

UNITED NATIONS DEVELOPMENT GROUP IRAQ TRUST FUND

Programme Cover Page

| Participating | g UN Organisation(s): | | Sector Outcome Team(s): | | |
|----------------|-----------------------|-------------|-------------------------|---|--|
| UNOPS | | | Governance | | |
| | | | | | |
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| | | | | | |
| Programme | Title: | | Programme | Number: | |
| Conducting | Lessons Learned a | nd Project | C9-32 | | |
| Evaluations fo | or the IRFFI | | | | |
| | n | | /• // / 0000 | | |
| | Progra | mme Descrip | tion (limit 1,000 | characters): | |

The Seventh IRFFI Donor Committee (DC) meeting requested to commission a comprehensive lessons learned and evaluation exercise to distil accomplishments, lessons and experiences gained during the implementation of the UNDG ITF to assist Iraq to strengthen future programming and aid effectiveness while informing the UN System and the donors of the mechanism, what worked and what did not work and why. The Eighth IRRFI DC meeting in November 2009 emphasized the need to look at both development and operational effectiveness of the UNDG ITF following a participatory process involving all stakeholders including non-IRRFI donors and the Government of Iraq. Additionally, the donors reiterated their earlier request to follow up on the recommendations and findings of the ScanTeam report.

The UNDG ITF Lessons Learned Exercise (LLE) is intended to provide lessons learned during the course of implementation of programmes and projects and their respective contributions in terms of achievements, constraints and failures, while critically reviewing the UNDG ITF processes and procedures and their role in maximizing the operational effectiveness of the UNDG ITF. To the extent possible, the LLE will gain from the ongoing independent evaluations of 37 UNDG ITF programmes/projects to objectively assess the programmatic contributions to development priorities and challenges in Iraq. The ongoing evaluations will significantly contribute to the LLE by providing a strong evidence base for the UNDG ITF contributions towards development results, while equally reflecting on the operational effectiveness of the programmes/ projects.

The LLE will aid the GoI and donors to identify the added value of the UNDG ITF as part of broader international recovery, reconstruction and development efforts in Iraq, as well as strengths and weaknesses of the GoI's and donors' roles in the management, coordination and oversight of the UNDG ITF. The exercise will provide a basis for designing an effective Iraq-led aid coordination mechanism that builds on the effective UNDG ITF processes and mechanisms. The project will be managed by UNOPS, in close coordination with the UNDG ITF Steering Committee and its Support Office, and MoPDC.

| Pr | ogramme Costs: | Programme Location: |
|--------------------|----------------|--------------------------|
| UNDG ITF: | \$990,038 | Governorate(s): National |
| Govt. Contribution | : | District(s): |
| Agency Core: | | |
| Other: | | Town(s) |
| TOTAL: | \$990,038 | |

| Govt of Iraq Line Ministry Responsible: | Progra | mme Duration: | |
|--|--|--|--|
| Ministry of Planning and Development Cooperation | Total # of months: Expected Start date: Expected End date: | 6 months 01 May 2010 31 October 2010 | |
| Review & A | Approval Dates | | |

| | Keviev | w & Approval Dates | | | | | |
|-----------------------------|----------------------------------|---|--|--|--|--|--|
| Line | Ministry Endorsement Date: | 15 February 2010 | | | | | |
| Concept Note Approval Date: | | 15 February 2010 | | | | | |
| | Approval Date: | 23 March 2010 | | | | | |
| | Group Review Date: | 20 May 2010 | | | | | |
| | 3 Approval Date: | 2 June 2010 | | | | | |
| | ing Committee Approval Date: | 9 June 2010 | | | | | |
| 1. | Name of Representative | Gernard Pansegrouw | | | | | |
| I | 8 0 | es and Steering Committee Chair Gerhard Pansegrouw | | | | | |
| | Signature | | | | | | |
| | | INODE | | | | | |
| | Name of Agency | UNOPS | | | | | |
| | Date | 10.06.2010 | | | | | |
| 1 | | | | | | | |
| II. | Name of Steering Committee Chair | Christine McNab | | | | | |
| | | | | | | | |

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

NDS:

Date

Indirectly contributes to Goal 6 (Improving the quality of life) and Section 10.2 (Monitoring and Evaluation)

10.06.201

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

Indirectly contributes to Section 4.4 (Human Development and Human Security)

Sector Team Outcome(s):

Outcome 4: Strengthened institutions, processes and regulatory frameworks of national and local governance

Joint Programme/Project Outcome(s):

Strengthened institutions, processes and regulatory frameworks of national and local governance

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 \$) |
|-------------------------------|---------------------------------|
| UNOPS | 990,038 |
| Total ITF Budget (US \$) | 990,038 |

| Total budget (in US \$): | | \$990,038 |
|----------------------------|------|-----------|
| Sources: | | |
| • Government | | \$ |
| • ITF (earmarked) | | \$ |
| • ITF (Un-allocated intere | est) | \$990,038 |
| UN Core/non-core sources | | |
| • UN Org (specify: |) | \$ |
| • UN Org (specify: |) | \$ |
| • UN Org (specify: |) | \$ |
| • UN Org(specify: |) | \$ |
| • UN Org(specify: |) | \$ |

1. Executive Summary

In planning for the closure of the International Reconstruction Fund Facility (IRFFI) after more than six years of programming an excess of \$1.3 billion, the stakeholders as represented by the Donor Committee and the Ministry of Planning and Development Cooperation (MoPDC) have requested that the UNDG Iraq Trust Fund (UNDG ITF) conduct a lessons learned and evaluation exercise. The UNDG ITF Lessons Learned Exercise (LLE) is intended to provide lessons learned during the course of implementation of programme and projects and their respective contributions in terms of achievements, constraints and failures towards collective donor funded recovery, rehabilitation and development efforts in Iraq while critically reviewing the associated UNDG ITF processes and procedures and their role in maximizing the operational effectiveness of the UNDG ITF. To the extent possible, the LLE will gain from the ongoing independent evaluations of 37 UNDG ITF programmes/ projects to objectively assess the programmatic contributions to development priorities and challenges in Iraq¹. The ongoing evaluations that are in accordance with the United Nations Evaluation Group (UNEG) evaluation norms and standards will significantly contribute to the LLE by providing a strong evidence base for the UNDG ITF contributions towards development results, while equally reflecting on the operational effectiveness of programmes/ projects funded by the UNDG ITF

The proposed exercise will provide invaluable lessons for the UN System and the GoI with regards to the programmatic achievements of the UNDG ITF in line with the OECD-DAC criteria for evaluations while equally assessing the contributions towards the key principles of aid effectiveness including harmonization, alignment, national ownership and accountability for development management. It will specifically assist the GoI in showcasing the overall contribution of the UNDG ITF towards recovery and development efforts in the country while assisting the GoI in defining effective aid coordination and oversight mechanisms for the future. Specifically, the learning will accrue benefits to key UNDG ITF stakeholders, as follows, namely the UN System and Participating UN Organisations, the donors, and most importantly the people and Government of Iraq (GoI). The project will result in a document for broad dissemination, as well as the information that will help define future aid coordination in Iraq. The results of the LLE will also be applied to future programming specifically arising from the UNDAF.

UNOPS will lead the process, in coordination with the UNDG ITF Steering Committee and its Support Office (SCSO), the MoPDC, the IRFFI DC and non-IRFFI donors, the UN System in Iraq, and the Multi-Donor Trust Fund Office (MDTF/O) in UN Headquarters/New York.

2. Situation Analysis

The United Nations Development Group Iraq Trust Fund (UNDG ITF) was established in 2004 as one of two "windows" of the International Reconstruction Fund Facility for Iraq (IRFFI). The IRFFI was designed in close consultation with the Iraqi authorities, donors, the World Bank and the United Nations in response to international requests to undertake post-conflict recovery, reconstruction and development activities in Iraq in a coordinated manner. Consequently, the Multi-Donor Trust Fund (MDTF) mechanism was created to enable donors to channel their resources through a single funding mechanism to the World Bank and Participating UN Organizations. A total of 25 donors have contributed to UNDG ITF as per the Letter of Agreement signed with the MDTF Office.

¹ The 37 UNDG ITF programmes/ projects have been selected using the following criteria: a) Projects that have submitted more than three budget revision requests for project revision either for extension of duration and/ or change of scope; b) projects that are a second phase of an initial project; c) fast track and/ or quick impact projects; and d) multi-agency programmes. The 37 projects represent 20% of the total programmes/ projects approved under UNDG ITF while amounting to 15.22% of the total ITF expenditure to date.

The IRFFI/UNDG ITF is the first and largest MDTF to be administered by the United Nations in partnership with the World Bank and provides donors with a single channel for funding thereby reducing donors' transaction costs. It was also the first time that the UNDG organizations adopted common planning, funding, coordinated implementation and reporting arrangements through a thematic 'cluster' framework (See Annex 1).

The UNDG ITF is administered by the UNDP MDTF Office as Administrative Agent (AA) on behalf of the Participating UN Organizations. This arrangement has been formalized through the Memorandum of Understanding (MOU) signed between each of the 22 Participating UN Organizations and the UNDP MDTF Office, as the AA. The MOU sets out the roles and responsibilities of each Participating UN Organization, which assumes full programmatic and financial accountability for the funds disbursed to it. There are 16 UN Organizations implementing projects and joint programmes in Iraq through the UNDG ITF. A total of 166 programmes/ projects have been implemented under the UNDG ITF to date contributing to recovery, reconstruction and development initiatives in Iraq.

The IRFFI structure is designed to ensure that activities financed by the WB ITF and the UNDG ITF are aligned with the Government of Iraq's priorities as outlined in the IRRFI Terms of Reference (TOR). The strategic documents that provide the scope and parameters for identifying and formulating projects include the National Development Strategy (NDS), International Compact with Iraq (ICI), Millennium Development Goals (MDGs), and UN Assistance Strategy for Iraq.

While the original project priorities emerged from the 2003 United Nations and World Bank Joint Iraq Needs Assessment, over the years the UNDG ITF has witnessed operational and programmatic transformation in response to Iraq's emerging priorities and challenges. The operational and programmatic shifts have enabled the fund and the participating UN Organizations to remain responsive and relevant to Iraq's rapidly changing context. The current structure and scope of the UNDG ITF (2008 forward) is in accordance with the UN Reform process that aims to further enhance coordination, harmonization and coherence of the UN's engagement in Iraq while contributing to the five fundamental Principles of the Paris Declaration.

As the IRFFI is scheduled to close in 2010, it is important to gather lessons that have been learned in order to ensure that future funds, whether for Iraq or elsewhere, benefit from the unique experiences of the Participating UN Organisations, and all other stakeholders.

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

Background/context:

Given the unique nature of this project vis-à-vis the UNDG ITF guidelines, it is anticipated that the results of the lessons learned exercise will contribute directly both to the GoI's actions towards implementing the Paris Principles, as well as towards identifying areas for improvement for future programming by the UN and the GoI in support of the National Development Plan and achievement of the MDGs as well as the implementation of the UN Development Assistance Framework. Indirectly, the manner in which this exercise will be conducted will provide an example to the GoI and other stakeholders which might serve to guide future lessons learned exercises. It may also guide the final design of the aid coordination mechanisms currently under discussion with the donors and GoI as the successor to the IRFFI Donor and Executive Committees.

Lessons Learned:

UNOPS has experience from previous projects in managing the procurement of complex services, based on the mobilisation and recruitment of consultants to perform specific tasks. While a number of lessons learned were gleaned from such projects the following two are considered key:

1. It is critical to ensure access and availability of GoI interlocutors. Previous mobilisation of consultants and lessons learned/ evaluation exercises have been delayed or protracted through the lack of access to GoI official

and / or access to necessary field locations. Therefore, it is recommended that the GoI should be committed to supporting the outcomes of the project.

2. Drafting a robust yet flexible set of Terms of Reference for the contracting company is necessary to ensure successful stakeholder engagement and to be able to plan for contingencies such as lack of access through heightened security risks.

Assessment of Cross-cutting Issues: Given the nature of the project, it is anticipated that the assessment of the projects will entail the examination of impact on these cross cutting issues, and will elicit lessons learned concerning how the UN succeeded or failed in addressing them through the UNDG ITF-funded interventions.

<u>Human rights</u>: The LLE will be potentially assessing the degree to which the HRBA approach was applied and reflected in the projects, and will hopefully provide recommendations for improved application of its principles.

<u>Gender equality</u>: The LLE will be potentially assessing the degree to which gender issues are addressed/ reflected in the projects, and will hopefully provide recommendations for improved gender sensitivity and focus in future programming.

<u>Key environmental issues:</u> The LLE will be potentially assessing the degree to which environmental impact of interventions was taken into account and reflected in the projects, and will hopefully provide recommendations for improved responsiveness to environmental implications of projects.

<u>Employment generation</u>. The LLE will be potentially assessing the degree to which employment generation was addressed through and resulted from the projects. The LLE project itself will not generate any employment.

