

**EVALUATION REPORT:**

**A5-12 CAPACITY BUILDING OF  
WATER INSTITUTIONS OF IRAQ**

**Submitted to UNESCO Iraq Office**

**by**

**Social Impact**

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Enhancing Development Effectiveness



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## ACRONYMS

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

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

## A5-12 CAPACITY BUILDING OF WATER INSTITUTIONS OF IRAQ

### EXECUTIVE SUMMARY

Social Impact (SI)<sup>1</sup> was selected after a competitive bidding process by the UNESCO Iraq Office (UIO) to evaluate the administration and implementation of eight projects through examination of their efficiency, effectiveness, relevance, impact and sustainability. The eight projects evaluated were implemented by the UIO between July 2004 and September 2007 with funding of approximately US\$26 million provided by various donors through the United Nations Development Group (UNDG) Iraq Trust Fund (ITF). UIO also requested that SI provide lessons learned and remedial measures useful to future projects (the Overall Report has been published separately and is available upon request from UNESCO Iraq).<sup>2</sup> The following report details the specific results of the evaluation of **A5-12 Capacity Building of Water Institutions of Iraq**, which addressed the lack of trained technical and managerial personnel in the country.



*Ancient irrigation system in Iraq / ©UNESCO*

Capacity Building of Water Institutions of Iraq Project was approved in August 2004 and planned to run from October 2004 to December 2005. As a result of extensions, it did not close until 31 December 2006. Its budget of US\$3,275,550 was funded from un-earmarked resources through the UNDG ITF.

Project activities were organized around five components that complemented each other and that were designed to lead to the development goal of ensuring water security through integrated water management.

Component 1. Technical capacity building concentrates activities toward enhancing the expertise of technical experts to conduct assessments under the concept of integrated water resources management.

Component 2. Institutional capacity building recognizes that the rehabilitation and improvement of water resources management capacity is crucial to the goal of improved access to clean water. Water sector institutions and resources must be well managed to satisfy needs of all water consuming sectors.

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

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

- The Project implemented 34 international training events aimed at building integrated water management capacity of roughly 300 technical staff and policy makers as well as Iraqi technical water experts. The initial planning meeting began in November 2004. Over the next 25 months, workshops, meetings, study tours and conferences were programmed. Training was to take place through offerings of consultants brought into Iraq. When it became clear that security incidents posed a serious threat to the continuation of the water sector training, the Iraq government and UNESCO agreed to shift to international training venues. However, since the project objectives did not change, the training events continued to surround the expressed objectives of technical and institutional capacity building.

Component 3. Establishment of a new training center is aimed at using the modality of training of trainers to disseminate the concepts of strategy and expertise in integrated Water Resources Management to local staff.

- In order to reestablish the training center for the MoWR, the UIO initiated the procurement of computers and materials needed to make the center function.

Component 4. Implementation of pilot studies would serve to offer a type of extension service by developing information and research based on the trainings offered under the first two components.

- Studies and research are scheduled.

Component 5. Due to the fact that Iraq heavily depends on outside water resources, the Project emphasized dialogues with neighboring countries. This is a top priority of the Iraqi water planning sector.

- A trilateral informal meeting on the Euphrates and Tigris River initiative was held in New India in October 2005. For the first time in 30 years, ten officials (four from Iraq, three from Syria, and three from Turkey) gathered to discuss areas for future cooperation.

It should be noted that much of the capacity building had the additional objective of providing Iraqis with an opportunity to rejoin regional and international water communities. As such, the Project tried to fully utilize UNESCO's diverse existing networks to promote regional and international cooperation. Activity partners were carefully selected in order to both achieve each activity's output and expand the Iraqis network with international and regional partners.

Although this Project is often described as a capacity building project, substantial equipment was also supplied. In fact the US\$1.2 million spent on computers, laboratory instruments, GIS equipment, etc. roughly equaled what was spent on capacity building.

## **OVERVIEW**

### **I. EVALUATION METHODOLOGY**

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

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

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

These methods included:

1. Desk Study. The ET reviewed all available project reports and summaries provided to them by UIO at the onset, as well as those requested later as the evaluation progressed.<sup>3</sup> They also mined a vast corpus of UNESCO's Internal Oversight Service (IOS), International Reconstruction Fund Facility for Iraq (IRFFI), ITF, UIO, and United Nations Assistance Mission for Iraq (UNAMI) documents and websites. All told, probably some 200 such items were examined.
2. Direct Examination of Relevant UIO Management Tools and Published Project Outputs. The ET spent nine work days in Amman, Jordan. There they sat with relevant management and administrative staff so as personally to examine in-house systems such as UIO's procurement database and the individual projects' tracking systems. SI's Education Evaluator also visually scrutinized the primary and secondary school textbooks funded and delivered by the UIO, as well as the lab manuals.
3. Compilation and Analysis of In-house Data. In Amman, the ET designed tools, such as success and learning stories, training tables and project collaboration diagrams, for project teams to use to compile extant, or gather new, qualitative data for the evaluation. The resulting information provided by the UIO for each of these was used to varying degrees in this evaluation, based on its relevance and uniqueness.
4. Collection and Analysis of New, Primary Data. The ET had face-to-face interviews with project staff and key informant groups while in Amman. (See Appendix A) The ET designed questionnaires for trainees and their managers, a focus group guide for trainees, and site spot-checks to verify the existence of equipment and its current state. (See Appendix C for all data collection tools) Stars Orbit Consultants (SOC), a local firm with on-the-ground data gatherers, implemented these tools in seven of Iraq's 18 governorates:

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

Baghdad, Dyala, Erbil, Kirkuk, Missan, Muthana and Najaf.<sup>4</sup> (See Table 1)<sup>5</sup> These governorates were chosen because they cover all of the Iraq's three regions, contain the largest pools of beneficiaries, and reflect the cultural and geographic diversity of the country.

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

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

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

**Figure 1: Map of Iraq**



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

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



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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

UIO project teams and their Ministry counterparts are responsible for the management of the specific projects. UIO project teams are headed by senior level project managers who have the primary responsibility for the project's successful implementation. The managers are fully supported by professional level assistants, who draft reports, among other tasks, and a few general support staff. In all cases observed by the Evaluation Team, the team shared management responsibilities and a strong commitment to the success of the Project.

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

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

### **C. Monitoring**

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

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

As discussed above, one of the main responsibilities of the Ministry focal points was to maintain communication with the UIO project team in order to report problems and progress. As this system proved unreliable due to the frequent replacement of the focal point or simply lack of ability, the UIO used subcontracted UNESCO Monitors as one way to overcome this problem. These Monitors checked on delivery of equipment and the operations of warehouses, among other activities. In addition, when the project teams were not able to get a response or requested information from the Ministry focal points, the UNESCO Monitors were contacted and often able to obtain the needed information. They “know their way around” the Ministry and have good free access to the people there. Though not foolproof—the Monitors frequently must remain at home due to security threats—this arrangement has produced two major successes:

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

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

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

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

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

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

## **PROJECT EVALUATION**

### **I. PROJECT OVERVIEW**

#### **A. Background**

With a population of 27 million and an infrastructure damaged by wars and sanctions, Iraq faces demands from virtually all sectors. For the water sector, there are urgent needs for rehabilitation simply to provide clean water and sanitation to its people. Thus, rehabilitation of the water sector and an integrated approach to water management is a top priority for the Iraqi government.

In response Capacity Building of Water Institutions of Iraq Project (Water Capacity Building) was designed as an 18 month program focused primarily on capacity building. The Project was approved in August 2004 and was planned to run from October 2004 to December 2005, with a budget of US\$3,275,550 provided by un-earmarked funding through the Iraq Trust Fund for the Phase I activities.

The main development goals of this Project were two-fold:

1. To ensure the water security of Iraq through integrated water resources management; and
2. To establish the regional framework on equitable water sharing on the Tigris and Euphrates Rivers.

The Project was organized around five major components which also expressed the immediate goals of the project:

1. To enhance technical capacity of Iraq Water Resource Ministry.
2. To develop institutional capacity of water planning.
3. To rehabilitate and develop the training and research center inside Iraq.
4. To launch pilot studies and research as a preliminary water resources assessment.
5. To initiate dialogue and regional cooperation on trans-boundary water issues on the Tigris and Euphrates Rivers.

#### **B. Timeline**

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

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

<b>Month</b>	<b>Milestone</b>
Apr 2004	<ul style="list-style-type: none"> <li>• Project Manager is hired</li> <li>• Project proposal is formulated</li> </ul>
May 2004	Project proposal is submitted to UNCT Cluster 5
June 2004	<ul style="list-style-type: none"> <li>• US hands sovereignty to interim government headed by Prime Minister Iyad Allawi</li> <li>• First Iraqi President: Mr. Ghazi Mashal Ajil al-Yawir</li> </ul>
Jul 2004	Project implementation ongoing
Aug 2004	Project Proposal is approved
Sep 2004	UNESCO HQ receives funding for Project
Oct 2004	The funding is decentralized to UNESCO Iraq
Nov –Feb 2004	Project implementation ongoing
Mar 2005	1 <sup>st</sup> project audit is conducted of UNSECO Iraq office
Apr 2005	Project implementation ongoing
May 2005	<ul style="list-style-type: none"> <li>• The first democratically elected Iraqi government in 50 years is sworn in</li> <li>• New Minister of Water Resources: Mr. Latif Rashid</li> </ul>
Jun-Nov 2005	Project implementation ongoing
Dec 2005	<ul style="list-style-type: none"> <li>• The original date of closure of the project</li> <li>• 1<sup>st</sup> request for budget revision approved to change the project end date from December 31, 2005 to March 31, 2006. and to reallocated funds between budget line items</li> </ul>
Jan-Mar 2006	Project implementation ongoing
Apr 2006	<ul style="list-style-type: none"> <li>• Newly re-elected President Talabani asks Shia compromise candidate Nouri Jawad al-Maliki to form a new government. The move ends 4 months of political deadlock. MOW remains the same.</li> <li>• 2<sup>nd</sup> request for budget revision approved. Project end date is changed to September 31, 2006 and funds are reallocated between budget line items</li> </ul>
May 2006	Project implementation ongoing
Jun 2006	3 <sup>rd</sup> request for budget revision approved. Project end date is changed to December 31, 2006 and funds are reallocated between budget line items.
Jul-Aug 2006	Project implementation ongoing
Sep 2006	4 <sup>th</sup> request for budget revision approved to reallocate funds between budget line items.
Oct-Nov 2006	Project implementation ongoing
Dec 2006	<ul style="list-style-type: none"> <li>• Operational closure of the project</li> <li>• 2<sup>nd</sup> project audit of UNESCO Iraq office is conducted</li> </ul>

