNAMI, CoR legal committee, AJC , EJP	
	Organise seminars on lessons learned and best practices in working with external stakeholders	X	X	X	X									IHEC, UNAMI, CSOs, political entities, observer networks	
	Facilitate consultations with political entities on electoral regulations and procedures				X				X			X		IHEC, UNAMI, political entities	

UN Organisation-specific Annual targets	Major Activities	Time Frame (by activity)												Implementing Partner	PLANNED BUDGET (by output)
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12		
UNDP/UNOPS	1.3 IHEC has enhanced electoral management policies and processes														USD 4,981,776
<i>UNDP</i>	Assess options for sustainable voter registration processes	X	X	X	X									IHEC, UNAMI, MoP, MoT, MoDM, CoR Legal Committee, KRG	
<i>UNDP</i>	Undertake study of IDP data and voting patterns	X	X	X	X									IHEC, UNAMI, IOM, UNHCR, MoDM, MoT, CoR, CSOs	
<i>UNOPS</i>	Assess and support improvement of processes for managing political entity and candidate data					X	X							IHEC, UNAMI	
<i>UNDP</i>	Provide training and technical advice to improve voter education skills and strategies	X	X	X	X	X	X	X	X	X	X	X	X	IHEC, UNAMI	
<i>UNDP</i>	Evaluate IHEC voter education campaign						X								
<i>UNOPS</i>	Review security planning and implementation for election operations	X		X		X		X		X		X		IHEC, UNAMI, IHSCE ¹⁰	
<i>UNDP</i>	Organize seminars and discussion forums for members of the IHEC and Iraqi institutional partners on technical electoral policy and operational issues		X	X	X	X	X	X	X	X	X	X	X	IHEC, UNAMI and relevant ministries ¹¹	

¹⁰ IHSCE – Iraqi High Security Committee for Elections, consisting of MoI, MoD, ISF, NOC (National Operations Centre).

¹¹ IHEC government partners include Ministry of Interior, Ministry of Defence, Ministry of Education, Ministry of Planning, Ministry of Trade, Ministry of Displacement and Migration, Ministry of Foreign Affairs, Ministry of Health, Ministry of Finance, Communications and Media Commission, Article 140 Committee, Kurdistan Region government bodies

	JP Output 2: IHEC has enhanced human resource capacity to effectively fulfil its roles and responsibilities, at both central and governorate office levels for staff to fulfil their functions effectively														
UN Organisation-specific Annual targets	Major Activities	Time Frame (by activity)												Implementing Partner	PLANNED BUDGET (by output)
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12		
UNDP/UNOPS	2.1. IHEC has enhanced internal IHEC professional development and capacity building strategy														USD 5,748,006 USD 2,620,181
	Provide technical advice to the development of internal IHEC training programmes		X	X	X	X	X	X	X	X	X	X	X	IHEC, UNAMI	
	Provide technical advice to the IHEC and organise study visit on establishing a professional development programme							X	X					IHEC, UNAMI	
	Enable full BRIDGE accreditation for IHEC staff		X	X	X									IHEC, UNAMI	
	Procure resources for the IHEC Resource Centre	X	X	X	X	X	X	X	X	X	X	X	X	IHEC, UNAMI	
UNDP/UNOPS	Establish IHEC procedures and standards for implementation of capacity building initiatives	X												IHEC, UNAMI, IFES	
UNDP/UNOPS	Undertake quarterly reviews of workplan	X			X			X			X			IHEC, UNAMI, IFES	
UNOPS	Conduct facilitated mid term programme review						X							IHEC, UNAMI	
UNDP	Conduct end of programme evaluation												X	IHEC, UNAMI, external evaluator	

UN Organisation-specific Annual targets	Major Activities	Time Frame (by activity)												Implementing Partner	PLANNED BUDGET (by output)
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12		
UNDP/UNOPS <i>UNOPS</i>	2.2. IHEC staff have improved technical skills and knowledge to fulfil their functions effectively														
	Organise training, and provide technical support and equipment to the IHEC Graphic Design Unit			X			X			X			X	IHEC, UNAMI	USD 3,127,825
	Organise training and other technical support on procurement		X		X	X					X	X		IHEC, UNAMI	
	Organise a series of customised trainings to enhance skills in database software development		X		X	X	X		X	X	X	X		IHEC, UNAMI	
	Provide advice and technical support to improving IHEC warehouse organisation and procedures			X	X	X	X							IHEC, UNAMI, private sector company	
	Organise training and provide technical support to IHEC field coordination and security				X			X			X			IHEC, UNAMI	
	Procure equipment and resources and organise trainings to improve translation skills and resources					X	X	X						IHEC, UNAMI	
	Organise training and provide guidance on project management skills			X	X	X								IHEC, UNAMI	

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The release of programme funds will be done in three tranches, The table of disbursements, is as follows:

Participating UN Organisation	Portion from ITF Budget (US \$)	First Tranche (US \$)	Second Tranche (US \$)	Third Tranche (US \$)
UNDP	13, 947, 279	5,008,719	4,746,328	4,192,232
UNOPS	10, 914, 712	2,976,001	4,073,589	3,865,122
Total ITF Budget (US \$)	24, 861, 991	7,984,720	8,819,917	8,057,354

The release of the second and third tranches will be contingent upon the approval of the UNGD ITF Steering Committee after the review of programme progress according to the programme workplan and the achievement of 70% disbursement of funds received for the previous tranche.

CONSOLIDATED PROGRAMME BUDGET

PROGRAMME BUDGET		ESTIMATED UTILIZATION OF RESOURCES (US\$)		
CATEGORY	AMOUNT (US\$)	Year 1	Year 2	Year 3
1. Supplies, commodities, equipment and transport	1,975,000	260,000	826,667	888,333
2. Personnel (staff, consultants and travel)	8,807,700	2,938,900	3,010,900	2,857,900
3. Training of counterparts	9,062,968	3,005,413	3,237,839	2,819,716
4. Contracts	2,481,500	953,250	868,250	660,000
5. Other direct costs	1,072,355	357,469	357,443	357,443
Total Programme Costs	23,399,523	7,515,007	8,301,098	7,583,392
Indirect Support Costs	1,462,468	469,688	518,818	473,962
TOTAL	24,861,991	7,984,720	8,819,917	8,057,354

UNDP PROGRAMME BUDGET

PROGRAMME BUDGET		ESTIMATED UTILIZATION OF RESOURCES (US\$)		
CATEGORY	AMOUNT (US\$)	Year 1	Year 2	Year 3
1. Supplies, commodities, equipment and transport	25,000	10,000	10,000	5,000
2. Personnel (staff, consultants and travel)	5,234,100	1,738,700	1,810,700	1,684,700
3. Training of counterparts	5,757,663	2,162,026	1,918,070	1,677,567
4. Contracts	1,485,000	595,000	520,000	370,000
5. Other direct costs	625,088	208,362	208,363	208,363
Total Programme Costs	13,126,851	4,714,088	4,467,133	3,945,629
Indirect Support Costs	820,428	294,631	279,195	246,602
TOTAL	13,947,279	5,008,719	4,746,328	4,192,232

UNOPS PROGRAMME BUDGET

PROGRAMME BUDGET		ESTIMATED UTILIZATION OF RESOURCES (US\$)		
CATEGORY	AMOUNT (US\$)	Year 1	Year 2	Year 3
1. Supplies, commodities, equipment and transport	1,950,000	250,000	816,667	883,333
2. Personnel (staff, consultants and travel)	3,573,600	1,200,200	1,200,200	1,173,200
3. Training of counterparts	3,305,305	843,389	1,319,768	1,142,148
4. Contracts	996,500	358,248	348,251	290,001
5. Other direct costs	447,267	149,107	149,080	149,080
Total Programme Costs	10,272,672	2,800,944	3,833,966	3,637,762
Indirect Support Costs	642,040	175,057	239,623	227,360
TOTAL	10,914,712	2,976,001	4,073,589	3,865,122

Budget Narrative

UNDP BUDGET NARRATIVE

1. Supplies, commodities, equipment and transport

UNDP will procure resources for the IHEC resource centre (books, publications, equipment) of a total value of **USD 25,000**.

2. Personnel (staff, consultants and travel)

Total Personnel Costs will amount to **USD 5,234,100** including travel broken down as follows:

I. Programme Personnel

Institutional Development Programme Coordinator (International), Project Manager (International), 2 Project Officers (National), Project Associate (National), Finance Associate (National), Procurement Associate (National), and Translator (National) – **USD 2,308,500**.