Agency Experience in Iraq/in the Sector:

<u>UNOPS</u> provides project management services to the UN, international financial institutions (including bilateral donors, development banks, and other non-private and non-profit entities), and governments. UNOPS began operations in Iraq in the late 1990s and the structure of its current Iraq Operations Centre was established in 2004. The total budget value of UNOPS operations in Iraq since 2004 exceeds USD 240 million. Current project activities range widely and include electoral support, local development and employment creation, constitutional support and human rights, support to IDPs, water and sanitation, waste management, rehabilitation of maternity wards, de-mining, environmental support, and support services to the International Compact with Iraq. UNOPS has broad experience in the procurement of consultancy services for Iraq, similar to that which is anticipated under this project.

4. The Proposed Programme

The approach being taken with this project is to combine a desk review with field work, to ensure a broad engagement with stakeholders and to gather a significant body of information that will enable the experts to identify lessons learned and good practices that might inform the formulation of any future multi-donor trust fund coordination mechanism.

The key objectives of this comprehensive lessons learned exercise are:

1. To assess the development effectiveness of the programmes and projects administered under the UNDG ITF and to showcase the contributions and results of the UNDG ITF activities towards recovery, reconstruction and development efforts vis-à-vis Iraq's national priorities stipulated in NDS, ICI and MDGs;

- 2. To assess the effectiveness of the UNDG ITF processes in supporting compliance with the Paris Declaration principles and the UN reform process in Iraq;
- 3. To understand the relevance of design, legal arrangements and governance mechanisms of the UNDG ITF as well as internal UN coordination arrangements within a two-window MDTF vis-à-vis recovery, reconstruction and development priorities and challenges.
- 4. To provide an evidence base for the UN System and the MDTF office for the development and refinement of new and existing MDTFs respectively.
- 5. To guide the GoI, donors, and the UNCT in establishing effective coordination and operational mechanisms in support of aid and development effectiveness;

To achieve this, the project is designed in four phases, with Phases 1 and 2 taking place during the first half of the project cycle, and Phases 3 and 4 in the latter half. The proposed LLE will be undertaken by an independent team of experts or an organization/ institution that will be selected by the SC in collaboration with the Lessons Learned Management Team (LLMT) comprising of SCSO and the Planning, Monitoring and Evaluation (PM&E) Unit in the Office of the DSRSG/ Resident Coordinator for Iraq and the MDTF Office. The SCSO is responsible for the operational management of the LLE ensuring it is compliant with the procurement procedures of the AA. The PM&E will guide the technical management of the process in line with the agreed Terms of Reference and UNEG Norm and Standards for Evaluation respectively.

The success and credibility of the LLE is contingent upon the quality of evidential data generated as part of the ongoing independent evaluations and adherence to the agreed upon methodology. The methodology for the LLE should ensure that rigorous processes are undertaken for gathering solid facts and figures, careful solicitation and documentation of first hand knowledge and experiences, in depth review of secondary information and review of trends before reaching generalized conclusions. To ensure objectivity and impartiality, the LLE will be undertaken by an independent Lessons Learned (LL) Team, to be recruited in accordance with the UN's procurement guidelines. During the preparatory phase, a detailed methodology, approach and programme of work will be agreed upon between the LL Management Team (LLMT) and the LL Team at the start of the process, following an inception mission by the LL Team. The LL Team Leader will be required to submit an inception report outlining the methodology design, key expected challenges (if any) with mitigation strategies (as needed) and implementation arrangements in the form of a detailed work plan.

1. Preparatory Phase

UNOPS, as the overall manager of the project, will undertake the procurement of evaluation services, based upon the criteria identified in collaboration with the GoI, UNDG ITF SC, and donors. These criteria are defined within the Terms of Reference already endorsed by these stakeholders. In this preparatory phase, the key activities will include: an inception/scoping mission for the Lessons Learned Exercise; agreement on methodology and detailed work plan, and; convening of the initial stakeholder meeting to launch the LL process evaluation process. The LL Team will carry out an inception mission to assess the feasibility and scope of the proposed exercise vis-à-vis the endorsed Terms of Reference and to help guide the UN on how best to conduct this exercise. The LL Team will also meet with the teams undertaking the independent evaluation of selected UNDG ITF programmes/projects to ensure how to maximize synergies between the two complementary processes.

2. Field work/ Data Collection Phase

This phase will combine a desk review of documents, reports, supporting materials, supplemented by meetings with relevant stakeholders and key informants. Following the finalisation of the questionnaires, the team will conduct field visits to collect primary data.

Desk review of secondary information: The exercise should refer to existing information contained in the UNDG ITF Agency Project proposals, annual progress reports, IRFFI/ UNDG ITF Evaluation reports (including evaluations produced by World Bank programming), Agency project evaluation reports, Audit

reports, Donor reports, UNCT and GoI strategic planning documents, UNDG ITF governance and legal documents including Memorandum of Understanding, Letter of Agreement, IRRFI Terms of Reference, and other supporting documents. In particular, the LLE will heavily rely on the findings of the ongoing evaluations of UNDG ITF programmme/ projects by the Participating UN Organizations. The consolidated evaluation report will form part of the Lessons Learned Document while providing basis for demonstrating the linkages between the development and operational effectiveness of the UNDG ITF.

Collection of primary data: Interviews with key stakeholders including the Evaluators involved in the UNDG ITF programme/ project evaluations, focus group discussions, observations through participation in some of the UNDG ITF processes, surveys and questionnaires, field visits (as required). A full 360 degree assessment approach will be followed to understand the strengths and weaknesses of the UNDG ITF to identify best practices and to help generate lessons for the future.

Case studies: The lessons learned exercise will follow a case study approach to showcase the contributions of UNDG ITF reconstruction and development efforts as well as to highlight the procedures and processes that have contributed to the achievement of development results following evaluative evidence provided by the ongoing UNDG ITF programme/ project evaluations. To the extent possible, the team leading the lessons learned exercise will make use of the available evaluative evidence to demonstrate development and operational effectiveness of the UNDG ITF. If required, a number of projects/ programmes that are already being evaluated may be selected for a much deeper analysis of development and operational effectiveness of the UNDG ITF.

3. Data Analysis Phase

During this period, the experts will undertake data analysis of the qualitative and quantitative data acquired from the field work and data collection processes following the LL themes and key questions. Additionally, they will review the UNDG ITF programme/project evaluations and the consolidated evaluation report to distil lessons and case studies on operational and development effectiveness at project/ programme level

4. Reporting on Findings and Recommendations – Final Phase

During this period, the experts will prepare the draft Lessons Learned report for presentation to the Steering Committee and MDTF Office. Based on feedback, the report will be finalised and submitted to the MDTF/SCSO. Included will also be recommendations for its further dissemination, in order to ensure transparency. A meeting will be organised in Baghdad to present the findings of the LLE.

The following details will assist in better understanding of the LLE scope and means of measurement.

Scope of the UNDG ITF Lessons Learned Exercise

The proposed LLE will closely examine the development and operational effectiveness of the UNDG ITF. The LLE will distil the learning from the ongoing independent evaluation of 37 UNDG ITF programmes/ projects and provide evidence on their respective contributions towards development results. The exercise will also look at the underlying processes, mechanisms and identification of good practices that have been critical to the achievement of development results as stipulated in UNDG ITF programmes/ projects implemented since the Fund's inception in 2004 and later guided by the UN Assistance Strategy, the NDS and the ICI. Therefore, on one hand the LLE will take stock of the direct and indirect contributions of the UNDG ITF towards development results in Iraq following the findings of the upcoming independent evaluation of UNDG ITF programme/ projects by the Participating UN Organizations and on the other hand it will identify strengths and weaknesses of the associated UNDG ITF operational structures, mechanisms and processes their contributions towards the realization of development results.

The LLE will also take inputs from earlier evaluations, reviews and audits. To date, the UNDG ITF has undergone two independent reviews at the Fund level, one UN audit of the Administrative Agent and one donor verification mission. The first review was completed by PriceWaterhouse Coopers (PWC) in April 2006, which provided an assessment and advice on the pertinence of mechanisms used to operationalise the UNDG ITF during its set-up, while generating lessons learned and best practices applicable to similar operations in the future. The second review, which included both the UNDG ITF and the WB ITF, was finalized and approved by the IRFFI Donor Committee in February 2009. It was completed by the Scanteam of Norway and provided a stocktaking of the current IRFFI portfolio and the status of a sample of projects to determine if the IRFFI was on track and having a positive impact. The LLE will also follow up on the recommendations coming from the Stocktaking Review of IRFFI undertaken by ScanTeam, mainly in relation to gaps in the legal, financial and administrative framework that hinders collaboration within a two-window model. At the same time, the Scan Team's project/ programme specific recommendations will be partially addressed in the ongoing UNDG ITF programme/ project evaluations to be undertaken by the Participating UN Organizations.

Measuring the Development Effectiveness of the UNDG ITF:

The development effectiveness of UNDG ITF will be guided by already completed as well as ongoing/ upcoming independent evaluations of UNDG ITF programmes/ projects to provide evidence on their respective contributions towards development results. The programme/ project evaluation are based on the OECD-DAC evaluation criteria including:

Overall intended and unintended achievements, results and contributions of the UNDG ITF programmes/ projects towards post-conflict recovery and reconstruction efforts and development impact in Iraq;

Efficiency of the UNDG ITF recovery, reconstruction and development programmes/ projects in delivering the intended results in a timely manner;

Effectiveness of the UNDG ITF programmes/ projects in addressing the underlying post-conflict recovery, reconstruction and development priorities;

Relevance of the UNDG ITF programmes/ projects as best options for addressing the post-conflict recovery, reconstruction and development needs and the extent to which the UNDG ITF programmes/ projects remained relevant to national priorities; and

Sustainability of the UNDG ITF programmes/ projects in terms of continuity of programme/ project benefits accruing to the intended population groups including the Government, state institutions and the people of Iraq

A detailed template for developing the Terms of Reference (TOR) for independent evaluations has been developed in accordance with UNEG norms and standards for evaluation and made available to the individual Participating UN Organizations that will be undertaking the evaluations. This will not only ensure compliance with UNEG norms and standards but it will also allow for a harmonized process across the Participating UN Organizations. Additionally, the TOR provides a set of guiding questions to assess both development and operational effectiveness at the programme/ project level which will contribute to the UNDG ITF LLE. The detailed TOR for the UNDG ITF LLE is attached as Annex B.

Measuring the Operational Effectiveness of UNDG ITF:

The operational effectiveness of UNDG ITF and programmes and projects financed by the fund will be assessed under six broad themes. Each theme has sub-categories to further comprehend the dynamics, relationships, strengths and weaknesses between and within the various UNDG ITF governance, accountability, management and coordination structures and mechanisms and their contribution to broader development and reconstruction efforts in Iraq. The operation effectiveness will look at:

Fund design and structure including the two-window MDTF model and various governance structures and legal instruments in place and how these facilitate the efforts of the donor community and the UN in addressing the reconstruction and development challenges in Iraq.

Alignment and harmonization of the UNDG ITF with other guiding strategic frameworks including NDS, ICI as well as mechanisms to harmonize the processes for strengthened alignment such as PRG, SOTs, ISRB, as well as other donor coordination mechanisms and their resulting impact on improved development effectiveness to be demonstrated by the UNDG ITF programme/ project evaluations.

Management of development results and examining the strengths and weaknesses of UNDG ITF programme/ project design, the value added in terms of scale and scope as a result of transition from single agency projects to joint programmes with a broader development focus, improved results orientation of UNDG ITF programmes/ projects and alignment of project/ programme results with national priorities. In addition, the extent to which the UNCT agreed crosscutting issues are integrated into programming and the strengths and weaknesses of structures such as the Gender Task Force, UN Interagency Team on HIV/ AIDS will be studied. The strengths and weaknesses of the UN Joint Analysis Unit promoting evidence based planning and programming will also be addressed. Also included in this area will be an assessment of UN agencies value added in regards to joint programming and engagement in specific thematic areas.

Development of national capacities and the role of the Participating UN Organizations in addressing capacity gaps as part of the broader UN mandate will be looked at. The LLE will critically analyze the effectiveness of approaches followed by UNDG ITF structures and UNDG ITF programme/ projects in response to UN's mandate of capacity development.

National ownership of the UNDG ITF structures and processes and the perceived and actual role of GoI within each structure both at the level of the Fund as well as programmes/ projects as well as the GoI leadership and initiatives in this regard. This would facilitate the learning on how GoI and other national stakeholders should position themselves within the UNDG ITF structures for greater sustainability, alignment and harmonization.

Accountability for development and operational effectiveness remains paramount in the UNDG ITF context. It is pertinent to study the strengths and weaknesses of the UNDG ITF accountability framework and how monitoring, reporting and evaluation evolved during the implementation of programmes and projects. The role of GoI and national partners towards accountability at the level of fund and programmes/ projects will be reviewed. In addition, strength and weakness of remote monitoring arrangement, use of monitoring date and knowledge management practices as integral elements of UNDG ITF management processes will also be studied.

In addition, the lessons learned exercise will factor in crosscutting considerations including issues of sustainability of structures and processes, partnership base, capacity development and the transition from humanitarian relief and reconstruction efforts to development focus of UNDG ITF for each of the six broad themes. A detailed Thematic Framework with sub-categories and guiding questions in support of LLE will be provided to the Team undertaking the exercise.

The project has several oversight mechanisms to both ensure transparency of the process and engagement of all stakeholders, as detailed in Section 6. However, UNOPS will have the primary responsibility to the UNDG ITF in regards to ensure the project is properly managed. The three consultative mechanisms to be created are the Lessons Learned Steering Committee (LLSC), Lessons Learned Team (LLT), and LL Management Team (LLMT). They will be formed in the initial stages of the project, and will work in close consultation with the existing coordination mechanisms of the UNDG ITF Steering Committee and its Support Office, the MDTF/O, and the IRFFI Donor and Executive Committees.

Table 1: Results Framework and Indicators

| Programme Title: | Conducting Lessons Learned and I | Project Evaluation | s for the IRFFI | | | | | | | | |
|--|--|--|-----------------|---|----------------------------|------------------|------------------|--|--|--|--|
| NDS/ICI priority/ goal(s): | ICI Benchmarks (as per the Join | NDS: ndirectly contributes to Goal 6 (Improving the quality of life) and Section 10.2 (Monitoring and Evaluation) ICI Benchmarks (as per the Joint Monitoring Matrix 2008): ndirectly contributes to Section 4.4 (Human Development and Human Security) | | | | | | | | | |
| UNCT Outcome | Strengthened governance institutions and processes for political inclusion, accountability, rule of law and efficient service delivery | | | | | | | | | | |
| Sector Outcome | Outcome 4: Strengthened instituti | Dutcome 4: Strengthened institutions, processes and regulatory frameworks of national and local governance | | | | | | | | | |
| JP Outcome 1 | Strengthened institutions, processes and regulatory frameworks of national and local governance NDS / ICI Priorities: | | | | | | | | | | |
| JP Outputs | UN Agency Specific Output | UN Agency | Partner | Indicators | Source of Data | Baseline Data | Indicator Target | | | | |
| GOI and UNCT supported to generate lessons on Development and operational effectiveness of the UNDG-Iraq Trust Fund | GOI and UNCT supported to generate lessons on Development and operational | essons on ent and operational UNOPS ess of the UNDG-Iraq | MoPDC | Inception mission report produced | Project progress report | No | Yes | | | | |
| | | | | Number of project evaluations reviewed | Project progress report | 0 | 37 | | | | |
| | effectiveness of the UNDG-Iraq Trust Fund | | | Meta evaluation report covering 37 UNDG ITF project evaluations produced | Meta evaluation report | No | Yes | | | | |

| | Lessons Learned document in Arabic and English produced | Project progress report | No | Yes |
|--|--|----------------------------|----|-----|
| | LL results presented to IRFFI Donor Committee, GoI, and UNDG ITF SC. | Project progress report | No | Yes |

6. Management and Coordination

Project implementation and supervision arrangements

Under the overall project management of UNOPS, the LLE will be undertaken by an independent team with demonstrated experience of managing such processes. The entire process will be under the guidance and direction of the UNDG ITF Steering Committee and SCSO, and in close consultation with the Participating UN Organizations, MoPDC, donors, and the MDTF Office as Administrative Agent (AA).

In order to ensure both inclusion and transparency, three consultative mechanisms will be created to work together with each other as well as the existing institutions/structures of the UNDG ITF Steering Committee and SCSO, MDTF/O, etc., namely: Lessons Learned Steering Committee (LLSC), Lessons Learned Team (LLT), and LL Management Team (LLMT). The roles of all stakeholders are defined below:

Lessons Learned Steering Committee (LLSC)

The LLSC will be co-chaired by the DSRSG/ Chair of the UNDG IT SC and MoPDC, and will have representation from the donor community², the UNDG ITF SC³ and the MDTF Office.. The committee will:

- Serve as a quality assurance mechanism at the strategic level by ensuring the LLE process remains credible, impartial, participatory, independent and in line with the agreed TOR and with highest quality standards;
- Serve as a communication channel to provide updates on the process to respective institutions and governing bodies;
- Through the DSRSG, provide regular updates and feedback on the process to the IRRFI Executive Committee and IRFFI Donor Committee;
- Review and endorse the Lessons Learned Report for wider dissemination to all stakeholders;
- Meet periodically with the LLT to review the process, ensure its compliance with established standards and requirements and to provide strategic inputs in accordance with the approved ToR;

UNDG ITF Steering Committee

Under the leadership of the DSRSG as SC Chair, the UNDG ITF SC will

- Support the overall management of the LLE in agreement with the ToR and the agreed work plan (to be developed in consultation with the LLT);
- Provide inputs in the recruitment of the LLT;
- Provide feedback to the periodic updates and reports by the LLMT on the process;
- Guide and facilitate the work of LLT by ensuring access to primary and secondary data sources;
- Provide oversight on the process and ensure it is undertaken in line with agreed ToR and with highest quality standards.

Lessons Learned Team (LLT)

The Lessons Learned Team, comprised of an independent firm/ organization experienced in doing similar kind of evaluative exercises, will be recruited through a competitive bidding process and following rigorous technical assessment. The technical assessment will be based on, but not limited

 $^{^{\}rm 2}$ The IRRFI Donor Committee Chair will nominate donors for the LLSC

 $^{^{\}rm 3}$ UNOPS as implementing partner as well as a member of the UNDG ITF SC will be represented on the LLSC

to, the following criteria:

- Demonstrated experience undertaking assessments on development effectiveness and operational effectiveness in Iraq or any other comparable situation;
- Relevant assignments for organizations in multi-donor trust funds or multi-lateral arrangements operating in dynamic changing work environment (such as Iraq).
- General organizational capability (i.e. holding company or one firm, size of the firm/organization, strength of project management support e.g. project management controls).
- Ability and commitment to ensure field presence inside Iraq for primary data collection, verification of secondary data and/ or meetings with key stakeholders

The LLT will work under the overall guidance of the DSRSG in her capacity as UNDG ITF Steering Committee Chair, and under the direct supervision of the UN Lessons Learned Management Team (LLMT).

Role of LL Management Team (LLMT)

The LL Exercise will be coordinated and managed by the inter-office Lessons Learned Management Team (LLMT) that includes the Planning, Monitoring and Evaluation (PM&E) Unit, the UNDG ITF SCSO, the MDTF Office and UNOPS. The LLMT will be directly managing the LLT on a daily basis: operational management will be handled by SCSO and the technical management of the process will be supervised and managed by the Head PM&E Unit. The involvement of UNOPS in the LLMT will be focused on operational aspects of the LLE process. The LLMT will report to the DSRSG/ Chair of the UNDG ITF SC on a regular basis for guidance, management support and escalating any issues, substantive or operational, affecting the LLE. The LLMT will:

- Provide project background information and any other secondary data;
- Ensure that all stakeholders are informed about the Lessons Learned exercise and its underlying objectives;
- Liaise with the LL Team in finalizing the methodology, the detailed work plan, and provide necessary inputs and guidance to the LL Team, as and when;
- Oversee the process, on behalf of the SC, in accordance to the agreed terms of reference, UN standards to ensure that the process remains objective, neutral, impartial and independent;
- Review and approve the Lessons Learned Report and ensure its dissemination to all stakeholders;
- Facilitate, as necessary, the field work and provide logistical support for the LL Team;
- Brief UNDG ITF SC on the LL process and seek guidance, as and when needed;
- Manage contractual obligations and verification of deliverables and payments.

Role of Participating UN Organizations

In addition to their role within the UNDG ITF SC, individual UN Organizations will:

- Meet with consultants as requested;
- Provide information for the desk review as specified in the list of documents to be reviewed;
- Depute agency staff and M&E focal points to assist as needed;
- Share the results of the UNDG ITF Project and Programme evaluations;
- Respond to any requests to help support the successful completion of the LL exercise.

Role of Donors

In addition to participating in the LLSC, the Donors will meet with consultants as requested; provide any relevant information for the desk review, and; respond to any information and feedback requests to help support the successful completion of the LL exercise.

Role of Government of Iraq

Aside from the role played by the MoPDC, all counterpart GoI institutions will be involved in terms of meeting with consultants as requested and facilitating meetings at various levels of government; providing any relevant information for the desk review, and; responding to any information and feedback requests to help support the successful completion of the LL exercise.

Role of SCSO and the MDTF Office

Aside from their involvement as indicated above, the SCSO and the MDTF/O will:

- Provide project background information and any other secondary data;
- Meet with consultants as requested;
- Ensure that all stakeholders are informed about the Lessons Learned exercise and its underlying objectives;
- Provide necessary inputs and guidance to the LLMT, and LL Team, as and when needed;
- Review and approve the Lessons Learned Report and ensure its dissemination to all stakeholders;
- Facilitate, as necessary, the field work and provide logistical support for the LL Team;
- Ensure to the greatest extent possible the dissemination of the lessons learned and the development of knowledge products at the conclusion of the exercise.

Role of UNOPS

Aside from UNOPS' involvement as a member of the UNCT and participating relevant UN Organization, the project will be executed by UNOPS. The UNDG ITF Steering Committee and SCSO will liaise directly with UNOPS, provide technical oversight and supervision, and advise UNOPS of the decisions made by the LLSC, LLMT, LLT, and the UNDG ITF Steering Committee. Management and oversight of the project will be according to UNOPS' standard procedures and other reporting requirements agreed between UNOPS, UNAMI and the UNDG/ITF.

All project activities shall be carried out in accordance with this project document and the attached work plan. Any changes or additions in the work plan or the type of support to be provided by UNOPS will be issued in writing by the responsible SCSO personnel. Upon receipt of such changes in instructions, UNOPS will alter the relevant budget requests submitted to UNDG/ITF to reflect the new requirements and seek approval from the funding source if necessary. Through the use of consultants, it is anticipated that there will be no problem in terms of security slots restrictions – all consultants will be based in Baghdad. The selected management consultancy contractor will be responsible for overall security of the consultants as part of the contractual obligations. UNOPS will be responsible for liaising regularly with SSI to ensure that the latest security protocols are observed, as well as to facilitate any security support that may be required for specific missions of the consultants into the red zone or other parts of the country.

Overall management of this project shall come under the direction and supervision of the Programme Manager for Technical Services (existing function within UNOPS, therefore requiring 0% support from the project). The Technical Services Programme Manager will be responsible for the oversight of the procurement of the consulting company procured to carry out the Lessons Learned Exercise. The Programme Manager, who will ensure that the Project's objectives are realised through the delivery of the outputs by the Project's implementing partners delivering their project components to schedule and taking the required corrective action whenever necessary. S/He will be supported by a

part-time Procurement Manager and Procurement Officer (based in Amman), and will liaise when necessary with SCSO.

Recruitment of project personnel will be carried out in line with UNOPS HR rules and procedures. At all times, project personnel will operate according to the appropriate UN procedures (including UN-DSS rules for deployment and mission travel). Any personnel engaged by project sub-contractors will come under the responsibility of the contracted organisation/company.

| No | Position Title | Full/part- | National/ | Location |
|----|--|------------|---------------|---|
| | | time | international | |
| 1 | Programme Manager Main responsibilities: project management, oversight, financial and narrative reporting | 05% | International | Baghdad/Iraq (If not possible due to UNDSS restrictions/non- availability of slots then position will be based in Amman, Jordan with frequent missions to Iraq.) |
| 2 | Procurement Manager Main responsibilities, oversee the issuing and the advertising of the RFP and the contracting of the company. | 20% | National | Amman, Jordan |
| 3 | Procurement Officer Main responsibilities: processing of invoices, payment and financial analysis. | 20% | National | Amman, Jordan |

| TT1 C 11 + 11 | · 1 · C / · | ·1 · · | personnel to be involved: |
|---------------------|---------------------------------|---------------------------------------|---------------------------|
| The following table | nrovides information | on the project i | nerconnel to be involved. |
| | DIOVIDOS IMOLIMATION | | |
| | F · · · · · · · · · · · · · · · | · · · · · · · · · · · · · · · · · · · | |

All payments made by UNOPS to service providers and suppliers under this project will be carried out in line with UNOPS' standard procurement rules (including verification that cost items are reasonable and in line with market rates etc.), requiring review and approval by the relevant procurement authority. The project will be subject to standard UNOPS reviews and audits.

Delivery mechanism

The project will be implemented by UNOPS in close consultation and in coordination with its project partners, particularly the SCSO, which will have technical oversight and be responsible for the liaison with other stakeholders.

The management consulting firm, engaged by the project, will be entirely responsible for the security of its own office personnel. This will be reflected in the contract awarded by UNOPS.

The security of all UN staff in Iraq is coordinated with UNDSS and UNAMI SSI, in cooperation with the Iraqi counterparts. Any UN personnel involved with this project, including the Programme Manager, will adhere to their security directions.

Project activities will take place both inside Iraq and in Amman, Jordan. The project will deliver a range of outputs, including the entire procurement process to select and engage appropriate Management Consultancy to run the Lessons Learned Exercise, and provide a final report.

7. Feasibility, risk management and sustainability of results

The feasibility of this project's successful implementation is assured to a degree by the fact that it is being undertaken at the request of the GoI and the donor community, who have a vested interest in its

results. Therefore, it is anticipated that there will be the necessary cooperation needed from all stakeholders in the various processes to be undertaken.

The only real risk to the project is that the LLT cannot move about the country as freely as desired, due to security constraints, and that the timeframe of the project may not be sufficient to accommodate any resulting delays in implementation. All efforts will be made to minimise any such constraint through coordination with the UNDSS staff in Iraq, and selection of a competent contractor with the experience in Iraq and therefore the ability to foresee and mitigate such issues.