II. International and National Consultants

Consultants will be engaged in the areas of Human Resources, Finance and Budget, Voter Registration, External Relations, Management and Coordination, Information Management, Strategic and Operational Planning, Website Content Management (National), Legal - electoral legal framework, complaints, Legal - GOI financial, administrative and contracts (National), Curriculum Specialist, Database Developer and for Specific Training Activities and Field Visits – **USD 1,296,000**

III. Additional Personnel Costs

Life Support, Travel Cost – DSA, Tickets (Baghdad/Amman) and Tickets for Deployment of consultants – **USD 1,629,600**

3. Training of counterparts

Total Capacity Development will amount to **USD 5,757,663** broken down as follows:

I. Study Visits

Professional development programmes – USD 80,100
Observation of polling and counting x 2 – USD 180,000
EMB management and decision making structures – USD 103,400
Best practices in developing an electoral regulatory framework – USD 80,000
Established EMB voter education department – USD 109,800
Options for voter registration systems x 3 – USD 203,400
Announcement and publication of results – USD 80,100
Certification of Results – USD 90,000
Call centre study visit – USD 40,000

II. ToT

IHEC human resources procedures and systems – USD 84,812
IHEC reporting – USD 68,180
IHEC information management procedures and systems – USD 84,812
Office administration – USD 99,812

III. Training

Best practices in human resource management x 2 – USD 183,624
Operational and strategic planning x 2 – USD 209,624
Financial management systems and practices x 3 – USD 275,598
Preparation of electoral budgets – USD 75,084
Voter education x 3 – USD 284,436
Management skills training package x 2 – USD 495,996
GEO training on facilitating seminars/briefings x 2 – USD 136,992

IV. Seminars, Workshops & Conferences

Seminar - Best practices in capacity building methodologies – USD 87,700
Seminar - Case studies on dispute resolution – USD 75,383
Seminar – Electoral Systems – USD 78,400
Seminar – Review and development of electoral legal framework x 2 – USD 189,200
Seminar - Electoral transparency and accountability – USD 89,500
Seminar - Functions of district, governorate and regional electoral offices x 3 – USD 273,648
Seminar – Regional electoral management structures – USD 94,600
Seminar – Voter registration options – USD 77,500
Seminar – Candidate vetting – USD 78,400
Workshop - Cascade training techniques – USD 99,196
Workshop - Development of capacity building training activity – USD 80,411
Elections Lessons learned conference x 2 – USD 350,600
Seminar: managing electoral campaign data – USD 90,800
Roundtable: lessons learned in working with external stakeholders x2 – USD 124,662
Seminar: best practices in working with external stakeholders x3 – USD 122,885
Seminar on development of electoral regulations and procedures x3 – USD 38,560
Seminar: legal framework for elections and political entities x3 – USD 57,990

V. Others

BRIDGE facilitator accreditation – USD 69,000
Work placement - human resources – USD 49,100
Work placement - capacity building implementation x 2 – USD 18,056
Work placement - voter education – USD 38,200
Programme Implementation – end of programme evaluation – USD 44,570

4. Contracts

Total Contract Costs will amount to **USD 1,485,000**, broken down as follows:

Upgrade of finance management systems - USD 600,000
Upgrade of HR management systems - USD 350,000
Study on IDP data and voting patterns - USD 150,000
Training Materials Development – USD 60,000
Impact assessment on CoR election voter education campaign – USD 225,000
Monitoring and Evaluation – USD 100,000

5. Other direct costs

Total Other Direct Costs will amount to **USD 625,088** broken down as follows:

Security including allocable costs – USD 250,035
Miscellaneous– USD 375,053

Indirect Support Costs

Total GMS 6.25% of programme costs will amount to **USD 820,428**

UNOPS BUDGET NARRATIVE

1. Supplies, commodities, equipment and transport

UNOPS will procure equipment for the IHEC for a total value of **USD 1,950,000** as per below

Graphic Design equipment USD 125,000
Translation equipment (dictionaries, glossaries, simultaneous interpretation) USD 75,000
Call centre equipment and software USD 100,000
Voter registration equipment and systems start up USD 950,000
GIS hardware and software equipment USD 450,000
Equipment for implementation of ITC disaster recovery plan USD 250,000

2. Personnel (staff, consultants and travel)

Total Personnel Costs will amount to **USD 3,573,600** broken down as follows:

I. Programme Personnel

Programme Manager (International 75%), Project Manager (International), four International Support Staff (10% of each), 2 Project Officers (National), Finance Associate (National), Procurement Associate (National) – USD 2,145,600

II. International and National Consultants

Four international and one national specialist will be engaged as consultant in the areas of Graphic Design, Database Development, GIS and Technology and Communications – USD 594,000

III. Additional Personnel Costs

Life Support, Travel – DSA, Tickets – USD 834,000

3. Training of counterparts

Total Capacity Development Costs will amount to **USD 3,305,305** broken down as follows:

I. Research Visits

Call centre research visit – USD 56,940
Field coordination and logistics research visit – USD 95,990
Results tabulation research visit – USD 61,010

II. Training

Advanced procurement management – USD 99,848
Basic procurement – USD 22,000
Drafting technical specifications and professional correspondence – USD 98,869
Warehouse management x 3 – USD 239,400
Database development – USD 450,800
Security risk assessment – USD 135,920
Field security planning and coordination x 2 – USD 80,920
Graphic design software – USD 167,688
Translation and interpreting skills – USD 117,260
Presentation skills – USD 116,200

Project management skills – USD 209,550
Voter registration technology training – USD 136,400
GIS hardware training x2 – USD 44,350
GIS software training x2 – USD 54,210
ITC (Software, Hardware, Installation and Engineering) x6 – USD 63,980
Training on how to use GIS for public outreach purposes x2 – USD 30,510

III. Workshops & Conferences

Workshop – Mid-term review – USD 45,470
Election lessons learned conference x 2 – USD 356,540
Election security operations review (IHSCE) – USD 108,420
Workshop: developing an ITC disaster recovery plan – USD 40,080

4. Contracts

Total Contracts will amount to **USD 996,500** broken down as follows:

Warehousing procedures and re-organisation – USD 276,500
Monitoring and Evaluation – USD 30,000
Streamlining and re engineering of existing communications systems – USD 510,000
IT and communications assessment USD – 50,000
Design plan for data entry centre – USD 50,000
Advanced computer skills training – USD 30,000

5. Other direct costs

Total Other Direct Costs will amount to **USD 447,267** broken down as follows:

Communications Costs – USD 25,200
Office supplies and stationery – USD 27,000
Office rental – USD 72,000
Office operations and maintenance – USD 36,000
Sundry including allocable costs – USD 92,067
Security including allocable costs – USD 195,000

Indirect Support Costs

Total GMS 6.25% of programme costs will amount to **USD 642,040**

Annex Ai - Agency Active Projects - Governance Sector Status Profile: UNDP (Please note all commitment and disbursement figures are non-certified)

#	Project ID #	Project Title	Total Budget (US\$)	Implementation Rate (% as of June 2010)	Commitments (% as of June 2010)	Disbursements (% as of June 2010)	Remarks
1	C09-12	Support to GOI in International Assistance Coordination and Capacity Building	2,643,000	95.65%	0.20%	95.63%	
2	G11-22b	Support for Enhanced Media Coverage and Monitoring of Electoral Processes	1,004,772	27%	% 0	27%	Additional 43% is programmed to 31 Dec 2010 (to 60%)
3	C9-28	Support to the GoI in Implementing the Paris Declaration on Aid Effectiveness	1,000, 000	19%	6%	13%	Activities delayed due to delay in formation of Government. Implementation forecast as 50% to end 2010.
4	C9-18	Institutional Strengthening Programme for the Board of Supreme Audit (BSA)	4,879,535	98.87%	0%	98.87%	
5	C9-24	Support to Decentralization and Local Governance for Service Delivery – Preparatory Phase	6,118,704	39%	0%	39%	Advances given to UN implementing partners but expenditure reports have not been submitted yet for liquidation.
6	C9-26	Support the Media in its Role of Fostering Peace and Democracy	6,131,285	86%	0%	86%	
7	C9-27	Support to the Development of Justice and the Rule of Law	5,909,994	66%	45%	21%	
8	G11-14a	Institutional Development – Organizational and HR Capacity Building for the IECI/IHEC	3,735,426	99%	5.9%	94%	
9	G11-20	Technical Assistance to IHEC, Phase II	5,479,950	54.5%	1.3%	53.2%	
10	C9-29	Iraq Public Sector Modernization I-PSM	5,000,000	0%	0%	0%	Project signed in July 2010. Substantive activities have not started yet due to delay in formation of the Government.
TOTALS (US\$)			41,902,666	58.5%	5.84%	52.77%	

Annex Aii - Agency Active Projects – Governance Sector Status Profile: UNOPS (Please note all commitment and disbursement figures are non-certified)

Sl. #	Project ID #	Project Title	Total Budget (US\$)	Implementation Rate (% complete)	Commitments (% as at 31 July 10)	Disbursements (% as at 31 July 10)	Remarks
1	C9-20	Facilitating Reconciliation Through Constitutional Review (w/ UNAMI-OCS)	6,033,807	95 %	92 %	91 %	
2	C9-25	Iraqi Civil Society Empowerment Project	4,255,193	60 %	59 %	36 %	
3	G11-19	Institutional Development – Organisational and HR Capacity Building for the IHEC Phase II	5,042,669	90 %	90 %	89 %	
4	G11-21	Support to National Electoral Observer Groups for the Electoral Events of Iraq 2009 – 2010	8,000,000	98 %	99 %	98 %	
5	C9-31	Capacity Strengthening of the MOPDC to Support the Process of a national Development Plan for Iraq	956,000	2 %	2 %	1 %	Awaiting formulation of new govt to begin activities
6	C9-32	Conducting lessons learned and evaluation for the IRFFI	990,038	25 %	95 %	0,6 %	Main project activity began August
		TOTALS (US\$)	24,322,663	62 %	73 %	53 %	

Annex B: Initial detailed breakdown of planned activities by IHEC sector

Developed in corporation with the IHEC and approved by the IHEC November 2009; updated in cooperation with the IHEC October 2010.

See end for key

	Sector	Activities	Imple- mentor	Project / internal
1	Programme Implementation	Facilitated workshop to draft and agree procedures for implementation of programme activities to ensure consistent standards and smooth running of the programme, and to discuss best practices in activity design and implementation 3 monthly reviews by UNDP, UNOPS, UNAMI and the IHEC (no budget required) Mid term programme review End of programme evaluation and review of best practices	UNOPS -- UNDP	previous ID ID
2	Capacity Building	Facilitated workshop on development of a capacity building training activity, including definition of objectives, target and development of agenda and materials. Study visit or seminar with case studies on best practices in capacity building methodologies Study visit on development of appropriate professional development programme (CB and HR). Enable full BRIDGE accreditation of sufficient number of IHEC National Office and GEO staff, and facilitate supervised delivery of four modules to IHEC staff. Provide guidance in the development of specific trainings on electoral issues for delivery to IHEC staff of all departments and relevant external stakeholders. Review of comparative electoral resources (POGAR) Provision of electoral resources for IHEC resource centre (electronic/hard copy resources, documents of other election commissions) Define and implement measures that would enhance coordination of CB with other departments.	UNDP & IFES UNDP ---	ID internal
3	Electoral Legal Framework	Training on necessary provisions for an electoral regulatory framework; review of regulatory framework and coaching on drafting IHEC regulations (consultant may be required). Training on legal drafting skills Joint seminars for IHEC Legal Committee and newly elected CoR Legal Committee to review electoral legislation Possible joint study visit for IHEC and the CoR Legal Committee in development and review of an electoral legal framework Provision of resources in Arabic language on electoral regulatory frameworks Coordination with the Bar Association to provide technical support Review of political party law as pertains to electoral implementation	UNDP	ID tbc

4	Complaints	<p>Facilitated seminar (discussion forum) on case studies in dispute resolution, to learn from experiences in other countries.</p> <p>Review of institutional mechanisms for dispute resolution with EJP and AJC</p> <p>Support the IHEC in defining GEO roles and responsibilities in the complaints process (consultant may be required).</p> <p>Coordination with the Bar Association to identify and provide training to lawyers who would supplement the complaints unit during post election day complaints resolution processes.</p> <p>Training on investigation techniques and presenting cases</p>	<p>UNDP</p> <p>---</p> <p>IHEC</p> <p>tbc</p>	<p>ID</p> <p>ID</p> <p>Internal</p> <p>Internal</p> <p>tbc</p>
5	Gol Legal Framework	<p>Contract consultant to support the IHEC in review of IHEC processes in relation to Gol regulations and administrative provisions; Training on Gol related to procurement, administrative and financial processes (for National Office and GEO staff, as required)</p> <p>Design measures to increase coordination between Internal Audit and other relevant sections</p>	UNDP	ID
6	Procedures and Training	<p>Facilitate review of electoral procedures of other electoral bodies for best practices</p> <p>Workshop on design and delivery of a cascade training programme, using a range of different training techniques.</p> <p>Study visit to observe polling and counting procedures (including preferably participation in training for observers).</p> <p>Seminar to discuss potential improvement in anti-fraud measures (internal).</p>	<p>UNDP</p> <p>UNOPS</p> <p>UNDP</p> <p>---</p>	<p>ID</p> <p>internal</p>
7	Procurement	<p>Advanced training on procurement management (UNDP/PSO)</p> <p>Basic procurement training for new staff</p> <p>Training on how to write technical specifications</p> <p>Training on business correspondence (official communication with suppliers)</p> <p>Training (internal) on drafting contracts and tender documents, and negotiating with local and foreign companies</p>	<p>UNOPS</p> <p>---</p>	<p>ID</p> <p>internal</p>
8	Logistics / Warehousing	<p>Contract consultant able to travel inside Iraq to review warehousing procedures and support warehouse reorganisation.</p> <p>Training on warehouse management, with focus on election warehouses.</p> <p>Contract consultant to review inventory system and stock control; support development of appropriate systems; training on systems as necessary.</p> <p>Support coordination with the Gol and the MoT to define permanent status of IHEC warehouses.</p> <p>Review of procedures for receipt, packing and distribution of electoral materials (internal lessons learned).</p>	<p>UNOPS</p> <p>---</p>	<p>ID</p> <p>internal</p>
9	Database Development	<p>Series of customized trainings of increasing levels of advancement to enhance skills in software development:</p> <ul style="list-style-type: none"> - Microsoft Office courses - Programming courses - Systems Analysis course - SQL Server 2005/2008 Database courses 	UNOPS	ID

10	Field Coordination	Facilitated research on best practices in coordination between HQ and field offices over an election period (can be possibly combined with logistics management study visit). Training on statistical analysis and presentation of data Support IHEC in review and enhancement of polling centre list to guarantee access to polling location to all voters.	UNOPS ---	ID internal
11	Security and Field Security	Training on security risk management Training on security planning for election operations (can include members of ISF) Request for training on anti-terrorism and how to handle explosives	UNOPS tbc	ID tbc
12	GIS systems	Support development of specifications for improvement of GIS systems to enhance tools for IHEC mapping of constituency and electoral geographic data (to involve Field Coordination, Field Security and Data Management) Provision of hardware and software for improved GIS system, and training on its use	UNOPS	ID
13	Graphic Design	Ongoing periodic support by consultant as required Provision of enhanced computer equipment suitable for the needs of the department and equipment to support printing processes to increase sustainability in design of electoral printed materials, and training on its use (IHEC to contribute to procurement costs). Training in graphic design software CS4 / CS5 and After Effects Graphic design software training for new staff to reach same level as IHEC graphic design staff who previously received training Study visit on quality control of printed materials .	UNOPS	ID
14	ITC	Contract consultant to provide advice on the development of a strategic ITC plan and support implementation of Contract national consultant to support ITC development at National Office and GEOs ITC improvements with the emphasis on improvement of GEO ITC capacity. Streamline and re engineer existing ITC system with a goal of increased efficiency. Develop a Disaster Recovery Plan (DRP) for the IHEC. Series of trainings to enhance skills in networking and ITC maintenance Training on basic computer skills as necessary (cost sharing)	UNOPS & IHEC	ID
15	Translation	Provide translation resources (dictionaries, glossaries) Simultaneous interpretation equipment and training on maintenance and usage Training - translation and interpretation skills to empower section to be able to support press conferences for international media and to translate documents for the IHEC website. Support IHEC in determining methods for improving English language skills for IHEC staff required to communicate with international actors (eg Spokesperson, graphic design, procurement, media etc)	UNOPS ---	ID internal