The sustainability of the results of this project is not really an issue, as this is a one-time exercise. However, through the active engagement of all stakeholders, and particularly the UN, GoI and the donor community, it is hoped that the experience will guide future aid coordination, monitoring and evaluation as part of their obligations under the Paris Declaration.

8. Monitoring, Evaluation, and Reporting

8.1 UNOPS will be responsible for all monitoring and evaluation requirements related to the UNDG ITF, as well as what may be required by its own agency policies and procedures.

The project will be subject to a continuous monitoring process that is consistent with UNOPS in-house best practices (e.g. the review of daily work logs for consultants). Monitoring and quality assurance will be carried out through the following means:

- In consultation with LL team leader, UNOPS will compile quarterly progress reports for the LL Management team, monitoring the implementation of the work plan as well as the resources. The report will also present the assessment of the completed experts' work within the reporting period. A template will be devised by UNOPS to facilitate this process.
- The LL Management team will oversee the LL process, on behalf of the UNDG-ITF Steering Committee, in accordance to the agreed terms of reference, UN standards to ensure that the process remains objective, neutral, impartial and independent and will provide necessary inputs and guidance to the LL Team as needed

8.2. Reporting

- UNOPS will be responsible for all reporting requirements related to the UNDG ITF, as well as reporting as may be required by its own agency policies and procedures. This will include but not be limited to:
- Monthly narrative and financial reports to UNOPS prepared by the LL team leader
- The LL team leader will compile a progress report every quarter on activities detailing progress achieved in terms of the work plan, the problems and constraints emerging over the period and recommendations to overcome them.
- A final report will be prepared to present the overall achievements, challenges and results of the project. It will also contain the final financial reports.

Work Plan 9.

Work Plan for: Conducting Lessons Learned and Project Evaluations for the IRFFI Period Covered by the Work Plan: 01 May–31 October 2010

| JP Outcome(s): | Strengthened institutions, pr | cocesses a | ind regulat | ory frame | eworks of na | ational ai | nd local gov | vernance | |
|--|---|------------|-------------|-----------|--------------|------------|--------------|-------------------------|-------------------|
| UN Organization- specific Annual | Major Activities | | | | | | | Implementing Partner | PLANNED BUDGET |
| targets | | | | | | | | | (by output) |
| | | May | June | July | August | Sep | October | | |
| UNOPS | Selection and contracting of Consulting firm | X | | | | | | LL Team | 10,000 |
| Preparatory Phase | Inception/ scoping mission for the Lessons Learned Exercise | X | X | | | | | LL Team | |
| | Agreement on methodology and detailed work plan | | X | | | | | LL Team | |
| | Participate at the initial stakeholder meeting to launch the LL process evaluation process | | X | | | | | LL team and SCSO | |
| UNOPS | Review of documents, reports, supporting materials | | X | Х | X | | | LL team | 960,038 |
| Field work/ Data Collection | Meetings with relevant stakeholders | | X | X | X | | | LL team | |
| | Finalize questionnaires for primary data collection | | | X | X | | | LL team with SCSO | |
| | Field visits | | | X | X | | | LL Team | |

| UNOPS | Undertake data analysis of | | X | X | | | LL Team | |
|---------------------|--------------------------------|--|---|---|---|----------|-------------|---------|
| | the qualitative and | | | | | | | |
| | quantitative data acquired | | | | | | | |
| | from the field work and | | | | | | | |
| | data collection processes | | | | | | | |
| | following the LL themes | | | | | | | |
| | and key questions | | | | | | | |
| Data Analysis | Review of the UNDG ITF | | X | X | | | LL Team | |
| Ş | programme/ project | | | | | | with MoPDC | |
| | evaluations and the | | | | | | | |
| | consolidated evaluation | | | | | | | |
| | report as well as World | | | | | | | |
| | Bank programme | | | | | | | |
| | evaluations to distil | | | | | | | |
| | lessons, case studies on | | | | | | | |
| | operational and | | | | | | | |
| | development effectiveness | | | | | | | |
| | at project/ programme | | | | | | | |
| | level | | | | | | | |
| UNOPS | Preparation of the draft | | | Х | | | LL Team | |
| | Lessons Learned report | | | | | | | |
| Preparation/ | Presentation on draft | | | | Х | | LL Team | 20,000 |
| finalization of the | findings/ report to SC and | | | | | | | 20,000 |
| UNDG LLE | MDTF, IRFFI Donor | | | | | | | |
| document | Committee, UNDG ITF | | | | | | | |
| | Steering Committee and | | | | | | | |
| | GoI | | | | | | | |
| ľ | Finalization of the Report | | | | | X | LLTeam and | |
| | based on feedback from all | | | | | | SCSO | |
| | relevant stakeholders | | | | | | | |
| | Submission of LL report | | | | | X | | |
| | to MDTF/ SCSO | | | | | | | |
| UNOPS | Dissemination of the | | | | | X | MoPDC; SC/ | |
| 01,010 | UNDG LLE document ⁴ | | | | | 4 | SCSO; MDTF | |
| | | | | | | | Office, RCO | |
| Total UNOPS | | | 1 | | 1 | | - | 990,038 |
| | | | | | | | I | JJ0,050 |

⁴ A meeting will be organized in Baghdad to share the findings, key lessons learned and recommendations from the LLE.

PROGRAMME BUDGET

| PROGRAMME BUDGET | ESTIMATED UTILIZATION OF RESOURCES (US\$) | | |
|---|--|---------|--|
| CATEGORY | AMOUNT (US\$) | 2010 | |
| 1. Supplies, commodities, equipment and transport | 900 | 900 | |
| 2. Personnel (staff, consultants and travel) | 26,400 | 26400 | |
| 3. Training of counterparts | 0 | 0 | |
| 4. Contracts | 880,000 | 880,000 | |
| 5. Other direct costs | 24,500 | 24,500 | |
| Total Programme Costs | 931,800 | 931,800 | |
| Indirect Support Costs (6.25%) | 58,238 | 58,238 | |
| TOTAL | 990,038 | 990,038 | |

BUDGET NARRATIVE

| CATEGORY | ITEM DESCRIPTION | UNIT COST | NUMBER OF UNITS | AMOUNT** |
|--|--|-----------|-----------------------|----------|
| 1. Supplies, commodities, equipment and transport | | | | |
| | Stationery and Office Supply | 150 | 6 | 900 |
| Sub-Total"1" | | | | 900 |
| 2. Personnel (staff, consultants and travel) | | | | |
| | Procurement Manager at 20% | 1,500 | 6 | 9,000 |
| | Procurement Officer at 20% | 1,000 | 6 | 6,000 |
| | International Travel and DSA | 4,080 | 1 | 4,080 |
| | Life support | 7,320 | 1 | 7,320 |
| Sub-Total"2" | | | | 26,400 |
| 3. Training of counterparts | | | | |
| Sub-Total"3" | | 0 | | 0 |
| 4. Contracts | | | | |
| | Contract for recruitment, life support, security and mobilization of NDP consultants | 880,000 | L/S | 880,000 |
| Sub-Total"4" | | | | 880,000 |
| Sub - Total (1-4) | | | | 907,300 |
| 5. Other direct costs** | | | | |
| | Office rent, utilities, vehicle rental | 250 | 6 | 1,500 |
| | Allocable Costs | 5,000 | 1 | 5,000 |
| | Sundry | 6,000 | 1 | 6,000 |
| | Security 2% | | | 12,000 |
| Sub-Total"5" | | | | 24,500 |
| Total Programme Costs | | | | 931,800 |
| Indirect Support costs (6.25%) | | | | 58,238 |
| GRAND TOTAL | | | | 990,038 |

Budget Narrative

Direct costs

1. The major budget item is the contract of a company to independently evaluate the UNDG ITF. The cost components expected will be total costs for the provision of the require staff within the company to undertake the Lessons Learned Exercise.

UNOPS will analyse the proposal received and costs and verify the reasonableness of the individual cost elements by comparing with market rates, costs for similar activities from previous rates. This analysis will be reviewed by UNOPS HQ, and the contracting will likely require the approval of the UNOPS HQCPC.

The entire amount is expected to be committed as soon as the contracting company is selected.

Payments will be made for actual expenditure incurred by the company. Clearance of payment request will also include the requirement for extensive supporting documentation to be provided by the company and confirmation of activities by the UNDG ITF and SCSO.

Any amount that has not been spent on activities will be made available for other project activities or returned to the funding source at the end of the project.

Direct support costs

- 1. The total budget for personnel (USD 15,000) and travel and life support (USD 11,400) is USD 26,400 (2.6% of total project budget). For details on the personnel to be contracted under this Project, please refer to section 6.
- 2. The project's budget also covers estimated costs of
 - USD 12,000 (1.7% of total project budget)) for security-related expenditure; and
 - USD 3,600 (0.07% of total project budget) for communication (USD 300 per month), USD 6,000 for office supplies and stationery (USD 500 per month), USD 12,000 for rental of project office space, utilities and vehicle rental (USD 1,000 per month), as well as USD 4,000 for miscellaneous other costs.

Indirect support costs

The UNOPS AOS rate is 6.25% of expenditure and will cover any indirect costs incurred (in line with the agreement between the EC and the UNDG/ITF and as principally endorsed by the UNOPS Executive Director).

Annex A: Agency Project Status Profile

UNOPS

| Sl. # | Project ID # | Project Title | Total Budget (US\$) | Implementation Rate (% complete) | Commitments (% as at 30 November 09) | Disbursements (% as at 30 November 09) | Remarks |
|-------|-----------------|--|------------------------|--|--|--|----------------------------------|
| 1 | C9-20 | Facilitating Reconciliation Through Constitutional Review (w/ UNAMI-OCS) | 6,033,807 | 80% | 85% | 83% | |
| 2 | C9-21 e | Support to Parliamentary Affairs and Constitutional Outreach (Constitution II) | 1,067,388 | 95% | 91% | 90% | |
| 3 | C9-22 | Assistance for the Establishment of the Secretariat for the International Compact with Iraq | 3,414,816 | 85% | 85% | 82% | |
| 4 | C9-25 | Iraqi Civil Society Empowerment Project | 4,255,193 | 30% | 11% | 6% | NGO Law only ratified April 2010 |
| 5 | G11-19 | Institutional Development – Organisational and and HR Capacity Building for the IHEC Phase II (w/ UNAMI) | 3,892,669 | 75% | 88% | 81% | |
| 6 | G11-21 | Support to National Electoral Observer Groups for the Electoral Events of Iraq 2009 - 2010 | 8,000,000 | 60% | 48% | 91% | |
| | | Total | 26,663,873 | 70.84% | 68% | 72.17% | |

ANNEX B



UNITED NATIONS ASSISTANCE MISSION FOR IRAQ

TERMS OF REFERENCE UNITED NATIONS DEVELOPMENT GROUP – IRAQ TRUST FUND LESSONS LEARNED EXERCISE

1. Introduction and Context

The United Nations Development Group Iraq Trust Fund (UNDG ITF) was established in 2004 as one of two trust funds of the International Reconstruction Fund Facility for Iraq (IRFFI). The IRFFI was designed in close consultation with the Iraqi authorities, donors, the World Bank and the United Nations in response to international requests to undertake post-conflict recovery, reconstruction and development activities in Iraq in a coordinated manner. Consequently, the Multi-Donor Trust Fund (MDTF) mechanism was created to enable donors to channel their resources through a single funding mechanism to the World Bank and Participating UN Organizations. A total of 25 donors have contributed to UNDG ITF as per the Letter of Agreement signed with the MDTF Office.

The IRFFI/UNDG ITF is the first MDTF to be administered by the United Nations in partnership with the World Bank and provides donors with a single channel for funding thereby reducing donors' transaction costs. It was also the first time that the UNDG organizations adopted common planning, funding, coordinated implementation and reporting arrangements through a thematic 'cluster' framework (See Annex 1).

The UNDG ITF is administered by the UNDP MDTF Office as AA on behalf of the Participating UN Organizations. This arrangement has been formalized through the Memorandum of Understanding (MOU) signed between each of the 22 Participating UN Organizations and the UNDP MDTF Office, as the AA. The MOU sets out the roles and responsibilities of each Participating UN Organization, which assumes full programmatic and financial accountability for the funds disbursed to it. There are 16 UN Organizations implementing projects and joint programmes in Iraq through the UNDG ITF. A total of 166 programmes/ projects have been implemented under the UNDG ITF to date contributing to recovery, reconstruction and development initiatives in Iraq.

The IRFFI structure is designed to ensure that activities financed by the WB ITF and the UNDG ITF are aligned with the Government of Iraq's priorities as outlined in the IRRFI Terms of Reference (TOR). The strategic documents that provide the scope and parameters for identifying and formulating projects include the National Development Strategy (NDS), International Compact with Iraq (ICI), Iraq Millennium Development Goals (MDGs), and UN Security Council Resolutions (SCR)1546 (2004) and 1770 (2007), and UN Assistance Strategy for Iraq.