16	Human Resources	<p>Contract consultant to review and provide recommendations on IHEC human resource management and personnel policies in relation to Iraqi law</p> <p>Support IHEC in defining status of employees within the Iraqi government structure</p> <p>Review and provide guidance on HR systems; development of systems as appropriate</p> <p>Training on best practices in human resource management</p> <p>Develop ToT together with the IHEC on IHEC human resources procedures and systems</p> <p>Human Resources work placement to professional and efficient HR department</p>	UNDP	ID
17	Information Management	<p>Contract consultant to review information management systems, provide recommendations to the IHEC and assist the IHEC in the development of SOPs on information management in line with the Iraqi government Electronic Governance policy</p> <p>IHEC to determine or establish unit responsible for information management</p> <p>Develop ToT together with the IHEC on SOPs on information management (archiving, document management etc)</p> <p>Review development of IHEC training on best practices in office administration</p> <p>Possible study visit to review effective information management systems</p>	UNDP	ID
18	Reporting	<p>Contract consultant to review IHEC internal reporting practices and the role of the Planning and Reporting Unit, and develop together with the IHEC appropriate reporting mechanisms, including:</p> <ul style="list-style-type: none"> - reporting requirements for communication of Electoral Administration with the BoC - reporting requirements for Electoral Administration reporting - reporting guidelines for Electoral Administration operational reporting during a large scale operation <p>Develop ToT together with the IHEC on reporting (general reporting skills and IHEC reporting mechanisms)</p>	UNDP	ID
19	Management	<p>Contract consultant to review administrative chain (document trail and sign off requirements) and recommend improvements; support the IHEC in drafting SOPs on this</p> <p>Implement general management training package for members of middle and senior management on a number of components, including prioritisation, delegation of tasks, leadership skills, time management etc</p> <p>Contract consultant to facilitate strategic planning exercise</p> <p>Support the development and delivery of training on operational and strategic planning</p> <p>Election Lessons Learned events after each election (number dependent on number of elections)</p> <p>Internal lessons learned or planning meetings</p> <p>Induction for new Board of Commissioners (when appointed)</p> <p>Workshop on how to develop project proposals and access funding sources</p>	<p>UNDP</p> <p>Both IHEC IHEC tbc</p>	<p>ID</p> <p>Internal tbc</p>

20	Board (and CEO's office)	<p>Study visit on best practices in electoral transparency and accountability</p> <p>Discussion forum on institutional mechanisms for promoting transparency and accountability to stakeholders</p> <p>Review of policies and standards in publication of Board decisions, and in ensuring and tracking implementation of decisions (Consultant may be required).</p> <p>Review of decision tracking systems; improvement of systems as necessary</p> <p>Facilitate review of the reporting requirements to the CoR to ensure these are appropriately met by the IHEC</p> <p>Study visit to another electoral commissions to look at management structures and decision making processes</p> <p>Develop procedures for efficient communication of BoC decisions to Electoral Administration.</p> <p>Training on development of public relations image for the institution</p>	<p>UNDP</p> <p>IHEC tbc</p>	<p>ID</p> <p>Internal tbc</p>
21	Finance and Audit	<p>Contract consultant to review and provide recommendations on IHEC financial management policies and procedures in relation to Iraqi laws and regulations</p> <p>Review of financial management systems and development of systems as appropriate, including mechanization of payroll system</p> <p>Training on IHEC financial management policies, procedures and systems</p> <p>Training on preparation of electoral operational budgets</p> <p>Training on best practices in accounting and audit</p>	UNDP	ID
22	Public Relations	<p>Seminars on best practices in role of civil society organisations in electoral processes (one Iraq, one regional)</p> <p>Meeting with Iraqi umbrella organizations involved in observation of CoR election to discuss lessons learned</p> <p>Study visit in best practices in EMB role of facilitating observation</p> <p>Roundtable with observer networks on best practices in election observation</p> <p>Review and support improvement of existing systems for accreditation of observers, agents and media</p> <p>Training for GEO staff on how to facilitate seminars and roundtables with external stakeholders</p> <p>Study visit to to observe public information tools and processes for announcement and publication of results.</p>	<p>tbc</p> <p>UNDP</p>	<p>tbc</p> <p>ID</p>
23	Political Entities	<p>Review and support improvement of existing systems for party and candidate registration data (Consultant may be required)</p> <p>Seminars on best practices in working with political entities (one Iraq, one regional)</p> <p>Contract consultant to provide information and guidance to the IHEC on mechanisms for regulating campaign finances</p> <p>Study visit and/or discussion forum on best practices in regulating campaign finances</p> <p>Research and provide recommendations on systems for and campaign financing; support development of systems if relevant (depending on Political Party Law)</p> <p>Consultations with political entities on election regulations</p>	UNDP	<p>ID</p> <p>tbc</p>

24	Media Relations (External Media)	<ul style="list-style-type: none"> Support and training in commissioning surveys and opinion polls Training to External Media Unit and Office of Spokesperson on various aspects of developing and implementing a media relations strategy Provision of specialized equipment to enhance press office capacities Training to GEO media units in local media engagement, organisation of press events etc Guidance and training to BoC and Senior Management on development of an internal freedom of information policy, and on development of appropriate media policies Training for IHEC web team on analyzing web trends Training on media management / interview presentation skills 	UNDP	Media
		Seminars on best practices in working with media (one Iraq, one regional)		
		Study visit or work placement to another electoral commission to observe processes of an established external media department		
		Study visit to regional media outlets and newsrooms	UNDP	ID
		Contract consultant to provide guidance to the IHEC on its website content management system		
25	Voter Education (IHEC Electoral Media)	Study visit or work placement to another electoral commission to observe processes of an established voter education department	UNDP	ID
		Trainings – (i) how to develop voter education materials; (ii) how to develop a voter education campaign; (iii) how to develop an impact assessment		
		Impact assessment on CoR election voter education campaign		
26	Call Centre	Research visit to see components of a functioning call centre (inside Iraq)	UNOPS	ID
		Research visit to observe effective EMB call centre processes		
		Provision of equipment and software development to upgrade services in line with recommendations		
27	General Skills	Trainings on general skills, such as negotiation skills, drafting internal correspondence	IHEC	n/a
28	Voter Registration	Contract consultant to assess and provide information to the IHEC on appropriate technological options for voter registration	UNDP	ID
		Organise study / research visits to other countries for IHEC to assess options for voter registration systems		
		Facilitated seminar on options for voter registration		
		Facilitate coordination with other ministries to review all documents that might be used for new voter registration process as well as internal boundaries in Iraq at all levels.		
		Facilitate coordination with the MoP to investigate possibilities of using the census data for the voter register	----	Internal
		Provision of equipment and systems development as appropriate		
		Training on use of new systems and technological solutions.	UNOPS	ID

29	Data Entry Centre and Results Tabulation	<p>Research options for further technological improvements of the DEC (consultant may be required).</p> <p>Research options to further define the management and staffing structure of the DEC that would serve as self sustainable data entry facility for future electoral operations.</p> <p>Research visits to another EMB to assess options for improvement to results tabulation systems</p> <p>Provision of equipment and systems development as appropriate</p>	UNOPS	ID
30	Other	<p>Training on basic presentation skills (tools in information dissemination, verbal and written, eg graphic tools)</p> <p>Training and guidance on project management skills (including project design, development of terms of reference, oversight of implementation and reporting, managing contractors)</p>	UNOPS	ID

Key:

Previous ID = Institutional Development – Organisational and Human Resource Capacity Building for the IECI/IHEC

ID = Institutional Development Support to the IHEC

Media = UNESCO/UNDP project '*Support Enhanced Media Coverage and Monitoring of Electoral Processes*'

Internal = Ongoing advisory support to the IHEC by the IEAT (no budget required)

Methodology

Scope of Assessment

The basis of this assessment is consistent with that of the 2006 assessment and assumes that the goal of an Independent High Electoral Commission (IHEC) institutional development programme is to support the development of the IHEC as a sustainable institution, existing within the government structure of Iraq, and operating in a fully functioning and professional manner, with minimal reliance on external inputs.

Whilst recognizing the impact of the legal and political context in which the IHEC operates and in which elections are conducted in Iraq, the review will focus primarily on organizational and human resource capacities, as integral to institutional development of the IHEC. These are defined as:

- **Organizational Capacity:** the organizational structure, administrative systems, working practices and procedures which facilitate the management of electoral activities. This includes the management of relationships with other organizations and sectors (public, private, civil society).
- **Human Resource Capacity:** the level of IHEC staff skills, knowledge, understanding and access to information, which enables them to plan and implement electoral activities and perform their functions effectively.
- **Technological Capacity:** the infrastructure, systems and assets place which enable the IHEC to effectively manage electoral and technical processes.

The assessment will review broadly:

1. Areas still requiring attention in IHEC capacity to conduct future successful electoral cycles;
2. Recommended priorities for institutional development for the period 2010-2011.