Current UNDG ITF portfolio, as of 31 October 2009

| Total Portfolio* USD: | 1,424,033,406 |
|---------------------------------------|---------------|
| Total Commitments USD: | 1,358,504,292 |
| Total Deposits USD: | 1,354,639,372 |
| Total Interest USD: | 65,529,114 |
| Approved for funding USD: | 1,276,701,979 |
| Transfers to Part. Orgs USD: | 1,249,042,496 |
| Un-utilized Funds Returned USD: | 7,895,791 |
| No. of Participating Orgs: | 22 |
| No of Donors: | 25 |
| Approved Projects & Joint Programmes: | 166 |

* Total Portfolio = Commitments + Interest

While the original project priorities emerged from the 2003 United Nations and World Bank Joint Iraq Needs Assessment and SCR 1546, over the years the UNDG ITF has witnessed operational and programmatic transformation in response to Iraq's emerging priorities and challenges. The operational and programmatic shifts have enabled this rather unique fund and the participating UN Organizations to remain responsive and relevant to Iraq's rapidly changing context within the strategic mandates ascribed by the SCRs, NDS and ICI. The current structure and scope of the UNDG ITF (2008 forward) is in accordance with the UN Reform process that aims to further enhance coordination, harmonization and coherence of the UN's engagement in Iraq while contributing to the five fundamental Principles of the Paris Declaration. In examining the IRFFI/UNDG ITF, it is necessary to take into account the stages of transition. Post 2007, emphasis shifted from large scale reconstruction and infrastructure rehabilitation to capacity and policy development as well as greater attention to the Paris Declaration and aid effectiveness.

1.1 UN Strategic Mandate in Iraq

The role of the UN in Iraq is derived from SCR 1546 (2004) and SCR 1770 (2007) and is implemented through United Nations Assistance Mission for Iraq (UNAMI) led by the Special Representative of the Secretary-General (SRSG). SCR 1770 expanded UNAMI's mandate to provide humanitarian, reconstruction and development assistance. In August 2008, SCR 1830 was endorsed. The new SCR extended the mandate of the UNAMI for a period of twelve months from the date of the resolution. It also further determined that the SRSG and UNAMI, at the request of the Gol shall continue to pursue their expanded mandate as stipulated in resolution 1770 (2007).

The UN Iraq Assistance Strategy (2008-2010), developed jointly by the Gol and the United Nations Country Team (UNCT), defines the specific role and contributions of the UN towards Iraq's reconstruction, development and humanitarian needs over the three year period. It addresses the priority needs of the Iraqi people as defined in the NDS, the ICI and the MDGs. The UN Assistance Strategy has recently been reviewed and updated by the UNCT in line with the evolving context and emerging priorities in the country. The UN Assistance Strategy, which focuses on capacity development and the provision of technical assistance, provides guidance to the UN and Participating UN Organizations in the development of activities in cooperation with Iraq and serves as a reference document that aims to:

- Reinforce policy development and coordination at all levels of society across Iraq
- Support the foundation for sustainable reconstruction and development
- Provide assistance for durable solutions on humanitarian issues arising in Iraq
- Strengthen partnerships between UN and other partners, particularly with the NGO community

All programmes/ project implemented under the UNDG ITF are aligned with the NDS and the ICI, and strive to maintain national ownership and ensure full accountability in accordance with the Paris Declaration on Aid Effectiveness, which the GoI endorsed on 29 May 2008.

1.2 UNDG ITF Governance Arrangements

In order to enhance the development effectiveness and to maximize the impact of each donor contribution, the UNDG ITF has institutionalized governance structures and mechanisms that build on principles of harmonization, alignment and national ownership. The UNDG ITF operates within the UNCT coordination structure to ensure inter-agency, donor and government participation in the identification, design, development and approval as well as implementation and monitoring of the UNDG ITF activities. The UNDG ITF is also governed by the IRFFI TOR, the UNDG ITF Steering Committee (SC) TOR and Rules of Procedure (ROP). The SC coordinates and oversees the operations of the UNDG ITF, and provides overall strategic guidance and oversight in addition to making decisions on fund allocation. It is supported by the Steering Committee Support Office (SCSO) in line with the agreed UNDG ITF procedures and works in close collaboration with the MDTF Office as the AA. Sector Outcome Teams (SOTs) are established to coordinate strategic planning, technical review and approval of projects and programmes funded under UNDG ITF while liaising with line ministries and national partners. A Peer Review Group (PRG) mechanism comprising of donors and the members of the UN Participating Organizations is in place to provide an objective strategic review of programme proposals, ensuring transparency, programmatic coherence and stakeholder involvement in the identification, design and implementation of UN-supported activities in Iraq. The Iraq Strategic Review Board (ISRB), a national body, provides overall policy and strategic guidance for donor assistance and serves as the final approving authority for all programming in Irag including IRFFI UNDG ITF funded programmes and projects. It is led by the Ministry of Planning and Development Cooperation (MoPDC) which is the primary interlocutor of the GoI for IRFFI and, as Chair of both the IRFFI Executive Committee and the ISRB, plays an important oversight and advisory role in the distribution and allocation of UNDG ITF Funds in line with the agreed programmatic priorities. Details of UNDG ITF governance arrangements are provided in Annex 2.

2. Purpose of the Lessons Learned Exercise

At the Seventh IRFFI Donor Committee (DC) in July 2008, donors agreed that it was an appropriate time to plan for the closure of IRFFI. The IRFFI DC emphasized the importance of an orderly, efficient wind up that would allow for the successful completion of all projects and programmes, and ensure compliance with UN and World Bank legal agreements and related conditions, without undermining long-term gains and results on the ground. The Executive Committee, based on recommendations made by the UNDG ITF and World Bank ITF administrators, presented a proposal to the IRRFI DC that recommended final closing date for IRFFI, as well as cut-off dates for new donor contributions and the approval of new projects by the UN and World Bank. At the Eighth IRFFI DC meeting in November 2009, the UNDG ITF was extended by six months implying that no new projects/

programmes will be approved beyond 30 June 2010.

Furthermore, the Seventh IRFFI DC meetings requested to commission a comprehensive lessons learned and evaluation exercise to distil accomplishments, lessons and experiences gained during the implementation of the UNDG ITF to assist Iraq to strengthen future programming and aid effectiveness while informing the UN System and the donors of the mechanism, what worked and what did not work and why. The Eighth IRRFI DC in November 2009 emphasized the need to look at both development and operational effectiveness of the UNDG ITF following a participatory process involving all stakeholders including non-IRRFI donors. Additionally, the donors reiterated their earlier request to also follow up on the recommendations and findings of the ScanTeam report

In planning for the closure of the IRFFI, the UNDG ITF Lessons Learned Exercise (LLE) is intended to provide lessons learned during the course of implementation of programme and projects and their respective contributions in terms of achievements, constraints and failures towards collective donor funded recovery, rehabilitation and development efforts in Iraq while critically reviewing the associated UNDG ITF processes and procedures and their role in maximizing the operational effectiveness of the UNDG ITF. To the extent possible, the LLE will gain from the ongoing independent evaluations of 34 UNDG ITF programmes/ projects to objectively assess the programmatic contributions to development priorities and challenges in Iraq. The ongoing evaluations that are in accordance with the United Nations Evaluation Group (UNEG) evaluation norms and standards will significantly contribute to the LLE by providing a strong evidence base for the UNDG ITF contributions towards development results, while equally reflecting on the operational effectiveness of programmes/ projects funded by the UNDG ITF

The UNDG ITF is the first, oldest and largest MDTF operating in the UN system and largely seen as a front runner to the Delivering as One (DaO) approach. This MDTF has already undergone a number of external evaluations, reviews and audits. The proposed exercise will provide invaluable lessons for the UN System and the Gol with regards to the programmatic achievements of the UNDG ITF in line with the OECD-DAC criteria for evaluations while equally assessing the contributions towards the key principles of aid effectiveness including harmonization, alignment, national ownership and accountability for development management. It will specifically assist the Gol in showcasing the overall contribution of the UNDG ITF towards recovery and development efforts in the country while assisting the Gol in defining effective aid coordination and oversight mechanisms for the future. Specifically, the learning will accrue benefits to key UNDG ITF stakeholders, as follows:

UN System: Since 2004, there has been a significant growth in the number of donors and respective levels of contributions in support of UN MDTFs. At present, over 27 MDTFs are operational with a total cumulative value of more than \$4 billion while many others are under development. By comparison, in 2004 donors contributed approximately \$275 to MDTFs which increased to over \$847 million in 2008 and initiated many of the new MDTFs, notably the Millennium Development Goals Achievement Fund. Given the growing interest and use of the UN MDTF mechanism, major measures have been undertaken between 2007-09 to review and strengthen the legal instruments, governance framework and policies to ensure greater transparency and oversight.

Participating UN Organizations/ UNCT Iraq: The exercise will allow for accountability of the Participating UN Organizations towards their mandated undertakings in Iraq and the extent to which they have effectively contributed towards Iraq's recovery, reconstruction and development through the UNDG ITF, The lessons from the exercise will enable the Participating UN Organizations to show case their individual and collective contributions towards national priorities since the inception of the

fund while also reflecting on operational mechanism and processes to further improve joint programme planning, design and management processes. The UNCT Iraq will particularly benefit from the outcome of this exercise as it engages with the Gol on developing post-IRRFI coordination and funding mechanism for Iraq. The learning from this comprehensive exercise will further enhance operational effectiveness of the UNCT by providing basis for defining and refining coordination, programming and management mechanisms for the effective implementation of the first United Nations Development Assistance Framework (UNDAF) for Iraq.

Donors: Since the establishment of the UNDG ITF, the donor community has generously contributed to the 27 MDTFs that exist to date. The LLE will examine the coordinated role and efforts of donor contributions in addressing post-conflict recovery, reconstruction and development efforts while assessing the operational effectiveness of UNDG ITF as a modality facilitating development effectiveness. The LLE will look at the role the donor community has played in the overall programme policy and operational coordination of UNDG ITF at HQ and field levels. It will explore how donors have coordinated their bilateral assistance strategies vis-à-vis the UNDG ITF to maximize the development impact of the fund and the extent to which donors involved in the operational principles of the MDTF such as earmarking, reporting, visibility, evaluation and related issues. The exercise will provide a learning base for the donor community irrespective of their association with IRFFI/ UNDG ITF and will provide a benchmark to compare the development and operational effectiveness of the UNDG ITF vis-à-vis bilateral donor engagement in Iraq and in other similar situations.

Government of Iraq: The LLE will aid the Gol's in seeing the added value of the UNDG ITF as part of broader international recovery, reconstruction and development efforts in Iraq. It will also allow the Gol to identify the strengths and weaknesses of its own role in the management, coordination and oversight of the UNDG ITF and its effectiveness in addressing national development priorities. The exercise will provide a basis for designing an effective country-led aid coordination mechanism that builds on the effective UNDG ITF processes and mechanisms that are in line with the Paris Declaration Principles.

3. Key Objectives of the Lessons Learned Exercise

The key objectives of this comprehensive lessons learned exercise include:

- To assess the development effectiveness of the programmes and projects administered under the UNDG ITF and to show case the contributions and results of UNDG ITF towards recovery, reconstruction and development efforts in Iraq;
- 7. To assess the effectiveness of the UNDG ITF processes in supporting compliance with the Paris Declaration principles and the UN reform process in Iraq;
- 8. To understand the relevance of design, legal arrangements and governance mechanisms for the UNDG ITF as well as the UN internal coordination arrangements within a two-window Fund vis-à-vis recovery, reconstruction and development priorities and challenges, highlighting their contribution towards the achievement of development results in Iraq. This exercise will also provide an evidence base for the UN System and the MDTF office for the development and refinement of new and existing MDTFs respectively.
- 9. To guide the Gol, donors, and the UNCT in establishing effective coordination and operational mechanisms in support of aid and development effectiveness;

4. Scope of the UNDG ITF Lessons Learned Exercise

The proposed LLE will closely examine the development and operational effectiveness of the UNDG ITF. The will distill the learning from the ongoing independent evaluation of 34 UNDG ITF programmes/ projects and provide evidence on their respective contributions towards development results. The exercise will also look at the underlying processes, mechanisms and identification of good practices that have been critical to the achievement of development results as stipulated in UNDG ITF programmes/ projects implemented since the Fund's inception in 2004 and later guided by the UN Assistance Strategy, the NDS and the ICI. Therefore, on one hand the LLE will take stock of the direct and indirect contributions of the UNDG ITF towards development results in Iraq following the findings of the upcoming independent evaluation of UNDG ITF programme/ projects by the Participating UN Organizations and on the other hand it will identify strengths and weaknesses of the associated UNDG ITF operational structures, mechanisms and processes their contributions towards the realization of development results.

The LLE will also take inputs from earlier evaluations, reviews and audits. To date, the UNDG ITF has undergone two independent reviews at the Fund level, one UN audit of the Administrative Agent and one donor verification mission. The first review was completed by PriceWaterhouse Coopers (PWC) in April 2006, which provided an assessment and advice on the pertinence of mechanisms used to operationalise the UNDG ITF during its set-up, while generating lessons learned and best practices applicable to similar operations in the future. The second review, which included both the UNDG ITF and the WB ITF, was finalized and approved by the IRFFI Donor Committee in February 2009. It was completed by the Scanteam of Norway and provided a stocktaking of the current IRFFI portfolio and the status of a sample of projects to determine if the IRFFI was on track and having a positive impact. The LLE will also follow up on the recommendations coming from the Stocktaking Review of IRFFI undertaken by ScanTeam, mainly in relation to gaps in the legal, financial and administrative framework that hinders collaboration within a two-window model. At the same time, the Scan Team's project/ programme specific recommendations will be partially addressed in the ongoing UNDG ITF programme/ project evaluations to be undertaken by the Participating UN Organizations.