Assessment Methodology

The assessment review has been undertaken by the IHEC Capacity Building Department together with international advisors.

The assessment relies on the knowledge, analysis and institutional memory of staff of the IHEC and representatives of the UN and other international agencies working with the IHEC. Main resources for the assessment are Interviews with relevant stakeholders, including IHEC Commissioners, IHEC staff of all levels at national and governorate office level, international advisors to the IHEC, and representatives of UN and other agencies supporting the IHEC as relevant. The interview notes have been supplemented with other documentation when applicable.

Summary of the Needs Assessment Process

Introduction

The IHEC Capacity Building Department and members of the international electoral advisory team formed a working group to produce a needs assessment report evaluating IHEC functions in 2009 and its institutional development needs for future electoral cycles.

The team consisted of three IHEC capacity building staff and three International Advisors. The needs assessment project began in early October 2009; a first draft of the report was completed at the end of November and it was finalised in early 2010.

The report can be divided in two parts; the first containing interview commentary grouped into topics based along the lines of IHEC departments and sections; the second including common themes identified and a list of priorities, training programs and joint topics, from all departments, sections and units, that form the basis of recommendations.

Principal objectives of the report:

- 1) Prepare a Capacity Building plan focusing on the 2010 – 2011 period that includes both the IHEC National Office and Governorate Electoral Offices' (GEOs) institutional development requirements and to formulate training programs that will cover the cross cutting issues and priorities identified. This capacity building plan is to be implemented in coordination with international and local organizations.
- 2) List areas of priority requiring training programs.
- 3) Recognise capacity building and institutional development successes during the 2006 to 2009 period, and identify areas requiring continued capacity building and institutional development focus supported by the international electoral assistance team and other external actors.

Objectives achieved during the needs assessment process:

- 1) Recognition of challenges faced by staff in undertaking their Terms of References (ToRs) and associated opportunities available for improvements in output. Knowledge and understanding of recurring proposals and recommendations that have so far contributed to improvements in work output which can be used in the development of future staff performance.
- 2) Production of a list of the most relevant joint institutional development requirements covering all departments, sections and GEOs that must be focussed upon over the subsequent 2-3 year period. In addition, the identification of, and finding solutions to, current gaps in capacity building.
- 3) An appraisal of employee ToRs to ascertain consistency and suitability of tasks assigned to staff in different departments. ToRs are to be reviewed and updated at a future stage in the light of this appraisal. Numbers of section staff ascertained as well as an increased awareness of departments with an employee shortfall and the associated need to address this shortfall.
- 4) Preparation of a comprehensive report of the IHEC's future requirements.

Needs Assessment Process Phases: The needs assessment process followed eleven phases:

Phase 1:

Team member discussions on work mechanisms including; assessment methodology; interview questions; information extraction; information use (how to match key section duties with ToRs, ascertaining the number of employees per section); challenges; advantages; assessment of previous training programs; how to prioritise future programs; proposal and recommendation criteria; implementation schedule including phase timings; distribution of IHEC departments between assessment team members (three teams consisting of one capacity building employee and one IEAT staff member to conduct interviews)

Phase 2:

Conduct a series of interviews covering all departments and sections represented in the National Office (NO). Interviews targeted:

- Select commissioners and their deputies;
- Electoral administration representatives as well as the Chief Electoral Officers deputies;
- Department directors and their assistants;
- Section and unit heads;
- Staff representing a cross section of departments and sections.

Phase 3:

Due to time limitations, and instead of holding face-to face interviews, prepare a needs assessment questionnaire to be sent to the GEOs.

Phase 4:

Collate all interviews, in both Arabic and English.

Phase 5:

Using reports and observations noted by both the international and IHEC capacity building teams draft a first version of the needs assessment report, subdivided along IHEC administrative lines (departments and sections). The report uses the results of interviews and is based on job descriptions given by interviewees and the administrative ToRs of all IHEC departments, sections and offices.

Phase 6:

Prepare an overall IHEC National Office and GEO needs analysis based on interviews conducted and feedback given in the GEO questionnaires. This overall report is divided along departmental lines.

Phase 7:

Review the capacity building department and the international teams' reports and make appropriate amendments.

Phase 8:

Prepare and prioritize a list of cross-cutting challenges faced by departments, sections and GEOs on which to focus during the next two years. Find solutions to current gaps, whether administrative, technical or legal.

Phase 9:

In light of training programs undertaken and highlighted in the report hold a meeting with Director General of the Capacity Building Department and the IEAT to identify priorities for future training activities.

Phase 10:

Outline background activities and work methodology applied in the preparation and implementation of the needs assessment report.

Phase 11:

Conclude with a summary of general recommendations.

Main Common Challenges in IHEC National Office and GEOs

1. Administrative and Financial Procedures

- *Complicated administrative procedures:* By issuing a long chain of administrative orders requiring multiple signatures and which sometimes get lost between sections, programme implementation is sometimes delayed;
- *Financial procedures:* Excessive administrative follow-up and complicated accounting procedures between the finance and the oversight departments slow financial disbursements thereby impacting programme implementation;
- All units lack standard operational procedures (SOPs);
- The selection of administrative, technical and legal committees must be competency based. At present certain members undertake a lion share of the committee tasks while the others remain under qualified. Additionally, by tasking one employee as a member of multiple committees impacts that employee's performance.

2. Job Stability

- The absence of long-term tenures and contracts leads to employee flight. Law no. 11 needs to be reviewed in order to allow for the conversion of current IHEC contracts to civil servant status.

3. Training

- Poor participant selection leads to training inefficiencies and poorly targeted training programs;
- Not all staff participate in training programs held in Baghdad or that are facilitated by IHEC CB department. Staff are sometimes held back by section heads, most notably at IHEC HQ;
- Greater preparation time for training programmes and broader training schedules are required.

4. IEAT

- Gives limited support to some sections, particularly within the areas of finance and administration.
- Requirement to determine the kind of support IEAT needed to cover the gaps identified.

5. HR Policies

- Lack of transparency in the selection of qualified candidates who meet the ToR;
- Employee retention - keeping the most productive and qualified employees in their positions;
- Lack of focus on the performance evaluation system. Enhanced evaluation and performance review systems and the use of evaluation forms leading to a merit based acknowledgment and promotion environment is required.

6. Communication and coordination

- Improvements needed between the Board and Election Administration, the EA and departments and sections as well as between departments and their sections;
- Interdepartmental meetings are an underutilised coordination mechanism as is clarity on subjects to be addressed and expected attendees.
- Improvements are needed in the distribution and circulation of board decisions and adherence to them.

7. Information Management

- No file sharing – shared drive – within departments and sections;
- Lack of policy on systematic electronic archiving and the filing of hard-copies;
- No distribution of weekly or monthly reports for departments and sections.

8. Planning and follow-up

- Comprehensive strategic plans and operational timelines need defining;
- Only some departments and sections use daily and weekly work plans leading to tasks being carried out in a haphazard and unplanned manner;
- Requirement for timelines to meet operational targets, carry out effective task implementation and to define coordination and follow-up responsibility.

9. Equipment and tools

- Investment in IT, telecommunication tools and office equipment is required;
- Insufficient supply of office equipment and furniture (chairs, tables, desks, stationery);
- Continuous maintenance of equipment and tools required (air-conditioning, electricity).

10. Working with partners

- Coordination mechanisms need defining;
- Enhanced civic electoral education and outreach to gain public trust.

11. Responsibilities and delegation of authority

- Departmental structures need reviewing and authority delegated within;
- A lack of ToRs for some section and unit staff and those that do exist are not made available within the IHEC;
- Centralised decision making and little delegation of authority in administrative processes.
- Some employees lack of an understanding of the scope of the IHECs work as an electoral institution;
- ToRs need re-writing and updating to make every department firstly recognize its own tasks and secondly to be provided to staff members in corroborating departments.

Recommendations

Institutional framework and organizational capacity

1. The establishment of systems designed to manage internal IHEC relations and delegate authority is recommended. In order to avoid internal management conflicts there is a strong need to clarify who is responsible for what. This will dispel the conflicted management style that blights the IHEC, manage expectations and avoid duplication of outputs.
2. The drafting of unit, section and departmental SOPs to organise tasks, duties and responsibilities within and between departmental sections and units is recommended.
3. A review of the IHEC organisational structure and the drafting of comprehensive ToRs for each position within departmental sections and units is recommended. These ToRs should be provided to staff members in corroborating departments

Strategic Planning

4. Strategic planning is required. No election is identical and planning for future electoral cycles needs to start now. It is not safe to assume that following the same procedures for each election will produce similar results. Departments need to communicate, compare best practices, identify areas requiring improvement and think strategically.
5. Prioritising capacity building in areas where the IHEC still relies on the IEAT for day to day follow-up is recommended.