The United Nations Board of Auditors (UNBoA) in its capacity as external auditors of the UNDP provided an independent assessment of the performance of the UNDP MDTF Office in its role as AA for the UNDG ITF. The period reviewed was 1 January 2004 to 31 December 2006. While identifying certain gaps in relation to monitoring and evaluation practices, the report found that "*the MDTF Office has undertaken certain positive steps beyond its duties specified in the MOU and LOU. These steps serve to improve transparency of operations particularly in a difficult operating environment such as Iraq.*" It specifically acknowledged the public disclosure of UNDG ITF related information such as detailed contract award data as a good practice by the AA, the MDTF Office in NY. Similarly, the European Commission Verification Mission (2008) found no notable compliance issues with the administration of the Fund.

At the UN Participating Organization level, a number of evaluations have been undertaken by UN agencies in line with their respective corporate requirements. The evaluations will also provide a basis for understanding the contributions and achievements of projects/ programmes implemented under the UNDG ITF towards Iraq recovery and development priorities.

The exercise will expand its focus to all stakeholders directly and indirectly affected by the UNDG ITF including the GoI, the international community and donors contributing to the UNDG ITF, the MDTF NY, the Participating UN Organizations as well as the civil society in Iraq. The LLE is expected to be

completed by June 2010.

5. Guiding Framework for Lessons Learned Exercise

The UNDG ITF LLE will provide a comprehensive assessment of the fund in terms of both the development and operational effectiveness.

I - Development Effectiveness of the UNDG ITF:

The development effectiveness of UNDG ITF will be guided by already completed as well as ongoing/ upcoming independent evaluations of UNDG ITF programmes/ projects to provide evidence on their respective contributions towards development results. The programme/ project evaluation are based on the OECD-DAC evaluation criteria including

Overall intended and unintended achievements, results and contributions of the UNDG ITF programmes/ projects towards post-conflict recovery and reconstruction efforts and development impact in Iraq;

Efficiency of the UNDG ITF recovery, reconstruction and development programmes/ projects in delivering the intended results in a timely manner;

Effectiveness of the UNDG ITF programmes/ projects in addressing the underlying post-conflict recovery, reconstruction and development priorities;

Relevance of the UNDG ITF programmes/ projects as best options for addressing the post-conflict recovery, reconstruction and development needs and the extent to which the UNDG ITF programmes/ projects remained relevant to national priorities; and

Sustainability of the UNDG ITF programmes/ projects in terms of continuity of programme/ project benefits accruing to the intended population groups including the Government, state institutions and the people of Iraq

A detailed template for developing the Terms of Reference (TOR) for independent evaluations has been developed in accordance with UNEG norms and standards for evaluation and made available to the individual Participating UN Organizations that will be undertaking the evaluations. This will not only ensure compliance with UNEG norms and standards but it will also allow for a harmonized process across the Participating UN Organizations. Additionally, the TOR provides a set of guiding questions to assess both development and operational effectiveness at the programme/ project level which will contribute to the UNDG ITF LLE. The suggested TOR template with recommended questions on development and operational effectiveness is provided in **Annex 3**.

II - Operational Effectiveness of UNDG ITF:

The operational effectiveness of UNDG ITF and programmes and projects financed by the fund will be assessed under six broad themes. Each theme has sub-categories to further comprehend the dynamics, relationships, strengths and weaknesses between and within the various UNDG ITF governance, accountability, management and coordination structures and mechanisms and their contribution to broader development and reconstruction efforts in Iraq. The operation effectiveness will look at:

Fund design and structure including the two-window MDTF model and various governance structures and legal instruments in place and how these facilitate the efforts of the donor community and the UN in addressing the reconstruction and development challenges in Iraq.

Alignment and harmonization of the UNDG ITF with other guiding strategic frameworks including NDS, ICI as well as mechanisms to harmonize the processes for strengthened alignment such as PRG, SOTs, ISRB, as well as other donor coordination mechanisms and their resulting impact on improved development effectiveness to be demonstrated by the UNDG ITF programme/ project evaluations.

Management of development results and examining the strengths and weaknesses of UNDG ITF programme/ project design, the value added in terms of scale and scope as a result of transition from single agency projects to joint programmes with a broader development focus, improved results orientation of UNDG ITF programmes/ projects and alignment of project/ programme results with national priorities. In addition, the extent to which the UNCT agreed crosscutting issues are integrated into programming and the strengths and weaknesses of structures such as the Gender Task Force, UN Interagency Team on HIV/ AIDS will be studied. The strengths and weaknesses of the UN Joint Analysis Unit promoting evidence based planning and programming will also be addressed. Also included in this area will be an assessment of UN agencies value added in regards to joint programming and engagement in specific thematic areas.

Development of national capacities and the role of the Participating UN Organizations in addressing capacity gaps as part of the broader UN mandate will be looked at. The LLE will critically analyze the effectiveness of approaches followed by UNDG ITF structures and UNDG ITF programme/ projects in response to UN's mandate of capacity development.

National ownership of the UNDG ITF structures and processes and the perceived and actual role of Gol within each structure both at the level of the Fund as well as programmes/ projects as well as the Gol leadership and initiatives in this regard. This would facilitate the learning on how Gol and other national stakeholders should position themselves within the UNDG ITF structures for greater sustainability, alignment and harmonization.

Accountability for development and operational effectiveness remains paramount in the UNDG ITF context. It is pertinent to study the strengths and weaknesses of the UNDG ITF accountability framework and how monitoring, reporting and evaluation evolved during the implementation of programmes and projects. The role of GoI and national partners towards accountability at the level of fund and programmes/ projects will be reviewed. In addition, strength and weakness of remote monitoring arrangement, use of monitoring date and knowledge management practices as integral elements of UNDG ITF management processes will also be studied.

In addition, the lessons learned exercise will factor in crosscutting considerations including issues of sustainability of structures and processes, partnership base, capacity development and the transition from humanitarian relief and reconstruction efforts to development focus of UNDG ITF for each of the 6 broad themes.

A detailed Thematic Framework with sub-categories and guiding questions in support of LLE will be provided to the Team undertaking the exercise.

6. Suggested Methodology for Lessons Learned

The proposed LLE will be undertaken by an independent team of experts that will be selected by the SC in collaboration with the Lessons Learned Management Team (LLMT) comprising of SCSO and the Planning, Monitoring and Evaluation (PM&E) Unit in the Office of the DSRSG/ Resident Coordinator for Iraq and the MDTF Office. The SCSO is responsible for the operational management of the LLE ensuring it is compliant with the procurement procedures of the AA. The PM&E will guide the technical management of the process in line with the agreed Terms of Reference and UNEG Norm and Standards for Evaluation respectively. The success and credibility of the LLE is contingent upon the quality of evidential data generated as part of the ongoing independent evaluations and adherence to the agreed upon methodology. The methodology for the LLE should ensure that rigorous processes are undertaken for gathering solid facts and figures, careful solicitation and documentation of first hand knowledge and experiences, in depth review of secondary information and review of trends before reaching generalized conclusions.

To ensure objectivity and impartiality, the LLE will be undertaken by an independent Lessons Learned (LL) Team, to be recruited in accordance with the UN's procurement guidelines. The LL Team will carry out an inception mission to assess the feasibility and scope of the proposed exercise vis-à-vis this TOR and to help guide the UN on how best to conduct this exercise. If required, the TOR may be refined without changing the scope of the exercise that clearly aims to demonstrate the development and operational effectiveness of the UNDG ITF. The LL Team will also meet with the team/ s undertaking the independent evaluation of selected UNDG ITF programmes/ projects to ensure how to maximize synergies between the two complementary processes.

The exercise is expected to follow a range of methodological processes including

Desk review of secondary information: The exercise should refer to existing information contained in the UNDG ITF Agency Project proposals, annual progress reports, IRFFI/ UNDG ITF Evaluation reports, Agency project evaluation reports, Audit reports, Donor reports, UNCT and Gol strategic planning documents, UNDG ITF governance and legal documents including Memorandum of Understanding, Letter of Agreement, IRRFI Terms of Reference, etc. other supporting documents. In particular, the LLE will heavily rely on the findings of the ongoing evaluations of UNDG ITF programmme/ projects by the Participating UN Organizations. The consolidated evaluation report will form part of the Lessons Learned Document while providing basis for demonstrating the linkages between the development and operational effectiveness of the UNDG ITF. See Annex 4 for relevant documents and links.

Collection of primary data: Interviews with key stakeholders including the Evaluators involved in the UNDG ITF programme/ project evaluations, focus group discussions, observations through participation in some of the UNDG ITF processes, surveys and questionnaires, field visits (as required). A full 360 degree assessment approach will be followed to understand the strengths and weaknesses of the UNDG ITF to identify best practices and to help generate lessons for the future.

Case studies: The lessons learned exercise will follow a case study approach to showcase the contributions of UNDG ITF reconstruction and development efforts as well as to highlight the procedures and processes that have contributed to the achievement of development results following evaluative evidence provided by the ongoing UNDG ITF programme/ project evaluations. To the extent possible, the team leading the lessons learned exercise will make use of the available evaluative evidence to demonstrate development and operational effectiveness of the UNDG ITF. If required, a number of projects/ programmes that are already being evaluated may be selected for a much deeper analysis of development and operational effectiveness of the UNDG ITF.

A **detailed methodology**, approach and programme of work will be agreed upon between the LLMT and the LL Team at the start of the process, following an inception mission by the LL Team. The LL Team Leader will be required to submit an inception report outlining the methodology design, key expected challenges (if any) with mitigation strategies (as needed) and implementation arrangements in the form of a detailed work plan.

7. Expected Deliverables

The key deliverable from the exercise will be a comprehensive document, with the following proposed structure:

- 1. Title
- 2. Acronyms
- 3. Executive Summary
- 4. Introduction
 - a. Background
 - b. Purpose
- 5. Methodology
- 6. UNDG Iraq Trust Fund in Perspective
 - a. Context: Past, Present and Future
 - b. Strengths
 - c. Challenges
- 7. Lessons Learned:
 - a. Development Effectiveness of UNDG ITF⁵
 - b. Operational Effectiveness of the UNDG ITF⁶
- 8. Recommendations based on Lessons Learned
 - a. General
 - b. Specific
 - i. MDTF
 - ii. Donors
 - iii. Government of Iraq
 - iv. UNCT Iraq
 - v. Other
- 9. Summary Conclusion
- 10. Annexes

8. Management Arrangements

The LLE will be undertaken by an independent team with demonstrated experience of managing such processes, in accordance with the parameters defined in this TOR and the standards observed in the

⁵ This section will be based on the consolidated findings and evidence from the ongoing evaluations of UNDG ITF programme/ projects, in line with the suggested Evaluation ToR in Annex 3

⁶ The analysis of operational effectiveness of the UNDG ITF will be based on six broad themes including fund structure and design, alignment and harmonization, management of development results, approach to capacity development, national ownership and accountability. This analysis will be supplemented with specific case studies based on selected UNDG ITF programmes/ projects being evaluated, to demonstrate how UNDG ITF design, processes and procedures have contributed to development effectiveness.

UN system to ensure that the process remains neutral, impartial, objective, inclusive, sensitive to local context, culture, religious and social norms etc.

The entire process will be managed under the guidance and direction of the UNDG ITF Steering Committee and SCSO, and in close consultation with the Participating UN Organizations, Government of Iraq (MoPDC), donors, and the MDTF Office as AA.

Specifically, as a minimum the following roles are expected:

Lessons Learned Steering Committee (LLSC)

The LLSC will be co-chaired by the DSRSG/ Chair of the UNDG IT SC and MoPDC, and will have representation from the donor community⁷, the UNDG ITF SC⁸ and the MDTF Office.. The committee will:

- Serve as a quality assurance mechanism at the strategic level by ensuring the LLE process remains credible, impartial, participatory, independent and in line with the agreed TOR and with highest quality standards;
- Serve as a communication channel to provide updates on the process to respective institutions and governing bodies;
- Through the DSRSG, provide regular updates and feedback on the process to the IRRFI Executive Committee and IRFFI Donor Committee;
- Review and endorse the Lessons Learned Report for wider dissemination to all stakeholders;
- Meet periodically with the LLT to review the process, ensure its compliance with established standards and requirements and to provide strategic inputs in accordance with the approved ToR;

UNDG ITF Steering Committee

Under the leadership of the DSRSG as SC Chair, the UNDG ITF SC will

- Support the overall management of the LLE in agreement with the ToR and the agreed work plan (to be developed in consultation with the LLT);
- Provide inputs in the recruitment of the LLT;
- Provide feedback to the periodic updates and reports by the LLMT on the process;
- Guide and facilitate the work of LLT by ensuring access to primary and secondary data sources;
- Provide oversight on the process and ensure it is undertaken in line with agreed ToR and with highest quality standards.