Internal communication and coordination

6. Relationships between department, section and unit managers need reinforcing. Additionally all IHEC staff need to boost their coordination and information sharing capacity. This will help to create a uniform vision, enhance interdepartmental understanding and give the IHEC direction.
7. Interdepartmental meetings as well as regular internal department, section and unit meetings must be implemented. Through this mechanism tasks can be allocated, timely and informed decisions taken and the frequently problematic nomination of section staff to special committees regulated according to staff work schedules and operational timelines.
8. The establishment of regular weekly departmental reporting on accomplished, planned and ongoing activities is recommended. The reports should be consolidated and made available to all staff.

Technical Operations

9. Examining options for the creation of a new and comprehensive voter register is recommended.
10. The use of financial and monitoring systems such as computer databases, electronic archiving and automated payrolls is recommended to enhance work capacity and update outdated systems currently used in some IHEC departments.

HR policy and procedures

11. Resolving the contractual status of IHEC staff by granting them civil servant status will ensure job security and prevent brain drain.
12. A review of policy relating to contracting temporary and permanent staff is recommended. Recruitment must be transparent and competency based. Appropriate staffing levels during each phase of an electoral cycle need to be ascertained and the timely contracting of temporary staff based on this assessment.
13. The creation of a deputy system is recommended. By delegating authority, departmental, section and unit efficiency and performance can be maintained when the head of department, section or unit is absent.
14. The establishment of a fair and standardised performance evaluation system is recommended. Strong performances can be acknowledged, promotions awarded and underperforming staff identified.

Electoral knowledge and awareness

15. The establishment of an institute for electoral awareness and IHEC procedures training is recommended.
16. The establishment of an electoral studies and research section, located within the capacity building department, is recommended. The section can present advice and provide an archive of best practices to assist departments in making informed decisions and choices for future electoral processes.
17. Activating electoral training programmes such as the Bridge training project is recommended. This will create an elections 'culture' within the IHEC and allow IHEC staff access to external resources. This will in turn create increasingly competent and productive IHEC trainers.
18. Continued support for the creation of an IHEC Library and Resource Centre is recommended. Material and documentation from previous electoral cycles has been lost and the library will double as an archive for all IHEC files. The Resource Centre should also be provided with electoral & technical publications through coordination with Iraqi universities, international electoral bodies and research institutes.
19. Enhancing awareness of electoral systems is recommended. The IHEC faces a lack of specialists in this field - by developing awareness through the continued support of the IEAT and by contracting experts in this field the IHEC can enhance its capacity as an independent institution.

Information management system

20. The establishment of information management standards and procedures as well as the use of an IHEC a shared drive is recommended.
21. The establishment of a paper and electronic archive to support the IHECs institutional memory is recommended. This will preserve documents and electoral best practices and form a resource that can be referred to during future electoral cycles.

Annex D: Evaluation of the Council of Representatives Election in relation to IHEC institutional development needs

The IHEC capacity building needs assessment, together with the development of the UNDP/UNOPS project proposal 'Institutional Development for the IHEC', started towards the close of an intensive two-year operational cycle in late 2009. The assessment and preparations for the Council of Representatives election evolved concurrently, taking advantage of the window of time presented by delays to the passage of the amendment to the Election Law.

The assessment utilized previous capacity building experiences, lessons learned from Governorate Council and Kurdistan Region elections, and daily experiences in preparations for the Council of Representatives election. The assessment was directly incorporated into the UN project proposal and an initial workplan was jointly formulated, with the understanding that the assessment would be revisited after the election and incorporated into IHEC strategic planning processes. An integrated management structure for institutional development activities was agreed, which would allow for continual review of the workplan in relation to any future lessons learned, as well as developments in the electoral calendar. The assessment was, as such, up-to-date immediately prior to the election, and the project framework developed to allow flexibility and ongoing responsiveness to electoral needs.

Review of the Council of Representatives election to date finds the IHEC needs assessment of November 2009 entirely relevant in its conclusions on IHEC organizational capacity, working practices, skills gaps and areas prioritized for attention. In these respects, findings of the assessment have been borne out by recent election experiences, and reflected in the election reports of international advisors.

It is now also evident, however, that electoral processes for this recent election have been impacted more than previously by political factors, the legal framework, and the role of the Council of Representatives and other government bodies. This has resulted in an extremely complex election operation, and a process which is not yet concluded. These factors will need to be fully analysed after the election, to determine how best to incorporate these lessons learned into the institutional development workplan. A component has therefore been included in the project proposal to address factors relating to the institutional and political context in which elections are carried out.

IHEC Organizational and Human Resource Capacity

The areas below were highlighted in the IHEC needs assessment and are confirmed by experiences from the Council of Representatives election as priority areas for attention in an institutional development programme. In this, assessment of the level of input required by the international team and specific operational challenges have been used to identify capacity building priorities.

1. Management and internal coordination

At IHEC Board level, the Chief Technical Advisor and members of the international team had to remain continually active in reviewing the Board agenda to ensure key decisions were made within the required operational timelines, and to ensure outside political influences on different Commissioners would not compromise electoral standards. Significant international support was sought by the IHEC throughout in relation to development of the electoral legal framework and dispute resolution mechanisms with the Council of Representatives and other government bodies. In this, support was provided not only from the international electoral team but also the UNAMI SRSG.

One primary type of support required by the international team for all sectors of the IHEC was providing facilitation on managerial and coordination issues. This included assistance in election planning, facilitating coordination between different IHEC units, promoting meetings and discussion fora, and even providing direct information dissemination when this was lacking. This is indicative of a centralized management structure and frequently inadequate coordination and information sharing practices. These

factors came out particularly strongly in the IHEC needs assessment as cross-cutting themes affecting the day-to-day work of all units of the IHEC. Hence it was agreed with the IHEC to give these high priority in the project proposal 'Institutional Development for the IHEC'.

It was evident that various internal processes also impacted negatively on the ability of IHEC units to complete election preparations effectively at both national and governorate office levels. These at times jeopardized different components of the election operation. Examples include replacement of staff in key positions late in the process, severe delays to payments for procurement, resulting from cumbersome financial processes, slow administrative approval processes, and difficulties in coordination of timelines between different sections of the IHEC. These largely arise from systemic organizational and management issues, which were noted in the IHEC needs assessment.

2. Policy development

An important role of international advisors has been in providing alternative options to policy and operational decisions, as well as often assisting directly in implementation of processes relatively new to the IHEC, such as audit mechanisms and seat allocation formulas. While IHEC staff have become increasingly open to different methodologies, the extent of this is in itself a measure of experience. It is clear that experience of IHEC staff almost exclusively in conduct of elections in Iraq since 2005 limits the IHEC's knowledge of the range of options available. This was also reflected in requests for comparative resources and information on best practices from other countries during the needs assessment.

3. Technical expertise

Technical support required from the international team consisted largely of ongoing guidance in a number of areas. However, there are specific technical fields which still relied heavily on international assistance.

Database development has required significant assistance from three IFES and two UN technical experts to ensure effective development and management of the voter register and results tabulation software: systems which are essential for efficient, accurate and accountable management of technical electoral processes and the credibility of an election. This was particularly relevant for the Voter Registration Update data entry process, where software development and data management were outsourced in order to meet required standards within the necessary timeframe. This has also been relevant for the functioning of the Data Entry Centre. In addition to some skepticism voiced by political entities as to the accountability of tabulation systems, the involvement of international staff was not always viewed positively. While the skills of IHEC database developers has increased to the level where they are able to maintain systems, further improvement is necessary to enable them to develop software without international assistance.

Other fields which have relied greatly on international inputs include public relations and media, with five IFES and UN advisors providing support in the development of media / public relations strategies, website content management, press conferences and public outreach materials; the regulatory framework and complaints process, to promote consistency, accountability and transparency, and ensure the credibility of results was not affected by delay in adjudication of complaints; procurement, with direct support required of the international advisor in procurement planning, reviewing scopes of works, dealing with international suppliers and negotiating contracts; and developing and maintaining the IT/communications infrastructure. All the above target areas were highlighted as priorities by IHEC senior management during the needs assessment process and are included in the institutional development project proposal.

3. Voter Register

Since early 2008, the IHEC has made significant efforts to improve the voter register through three update field operations and interim quality control exercises. While the accuracy of the voter register was problematic for Governorate Council elections, it is broadly recognized that this now much improved. There were instances of voters not finding their names on the voter list on Election Day, but assessment indicates this was largely not due to errors in the voter register itself.

However, basing the voter register on the Public Distribution System as the data source continues to present the IHEC with challenges in preparing a credible voter list for electoral events. This had operational impact for the recent election, with the opening of additional conditional voting polling centres to cater for those who had changed their PDS registration but not updated their voter data with the IHEC. This caused difficulties in training extra staff, providing additional voter information, confusion about voting criteria on Election Day and a large number of rejected conditional ballots.

While there appeared to be no significant errors in the voter register itself for the recent election, it is still considered inefficient and inadequate in the longer term. The long held recommendation to establish a new register independent of the PDS remains a key priority for a non-election period. It will, however, take time to consider the various options in order to determine the optimal strategy, including exploring possibilities for coordination with the scheduled nationwide census, and the potential role of GEOs in the process. Identifying and implementing appropriate solutions for the voter register was highlighted as a high priority in the IHEC needs assessment, and is incorporated as such into the institutional development project proposal.

4. Governorate Election Offices

At governorate level, variance was noted both in effectiveness of election implementation, and also in the degree of political influence at local level. While GEOs have been identified as an area of priority focus for institutional development in the post election period by the IHEC, IFES and the UN, it is recognized that more detailed assessments may need to be utilized in determining specific needs for the different GEOs.

5. Outreach to external stakeholders

Finally, while improved since previous elections, it is evident that the IHEC needs to make continued and improved efforts at both central and governorate levels in its outreach to political entities, civil society organizations, the media and voters, to promote greater understanding and trust in electoral processes. This was also highlighted as a priority in the IHEC needs assessment, and promotion of best practices in this regard was included in the institutional development project proposal.

External Factors in the Institutional Context

In comparison to previous elections, one particularly notable challenge has been the impact of external factors on electoral processes. This relates primarily to the Council of Representatives and government partners in legislative, judiciary and executive bodies, and to political bloc leaders.

6. Special voting for military and police

The creation of voter lists for police and military, as required by electoral legislation, was problematic for conduct of polling. Many names supplied by the Ministries of Defence and Interior could not be identified on the voter register, and the ISF expressed concerns that more than 150,000 police and military were omitted from the special voting list. After strong requests from the ISF and with the risk that ISF may withdraw provision of security, the IHEC agreed a few days before polling day to open conditional ballot facilities for those not on the special voting list. This caused problems with ballot distribution, supply of trained staff for additional polling stations, and confusion in polling centres on polling day. A lessons learned activity with members of the Iraqi High Security Committee for Elections is planned under the project 'Institutional Development for the IHEC', where this and other aspects of security coordination can be evaluated for planning of future elections.

7. Supervision by the Council of Representatives

One extremely destabilizing factor was the interrogation of the IHEC by members of the Council of Representatives and its Integrity Committee on some Governorate Council Election issues. This occurred in late 2009 amidst preparations for an election still scheduled for January 2010. Not only did this call into public question the integrity of the IHEC so soon before the election, but the focus of the Board of Commissioners was also deflected away from the election to responding to questioning, and speculation on the outcome of the interrogation was extremely disruptive to operational activities at this time.

8. Electoral legal framework and dispute resolution mechanisms

Delays to the passage of the amendment to the Election Law also had significant impact on election preparations. UNAMI was heavily engaged in trying to facilitate solutions so that the election could take place as planned, in a manner which was operationally possible and would not compromise credibility. Various operational processes in the IHEC were on hold until clarity on the law could be obtained. This led to the announcement by the IHEC that a 16 January Election Day was no longer feasible if credibility of the electoral process and international standards for elections were to be preserved. The negative impact of delays in electoral legislation was highlighted in several interviews during the IHEC needs assessment.

Electoral dispute resolution mechanisms also presented particular challenges this election. One prime example is candidate vetting, where the legal framework was unclear as to which body an appeal should be filed, and timelines were too prolonged for an election operation. Candidate disqualifications by the Accountability and Justice Commission came too late to be effectively incorporated into finalization of candidate lists, and the process lacked transparency, with reasons for disqualifications not provided. The IHEC had no option but to issue two supplementary candidate lists after printing of candidate lists and ballots, and the final disqualification list was provided to the IHEC too late to be incorporated at all. This has subsequently led to an appeal to the Electoral Judicial Panel (EJP).

Of particular concern is the lack of awareness exhibited by the legislature and political bloc leaders of how the timing and specific provisions of the electoral legal framework can impact on electoral timelines and quality of an election.

An example of this is the Out-of-Country Voting (OCV) operation. Final legal clarification on OCV came so late in the process that it placed a great burden on IHEC resources in the establishment of an extensive operation in 16 countries worldwide. The legal provision for OCV voting by governorate constituency proved to be extremely problematic, not only in establishing documentary requirements for eligibility, but also in operational terms. It required development of a separate ballot and polling/counting forms to the in-country process and necessitated a highly complex counting process. Assessment of the impact of legislative requirements and the logistical difficulties in supporting such an operation would benefit from a comprehensive lessons learned exercise, which is currently planned by IFES. Close consideration will also need to be given as to the value of conducting such an operation for future elections.

The appeals process currently underway has also revealed a lack of technical understanding of electoral processes, with instructions issued by the EJP without the operational clarity for easy implementation.

9. Conclusions on External Factors

Evaluation of the Council of Representatives election concludes that there is clearly a need for cooperative review of electoral legislation and of dispute resolution structure and processes. Given the range of government partners involved in electoral processes, it is also intended that efforts will be made to encourage the IHEC to be more proactive in coordinating with these partners and in exchanging technical opinions. This is with an aim of promoting a clearer understanding of the importance of electoral timelines on quality of election processes, and the technical implications decisions may have. Furthermore, following such a highly contested election, the IHEC must recognize the paramount need for transparent processes, to foster trust election results.

These factors are all included in the institutional development project proposal. Also included are opportunities for the IHEC together with government partners to assess fully lessons learned from the recent election and review best practices to identify measures to avoid these challenges for future elections. The integrated institutional development workplan will then be revised accordingly.

Lessons Learned Activities

The IHEC, UN and IFES intend to hold a comprehensive lessons learned process after certification of results. Reporting and analysis were already underway prior to EJP consideration of appeals and the recount order for Baghdad governorate. Final reports have been submitted by IHEC GEOs and many units of the National Office, and questionnaires were sent to GEOs for completion. IFES held a lessons learned workshop for its international staff; UN advisors completed their final reports; observer reports were analysed; and international advisors held debriefings with their IHEC counterparts where possible. Much has already been done to review the Council of Representatives election.

Planned lessons learned activities include workshops for IHEC Heads of GEOs and relevant National Office staff, for the Board and relevant government representatives, for the Iraqi High Security Committee for Elections, and for priority sections of the IHEC. The latter are yet to be confirmed but discussions with the IHEC have identified the following for consideration: complaints, Data Entry Centre, public outreach, database development/data management, GEO Count Centre operations, political entities and OCV. The IHEC Capacity Building Department will also hold a series of debriefings for other National Office sections.

Observer comments generally point to technical areas of election operation, rather than IHEC institutional development needs. However, observer reports have identified some specific issues to be discussed during lessons learned activities.

It is intended that all relevant findings of these lessons learned activities will be incorporated into IHEC forward planning, and further activities will be defined and included in the joint institutional development workplan, as necessary.

It is noted, however, that there are other key sectors of the IHEC's organizational framework, which would only be covered in an operational lessons learned exercise to the extent that their functions impact on the operation itself. Priorities for institutional development in this regard include administration and finance (also highlighted in the UNAMI auditors draft report of the electoral support programme), the procurement cycle, the IHEC's own capacity building programme, and the management structures and working practices for the institution as a whole. These are more fully covered in the IHEC needs assessment than in the scope of operational lessons learned activities, and are identified for further analysis and action as part of the project proposal 'Institutional Development for the IHEC'.

*Prepared by UNDP and UNOPS, in cooperation with UNAMI-EAD
7 May 2010*

Annex E: Management Structure Institutional Development Programme

Structure of Institutional Development Programme Management

Steering Committee for Electoral Support Projects

Committee is responsible for policy development for all IHEC-UN electoral support projects

Members: 3 IHEC Commissioners; UNAMI CTA, UNDP Programme Coordinator & UNOPS Electoral Programme Manager

Other partners invited to attend as appropriate (EC delegation to Iraq, IFES, UNESCO, etc...)