Lessons Learned Team (LLT)

 $^{^{7}}$ The IRRFI Donor Committee Chair will nominate donors for the LLSC

 $^{^{\}rm 8}$ UNOPS as implementing partner as well as a member of the UNDG ITF SC will be represented on the LLSC

The Lessons Learned Team, comprised of an independent firm/ organization experienced in doing similar kind of evaluative exercises, will be recruited through a competitive bidding process and following rigorous technical assessment. The technical assessment will be based on, but not limited to, the following criteria:

- Demonstrated experience undertaking assessments on development effectiveness and operational effectiveness in Iraq or any other comparable situation;
- Relevant assignments for organizations in multi-donor trust funds or multi-lateral arrangements operating in dynamic changing work environment (such as Iraq).
- General organizational capability (i.e. holding company or one firm, size of the firm/organization, strength of project management support e.g. project management controls).
- Ability and commitment to ensure field presence inside Iraq for primary data collection, verification of secondary data and/ or meetings with key stakeholders

The LLT will work under the overall guidance of the DSRSG in her capacity as UNDG ITF Steering Committee Chair, and under the direct supervision of the UN Lessons Learned Management Team (LLMT).

Role of LL Management Team (LLMT)

The LL Exercise will be coordinated and managed by the inter-office Lessons Learned Management Team (LLMT) that includes the Planning, Monitoring and Evaluation (PM&E) Unit, the UNDG ITF SCSO, the MDTF Office and UNOPS. The LLMT will be directly managing the LLT on a daily basis: operational management will be handled by SCSO and the technical management of the process will be supervised and managed by the Head PM&E Unit. The involvement of UNOPS in the LLMT will be focused on operational aspects of the LLE process. The LLMT will report to the DSRSG/ Chair of the UNDG ITF SC on a regular basis for guidance, management support and escalating any issues, substantive or operational, affecting the LLE. The LLMT will:

- Provide project background information and any other secondary data;
- Ensure that all stakeholders are informed about the Lessons Learned exercise and its underlying objectives;
- Liaise with the LL Team in finalizing the methodology, the detailed work plan, and provide necessary inputs and guidance to the LL Team, as and when;
- Oversee the process, on behalf of the SC, in accordance to the agreed terms of reference, UN standards to ensure that the process remains objective, neutral, impartial and independent;
- Review and approve the Lessons Learned Report and ensure its dissemination to all stakeholders;
- Facilitate, as necessary, the field work and provide logistical support for the LL Team;
- Brief UNDG ITF SC on the LL process and seek guidance, as and when needed;
- Manage contractual obligations and verification of deliverables and payments.

Role of Participating UN Organizations

In addition to their role within the UNDG ITF SC, individual UN Organizations will:

- Meet with consultants as requested;
- Provide information for the desk review as specified in the list of documents to be reviewed;
- Depute agency staff and M&E focal points to assist as needed;
- Share the results of the UNDG ITF Project and Programme evaluations;
- Respond to any requests to help support the successful completion of the LL exercise.

Role of Donors

In addition to participating in the LLSC, the Donors will meet with consultants as requested; provide any relevant information for the desk review, and; respond to any information and feedback requests to help support the successful completion of the LL exercise.

Role of Government of Iraq

Aside from the role played by the MoPDC, all counterpart Gol institutions will be involved in terms of meeting with consultants as requested and facilitating meetings at various levels of government; providing any relevant information for the desk review, and; responding to any information and feedback requests to help support the successful completion of the LL exercise.

Role of SCSO and the MDTF Office

Aside from their involvement as indicated above, the SCSO and the MDTF/O will:

- Provide project background information and any other secondary data;
- Meet with consultants as requested;
- Ensure that all stakeholders are informed about the Lessons Learned exercise and its underlying objectives;
- Provide necessary inputs and guidance to the LLMT, and LL Team, as and when needed;
- Review and approve the Lessons Learned Report and ensure its dissemination to all stakeholders;
- Facilitate, as necessary, the field work and provide logistical support for the LL Team;
- Ensure to the greatest extent possible the dissemination of the lessons learned and the development of knowledge products at the conclusion of the exercise.
9. Indicative Work Plan (To be revised once we agree on the operational modality)

| Phase | Key Activities | Time Frame* | Responsibility |
|--|--|---------------------|----------------|
| Preparatory phase | Inception/ scoping mission for the Lessons Learned Exercise Agreement on | May - June | LL Team |
| | methodology and detailed work plan | | |
| | Participate at the initial stakeholder meeting to launch the LL process | | |
| | evaluation process | | |
| Field work/ Data Collection | Review of documents, reports, supporting materials | June - July | LL Team |
| | Meetings with relevant stakeholders | | |
| | Finalize questionnaires for primary data collection | | |
| | Field visits | | |
| Data Analysis | Undertake data analysis of the qualitative and quantitative data acquired from the field work and data collection processes following the LL themes and key questions | July | LL Team |
| | Review of the UNDG ITF programme/ project evaluations and the consolidated evaluation report to distil lessons, case studies on operational and development effectiveness at project/ programme level | | LL Team |
| Preparation/ finalization of the UNDG LLE document | Preparation of the draft Lessons Learned report Presentation on draft findings/ report to SC and MDTF Finalization of the Report based on feedback from peers, MDTF, SC and relevant stakeholders Submission of LL report to MDTF/ SCSO | August - September– | LL Team |

| Phase | Key Activities | Time Frame* | Responsibility |
|----------------------|----------------|-------------|----------------|
| Dissemination of the | | October | SC/ SCSO |
| UNDG LLE document | | | MDTF Office |
| | | | |

* To be finalized in discussion with the LL team

10. Annexes:

- Annex 1: **Thematic Framework**
- Annex 2: UNDG ITF Governance structures
- UNDG ITF Programme/ Project Evaluation TOR template with guidance List of supporting documents Annex 3:
- Annex 4:



UNDG ITF GOVERNANCE STRUCTURES

The following structures are in place as part of UNDG ITF governance and accountability processes:

UNDG ITF Steering Committee

The Steering Committee coordinates and oversees the operations of the UNDG ITF and provide overall strategic guidance and oversight as well as makes decisions on fund allocation. It is chaired by the Deputy Special Representative of the Secretary-General (DSRSG) who is also the UN Resident Coordinator. The Committee is composed of the heads of each Participating UN Organization and two rotating donor representatives. The current donor representatives are the European Commission and the Government of Canada, who will serve for one year beginning September 2008.

UNDG ITF Steering Committee Support Office (SCSO)

The mandate of the SCSO, under the supervision of the DSRSG, is to support and facilitate the work of the Steering Committee including proposal development, review and approval processes. The SCSO tracks the status of the proposals, provides advice to the Participating UN Organizations and Steering Committee, and follows up on decisions taken by the various contributing structures to ensure the timely follow-up and adherence to agreed UNDG ITF procedures.

UNCT Baghdad Policy Group (BPG)

The BPG is divided into four key pillars: essential social services; protection; governance; and economic development. The pillars are comprised of senior advisory staff from Participating UN Organizations and based in Baghdad to enable close cooperation with the Gol. In relation to the UNDG ITF, the BPG reviews draft proposals to ensure alignment with Gol priorities in relation to the NDS and ICI, and will participate in the Peer Review Group.

Sector Outcome Teams (SOT)

The SOTs are designed to increase strategic planning, programming and coordination as well as provide for technical review and approval of projects working closely with the relevant counterpart ministries and the Gol to achieve improved and equitable access to essential social services, strengthened civilian protection, accelerated and inclusive economic development, and strengthened governance. Each sector is chaired by a UN agency and Deputy Chair and includes other UN agencies whose mandates are in line with the relevant SOT outcomes. Similarly, NGOs are encouraged to participate in their various sectors. SOTs are supported by a Sector Officer and Assistant provided by UNAMI, but operating from the Sector Chair's Agency. Annex 2 illustrates the migration of the old cluster structure into the SOT structure, which took place during 2008. UNDG ITF projects that were previously approved under the cluster structure maintained their project numbers for tracking purposes and were realigned to the illustrated sectors.

Peer Review Group (PRG)

The PRG primary responsibility is to provide an objective strategic review of programme proposals, ensuring transparency, programmatic coherence and stakeholder involvement in the identification, design and implementation of UN-supported activities in Iraq. The PRG does not conduct a technical

review of proposals, because this is the primarily responsibility of the SOT. The PRG operates under the direct guidance and supervision of the DSRSG as Chair of the UNDG ITF Steering Committee, or his/her designate. It is comprised of the BPG, UNAMI and GoI representatives, two voluntary members of the donor community and NGOs.

Iraq Strategic Review Board (ISRB)

The ISRB provides overall policy and strategic guidance for donor assistance and it is the final approving authority for all programming in Iraq including IRRFI/UNDG ITF funded projects. Chaired by the MoPDC, the ISRB reviews all IRFFI/UNDG ITF projects at the concept stage and before they are submitted to the UNDG ITF Steering Committee for final approval.

Iraq Ministry of Planning and Development Cooperation (MoPDC)

The MoPDC is the primary interlocutor of the Gol with the IRFFI and, as Chair of the IRFFI Executive Committee and the ISRB, plays an important oversight and advisory role. It ensures that resources are applied and equitably distributed according to Iraq's prioritized needs. The MoPDC works closely with the Ministry of Finance (MoF) to ensure conformity with the overall budgetary framework, and maintains an overview of the project development and implementation processes of the UNDG ITF.

Administrative Agent/Multi-Donor Trust Fund Office (MDTF Office)

The role of the <u>MDTF Office</u>, as the Administrative Agent for the UNDG ITF, includes the receipt, administration and management of contributions from donors; disbursement of funds to the Participating UN Organizations, in accordance with instructions from the Steering Committee; and consolidation and dissemination of progress reports to the MoPDC and donors. The consolidated report produced by the MDTF Office presents the progress of the UNDG ITF funded projects, narrative and financial, aligned to the SOT structure. The MDTF Office also manages the UNDG ITF section of the IRFFI website as a source of public information, transparency and sharing of knowledge and lessons for all stakeholders.

UNDG ITF Programme/ Project Evaluations

Recommended Terms of Reference Template with Guidance

1. Introduction and Context

- Provide brief introduction to the project/ programme within the social, political and economic context of Iraq
- Highlight issues most pertinent to the subject matter of the project being evaluated.
- Include, as appropriate, the relevant human development indicators, key features of international, regional and national economy and regional and national policy issues
- Provide brief description of the programme/ project including:
 - Timeline, budget, key implementing agencies
 - Intended outcome(s) and output(s)
 - Underlying logic as per programme/ project design
 - Key assumptions that guided the design and implementation strategies
 - Risk mitigation strategies (if any)
 - Any major divergences in the design and/ or implementation strategy

2. Purpose of the evaluation.

- Describe the strategic intent of the evaluation formative, or summative
- How the evaluation results will be used and by whom

3. Evaluation objectives

This section should define the primary focus of the evaluation – what questions and issues it will address. These are often guided by the OECD-DAC evaluation criteria including relevance, effectiveness, efficiency, resulting institutional and/ or behavioural changes, sustainability. In addition, the evaluation should also distil lessons learned while providing recommendations for future. In the case of ongoing programmes/ projects, the evaluation should address implementation issues (if any) and assess the effectiveness of strategies including partnership to achieve the underlying programme/ project results. As a guideline, the following generic objectives can be customized for the proposed UNDG ITF programme/ project evaluation:

- To assess and showcase the achieved progress and results against stipulated project/ programme results/ objectives on all stakeholders especially beneficiary groups. Identification and assessment of unintended positive or negative results of the programme/ project and its effects on beneficiary groups
- To assess the efficiency of the programme/ project interventions

- To understand the effectiveness of programme/ project interventions in addressing the underlying problem and to see if the programme/ project has been the best option to respond to the particular issue/s
- To assess the relevance of programme/ project components in addressing the needs and issues of beneficiary groups
- To understand the extent to which this programme/ project has contributed to forging partnership at various levels with the Government of Iraq, Civil Society and UN/ donors
- To assess management arrangements (including procurement procedures, coordination, monitoring) in place by the GoI and/ or the beneficiary communities towards the sustainability of various programme/ project-initiated services and benefits
- To generate lessons on good practices based on assessment from the aforementioned evaluation objectives and to provide recommendations to all stakeholders (Gol, UN, donors, civil society) on how to maximize the results from similar initiatives in comparable situations

4. Evaluation Scope

- The description of the scope in the TOR should clarify the breadth and depth of the evaluation including time period, phases in implementation, geographical area, parameters with respect to the subject and stakeholders being examined.
- Every UNDG ITF programme/ project evaluation will focus on both development and operational effectiveness. The scope defined in the TOR, therefore, should be realistic; it needs to be feasible given the budget and time available for the evaluation.
- The scope should also take into account other existing or planned evaluations of the same subject and explain how information from other evaluations may be used or how this evaluation will complement the planned ones including the UNDG ITF Lessons Learned Exercise that aims to assess the development and operational effectiveness of the UNDG ITF.

5. Key Evaluation Questions

- The questions should address the specific demands for information needed to address the purpose of the evaluation and guided by the evaluation scope and objectives, including:
 - Relevance, efficiency and effectiveness of the programmes or projects being evaluated, as well as the sustainability of results and contributions to development context.
 - Value-added of the programmes and projects in comparison with alternatives
 - UN's partnership strategy and its relation to effectiveness in achieving the outcome
 - UN's strategic positioning and its comparative advantage
 - Cross-cutting issues applicable to the project/ programme

- Operational effectiveness of the programme/ project and the extent to which underlying strategies, processes and management structures contribute to development effectiveness of each UNDG ITF programme/ project
- Each evaluation question should be substantiated with evidence and disaggregated information by gender, ethnicity, location and/ or other relevant criteria

Annex A and Annex B provide recommended questions on development and operational effectiveness respectively. The suggested questions will generate the necessary evaluative evidence and information at programme/ project level to feed into the UNDG ITF Lessons Learned Exercise.

6. Evaluation Methodology

Note that defining the detailed evaluation methodology will require the involvement of the evaluator(s)

- The methodology section of the TOR should outline how the evaluation will be conducted. The TOR should provide only the key elements of the evaluation approach, the minimum standards that must be adhered to, upon which the evaluator(s) can elaborate.
- The evaluation methodology is dependent, among other things, on the purpose, scope and objectives of the evaluation. It will also depend on the nature of information available to the evaluator(s), such as indicators, baseline information, and specific targets.
- Refer to key approaches for the review and analysis of secondary/ existing information including the quality and availability of existing information, spell out the needs for the collection of primary data (as required), and plans for engaging with programme/ project stakeholders.

7. Expected Deliverables

- Describe the type of products including the Evaluation Report expected from the evaluation, its use and how it will be used.
- The Evaluation Report should contain the following:
 - Title Page
 - List of acronyms and abbreviations
 - Table of contents, including list of annexes
 - Executive Summary
 - Introduction: background and context of the programme
 - Description of the project/ programme its logic theory, results framework and external factors likely to affect success
 - Evaluation Methodology & Approach (including key challenges and limitations)
 - Findings with clear evidence base and interpretations
 - o Conclusions

- Recommendations
- Lessons and generalizations
- Annexes

Note: It is highly recommended that the Evaluation Report should follow the standards set out by UNEG. Refer to UNEG Standards for Evaluation

8. Composition, skills and experience of the evaluation team

- Outline the skills, experience, qualifications and other relevant competencies such as language capabilities that will be needed to conduct the evaluation effectively (whether by a consulting firm or by individual consultants)
- The evaluators should be independent meaning that they have not been involved in the design, implementation or monitoring of the programme or project to be evaluated.
- The evaluation team should be gender balanced and the team members should demonstrate prior experience in undertaking gender sensitive evaluation work.

9. Management Arrangements

- Clearly spell out the management arrangements including:
 - Role of the UN agency commissioning the evaluation
 - Role of national counterparts and partners
 - Role of evaluator(s)
- Also, specify the mechanism for quality assurance and the quality standards to be followed through the evaluation process, and guided by:
 - UNEG Norms for Evaluation
 - UNEG Standards for Evaluation
 - UNEG Ethical Guidelines
- In order to enhance national ownership and to comply with Paris Declaration, it is recommended that the evaluation should be closely coordinated with, if not fully guided by, the key national counterpart throughout the evaluation process. A Joint Task Force comprising of UN, national counterpart(s) and the Evaluation Team may be created to guide and coordinate the evaluation process.

10. Indicative Work Plan

• The final section of the TOR should outline a timetable for the evaluation, including key activities and deliverables in the process, with responsibilities.

| Phase | Key Activities | Time Frame* | Responsibility |
|--------------------------------|----------------|-------------|----------------|
| Preparatory phase | | | |
| Field work/ Data Collection | | | |
| Data Analysis | | | |
| Report preparation | | | |
| Dissemination | | | |

* Tentative and to be finalized with the Evaluation Team/ Evaluator(s)

Annexes

The following documents should be appended to the TOR when provided to the evaluator(s):

- UNEG Norms and Standards for Evaluation
- UNEG Ethical guidelines
- Programme/ Project document
- Any other related document/s

Annex A

UNDG ITF Programme/ Project Evaluations

Recommended Questions on Development Effectiveness

Realization of development results (institutional and behavioral changes resulting from the programme/ project)

- What have been the specific benefits of the project to different beneficiary groups including men, women, children, youth and marginalized population groups?
- How the project has contributed to national priorities as identified in the Iraq National Development Strategy (NDS), the International Compact with Iraq (ICI) and the Millennium

Development Goals (MDGs)?

- Has the project created full time/ temporary employment opportunities? Provide sexdisaggregated numbers of any jobs created as a result of the project?
- Are there any unintended positive or negative results of the programmme/ project and how are those perceived by the stakeholders?
- The question needs to address and assess gender balance and women involvement in all project/program stages including pre-analysis, design, implementation, in addition to assessing programme/ project outcomes (development objectives) on women.

Efficiency and effectiveness

- Were the results achieved to date at a reasonable cost compared with alternative approaches to accomplishing the same development objectives/ results?
- To what extent the programme/ project and its components have addressed the underlying issues?
- How programme/ project results contribute to improved access and utilization of services?
- How did the programme/ project engage with stakeholders and beneficiaries in during project planning and implementation?

Relevance

- Has the programme/ project responded to the underlying development issues that provided rationale for the programme/ project? How?
- How the project strategies were tailored to the current programme/ project context and in line with the national policies and strategic plans?
- How did the programme/ project contribute to local/ national needs and priorities?
- Should the direction of future programme/ projects be changed to better reflect those needs and priorities?

Partnerships

- Who are the partners in this programme/ project? How they are/ were selected? Has the programme/ project forged new partnerships/ strengthened existing partnerships and how?
- What factors hindered or fostered effective partnership development?
- To what extent has the programme/ project contributed to capacity development of the involved partners?

Sustainability

- What is current status of the programme/ project components? Are functions and facilities still maintained? Who is responsible for the management and oversight of programme/ project facilities after the project closure?
- How far the programmme/ project activities can be self-sustained from domestic resources financial, materials and human?
- What is current status of services provision in the selected facilities? Has the service provision been affected (negatively or positively) after the end of the programme/ project cycle and why?
- Has the programme/ project resulted in knowledge transfer from those who were trained and capacitated in different competencies and how?
- How the programme/ project addressed the issues of security during the implementation phase? What risk mitigation measures were undertaken and how successful were they?

Lessons learned and good practices

- What are the good practices that have resulted from the programme/ project? How and why some these practices can be labeled as a 'good practice'? Substantiate with evidence.
- What are the key lessons learned from programme/ project implementation? What recommendations could be replicated in similar programmes/ projects implemented in comparable situations?
- Are there any specific recommendations to be considered when designing similar programme/ projects in the future?

UNDG ITF Programme/ Project Evaluations

Recommended Questions on Operational Effectiveness

1. Alignment and Harmonization

- 1.1. What efforts were made to ensure alignment between the programme/ project and national priorities?
- 1.2. How did the project contribute to national priorities and the ICI benchmarks?
- 1.3. How did the government facilitate alignment between the intended programme/ project results and the national priorities?
- 1.4. How effective/ facilitative was the UNDG ITF project approval process? How did it contribute to improved coordination and coherence in the overall programme/ project management? How these mechanisms can be used for programme/ projects outside the UNDG ITF?
- 1.5. What has been the role of Sector Outcome Team (SOT) structures in contributing to programme/ project planning, implementation, monitoring and reporting? What have been the key challenges?
- 1.6. How project/ programme was designed? Was any assessment undertaken to inform programming? What has been the contribution of peer review and/ or SOTs to programme planning and design?
- 1.7. What existing/ available national structures/ processes/ mechanisms were used in support of planning, implementation, management and monitoring of the project/ programme?
- 1.8. What has been the role of donors in programme/ project design and planning?

2. Management of Development Results

- 2.1. To what extent the programme/ project integrated the principles of RBM? What have been the key challenges and how these were addressed?
- 2.2. What level of Government participation/ ownership was secured and maintained during programme/ project design? How?
- 2.3. What were the major constraints/bottlenecks to effectively implement joint/ integrated programming?
- 2.4. How did the programme/ project address the relevant crosscutting issues? What have been the key issues in integrating crosscutting issues?
- 2.5. Did the project undertake a proper risk analysis, risk monitoring and management of risk?
- 2.6. What risk mitigation strategies were developed and implemented?
- 2.7. Did the project have any clear exit strategy? What arrangements were made to sustain programme/ project operational and programmatic structures?

3. Capacity Development Approach

- 3.1. How did the project/ programme address capacity development of national partners?
- 3.2. How the capacity gaps were identified and by who? Was any capacity assessment undertaken? If not, why?
- 3.3. What capacity development approaches the project/ programme employed? What were the strengths and weaknesses?
- 3.4. What instruments were used to monitor capacity development and what arrangements were

made to ensure the sustainability of developed capacities?

4. National Ownership

- 4.1. How did the programme/ project define and promote government ownership?
- 4.2. What arrangements were made to ensure government ownership of the porgramme/ project?
- 4.3. How the government was engaged during the transition phase relief/ reconstruction to development?
- 4.4. Was there any co-financing? If not, why and what efforts were made towards it?
- 4.5. To what extent the government managed to lead and own the programme/ project? What were the key challenges?

5. Accountability

- 5.1. Was the programme/ project results framework clear, logical and focused?
- 5.2. What monitoring arrangements were in place? What were the key challenges? And how did the programme/ project team address those?
- 5.3. Were adequate resources made available to support M&E at the various levels?
- 5.4. What monitoring data was used for reporting? How was it collected, maintained and utilized?
- 5.5. How were the national partners involved in the M&E of the programme/ project?
- 5.6. Were any joint M&E initiatives (involving 2 or more UN agencies and/ or UN agency and national partner/s) undertaken?
- 5.7. What systems were put in place to monitor programmes and projects remotely? How well they responded to agencies' and MDTF's reporting requirements? What have been the key challenges in monitoring and evaluation of the programme/ project?
- 5.8. Did the programme/ project undertake any midterm and/ or annual review and/ or independent evaluations? If not, why? How were the national partners involved in these activities?
- 5.9. What arrangements in place to share lessons and learning from the programme/ project within and outside the UNCT? If not, why?
- 5.10. How did the programme/ project address the issue of donor visibility? If not, why?

List of Documents for Desk Review

- 1. UN Assistance Strategy 2008-2010
- 2. National Development Strategy 2007-2010
- 3. Memorandum of Understanding,
- 4. Letter of Agreement
- 5. IRRFI Terms of Reference
- 6. Governance And Organisational Review of the (UNDG ITF) 4 Jan.07
- 7. Review of Post-Crisis Multi-Donor Trust Funds Final Report Feb.07
- 8. Stocktaking Review of the international Reconstruction fund facility For Iraq –Final Report Jan.09
- 9. United Nations Security Council Resolution 1546 (2004)
- 10. United Nations Security Council Resolution 1170 (2007)
- 11. United Nations/ World Bank Joint Iraq Needs Assessment Oct 2003
- 12. UN Multi-Donor Trust Funds & Delivering as One Funds a lessons learned non paper July 09
- 13. Outcome Evaluation of UNDP Governance, Crisis, Prevention and Recovery, and Poverty Reduction Initiatives in Iraq
- 14. Steering Committee Minutes
- 15. Reporting Guidelines and Templates
- 16. UNDG-ITF Six Monthly Progress Reports

UNDG ITF Eighth Progress Report January to June 2008 UNDG ITF Seventh Progress Report July-December 2007 UNDG ITF Sixth Progress Report PART ONE, Jan-June 2007 UNDG ITF Sixth Progress Report PART TWO Jan-June 2007 UNDG ITF Sixth Progress Report EXECUTIVE SUMMARY UNDG ITF Fifth Progress Report, July-Dec. 2006 UNDG ITF Fourth Progress Report, Jan-June 2006 UNDG ITF Third Progress Report Part One, 1 July-31 December 2005 UNDG ITF Third Progress Report Part Two, 1 July-31 December 2005 UNDG ITF Second Progress Report Part Two, 1 Jan-30 June 2005 UNDG ITF First Six monthly Progress Report from 1 July-31 December 2004 (18/05 2005) UNDG ITF Summary Progress Report as of 30 September 2004

- 17. Project Evaluation Reports
- Iraq Networking Academy Project (B1-10)
- Iraq Networking Academy Project (Phase 2) (B1-17)
- Smart Community Project for Iraq (C10-04)
- Drainage Conditions in Agricultural Areas (A5-01)
- Rehabilitation of Pumping Stations (A5-02)
- Community Irrigation Schemes (<u>A5-04</u>)
- Restoration of Veterinary Services in Iraq (A5-08)
- Restoration and Development of Essential Livestock Services in Iraq (A5-10)
- Strengthening of National Mine Action Organization In Southern Iraq (A7-04)

- Capacity Building of Water Institutions (A5-12)
- Vocational Education (B1-01)
- In Service Training for Teachers (B1-05)
- Protecting Iraqi Cultural Heritage (B1-07)
- Literacy and life Skills Development (B1-08)
- Education Management Information System (B1-13)
- Strengthening Secondary Education (Phase 1) B1-15)
- Textbooks Quality Improvement Programme II (B1-18)
- Media and Human Rights: Promotion of Freedom of Expression and Human Rights in Iraq (C9-10c)
- Strengthening of the Constitutional Process and Good Governance (C9-21)
- Support for fair, safe and professional media coverage (G11-07)
- > Integrated Community-based project to deliver quality basis social services (B1-19a)
- Promotion of Cottage Industries (A5-06)
- Community Livelihoods and Micro-industry Support in Rural and Urban Areas of North Iraq (A5-17)
- Strengthening Primary Health Care System (D2-03)