Committee covers all IHEC-UN projects / programmes



Institutional Development Programme Board/ Project Management Committee:

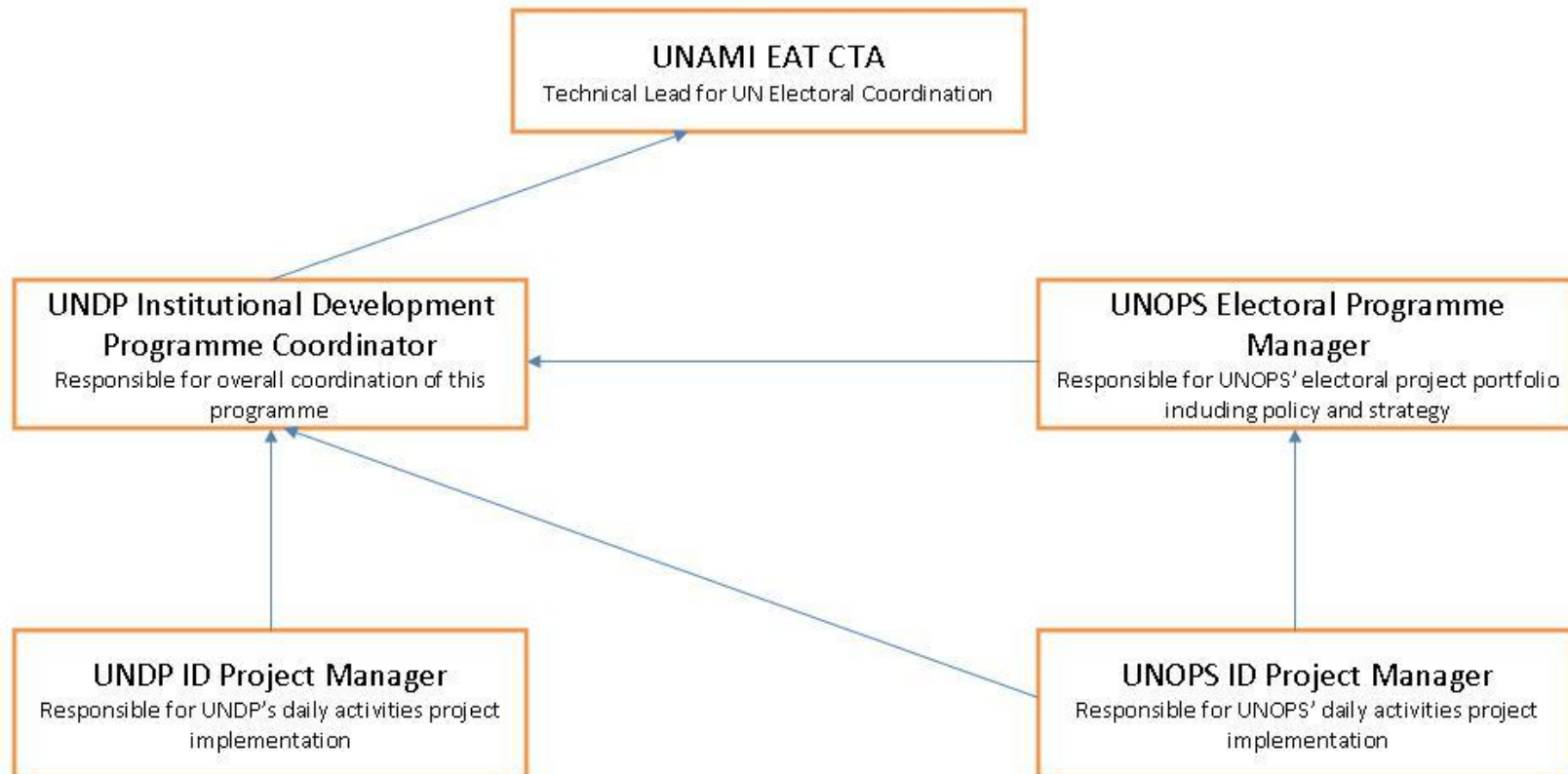
Committee is responsible for management of this project, and planning and implementation of its activities

Members: 3 IHEC technical management staff (Technical Deputy to the CEO, Head of Capacity Building Department and one other as relevant). Designated representative of UNAMI, UNDP Project Manager and UNOPS Project Manager. UNDP

Programme Coordinator will attend all planning, monitoring and review meetings

Committee covers all IHEC-UN projects / programmes – third member of IHEC will depend on the technical area of the project

UN Management Structure for Institutional Development Programme



TERMS OF REFERENCE

IHEC-UN PROJECTS STEERING COMMITTEE

Composition	<p>3 IHEC Commissioners</p> <p>3 UN staff: UNDP Programme Coordinator, UNOPS Electoral Programme Manager and Head of UNAMI Electoral Team</p> <p>All members may designate a deputy representing their organization if unable to attend.</p>
Quorum	Minimum of 4, with at least 2 IHEC Commissioners and 2 UN representatives
Meeting Frequency	<p>A minimum of four times a year plus as required</p> <p>Each Committee member may call for a meeting as necessary.</p>
Overall Responsibility	This Committee is responsible for policy development for all IHEC-UN electoral support projects
Meeting Management	<p>Meetings will be chaired alternately by a representative of the IHEC and a representative of the UN</p> <p>Minutes of each meeting will be taken by an IHEC rapporteur, and provided to the UN for translation.</p> <p>Minutes of each quarterly meeting will be shared with the IHEC BoC and relevant UN staff in Amman and Baghdad</p>
Functions	<ul style="list-style-type: none"> • Project proposal guidance (recommendations for future projects, review of UN project documents, review of budget revisions for donors) • Ensuring coordination between different projects and preventing duplication • Overall policy guidance and prioritisation • Overall monitoring of project progress and ensuring this is in line with project objectives (review of quarterly reports and mid/end of term reviews, quarterly workplan) • Review of shortlisted consultants for recommendations
Coordination	<p>The Committee will ensure coordination with other project partners (such as EC, UNESCO, CMC, IFES etc), and may invite representatives to Project Steering Committee meetings, as relevant.</p> <p>The UNESCO/UNDP media project has a separate Advisory Board, comprised of the IHEC, the CMC, UNAMI, UNESCO and UNDP. Relevant issues arising at Steering Committee meetings will be referred to the media project Advisory Board.</p>
Other	<p>The Board will approve project documents and budget revisions for the donor.</p> <p>A joint meeting will be held with both committees every three months.</p> <p>Each organization must ensure respect for applicable administrative rules and procedures in accordance with the respective authorities. Code of Conduct to be further developed.</p>

TERMS OF REFERENCE

IHEC-UN PROJECT MANAGEMENT COMMITTEE

Composition	<p>3 IHEC members of the Electoral Administration: Technical Deputy of the CEO, Head of CB Dept and one other relevant staff person, depending on the project</p> <p>3 UN staff: Project Managers of UNDP and UNOPS, and designated senior member of UNAMI</p> <p>The UNDP Programme Coordinator will also attend all planning and monitoring / review meetings</p> <p>All members may designate a deputy representing their organization if unable to attend.</p>
Quorum	Minimum of 4, with at least 2 IHEC and 2 UN representatives
Meeting Frequency	<p>A minimum of once a month plus as required</p> <p>Each Committee member may call for a meeting as necessary.</p> <p>The Committee will meet every three months to formally discuss and finalize the workplan for the coming quarter</p>
Overall Responsibility	This Committee is responsible for management of each project, and planning and implementation of their activities
Meeting Management	<p>Meetings will be chaired by the IHEC Technical Deputy of the CEO or IHEC Head of Capacity Building Department</p> <p>Minutes of each meeting will be taken by an IHEC rapporteur, and provided to the UN for translation.</p> <p>Minutes of each monthly meeting will be shared with the IHEC CEO, IHEC CB Department, relevant UN staff in Amman and Baghdad</p>
Functions	<ul style="list-style-type: none"> • Day to day management of project planning and implementation • Revising the workplan every three months for the following quarter • Developing and agreeing implementation mechanisms for each activity (location, dates, objectives, activity outline, definition of target group, agenda, selection of service provider if relevant) • Technical monitoring and evaluation of activities, including review of activity reports and evaluations • Mid-term and end of term review of project, in cooperation with external facilitator • Ensuring proper consultation with other IHEC staff • Completion of quarterly progress reports for submission to Steering Committee
Coordination	Other relevant partners (such as IFES) may be invited to attend quarterly planning meetings as observers
Other	<p>A joint meeting will be held with both committees every three months.</p> <p>Each organization must ensure respect for applicable administrative rules and procedures in accordance with the respective authorities. Code of Conduct to be further developed.</p>