## II. PROJECT DESIGN and IMPLEMENTATION

### A. Project Design

Iraq faces immediate challenges to improve integrated water strategies. The vast land mass of 437,000 square kilometers once had an enviable water sector with dams, irrigation canals and research buildings. However, all of the infrastructure has fallen into disrepair over the more than two decades of wars, neglect and failed policies. A recent World Bank report noted that as much as 50% of Iraq's population of 27 million has no access to clean drinking water.<sup>9</sup> Recognizing the acute nature of the situation, the project document noted that "water security is a prerequisite for food and health security, environmental sustainability and social reconstruction and development of the country." In addition to poor infrastructure, Iraq also suffered from a lack of trained technical and managerial personnel in the country. Thus, the Water Capacity Building Project focuses on capacity building and institution building.

Project activities were organized around five components which complement each other and lead to the development goal of ensuring water security through integrated water management.

- Component 1. Technical capacity building concentrates activities toward enhancing the expertise of technical experts to conduct assessments under the concept of integrated water resources management.
- Component 2. Institutional capacity building recognizes that the rehabilitation and improvement of water resources management capacity is crucial to the goal of improved access to clean water. Water sector institutions and resources must be well managed to satisfy needs of all water consuming sectors.
- Component 3. Establishment of a new training center is aimed at using the modality of training of trainers to disseminate the concepts of strategy and expertise in integrated Water Resources Management to local staff.
- Component 4. Implementation of pilot studies would serve to offer a type of extension service by developing information and research based on the trainings offered under the first two components.
- Component 5. Due to the fact that Iraq heavily depends on outside water resources, the Project emphasized dialogues with neighboring countries, i.e., Turkey, Syria and Iran, regarding international water resources issues on the Tigris and Euphrates Rivers. This is a top priority of the Iraqi water planning sector.

Ultimately, upon its completion, the achievements from each component would together focus on the full-fledged formulation of the national water policy and strategy for the next project.

This design would create three levels of beneficiaries, as described in Table 3.

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<sup>9</sup> *Emergency Project Paper*. The World Bank, May 19, 2008. P 3.

**Table 3: Project Beneficiaries**

<p><b>I. Primary Beneficiaries</b> (during LOP)</p> <ul style="list-style-type: none"> <li>• <u>Direct Beneficiaries</u>: Approximately 300 officials of the various ministries, MoWR, MoPDC, MoE, IWRM who attend capacity building activities and planning meetings.</li> <li>• <u>Indirect Beneficiaries</u>: Personnel from ministries that receive computers and other equipment; personnel who benefit from improved working systems; workers in the water or agriculture sector who have improved operations as a result of expert training and improved access to water.</li> </ul>
<p><b>II. Secondary Indirect Beneficiaries</b> (EOP to 1.5 years after): Participants in the water sector who benefit from courses or published materials in the training center.</p>
<p><b>III. Tertiary Indirect Beneficiaries</b> (over 1.5 years after EOP): Citizens throughout Iraq that have better access to clean water and sanitation.</p>

Sources: Water Capacity Building Project Paper (August 2004) and Water Capacity Building Completion Report

## **B. Implementation**

Capacity Building of Water Institutions began in October 2004 once funds were transferred to the UIO. All activities were implemented under the direct supervision of the UIO based in Amman, the UNESCO Cairo Office- Regional Bureau for Natural Sciences, and the Division of Water Sciences at UNESCO Headquarters. Major responsibilities of the Water Project team included arranging the capacity building activities and coordinating with the Iraqi counterpart and the many partners who collaborated on the Project. Project procurement, monitoring and reporting as well as the communications and operational details fell to the UIO project manager and staff.

The Project followed the UN guidelines for procurement including using recognized competitive bidding procedures and searching for a broad range of qualified bidders. Procurement in this Project was for the materials needed for the training center, such as IT equipment, and the Ministry of Water Resources (MoWR), including technical books and academic journals for the library and water sampling and analysis equipment for the laboratories. Although local Iraqi companies were not able to meet the requirements to provide the materials, they were able to handle ongoing maintenance.

The Director General (DG) of Planning and Development of the Ministry of Water Resources was appointed as the UIO counterpart (focal point). As priorities changed throughout the Project, the UIO and the DG of the Ministry maintained frequent contact. In addition to the Ministry focal point the project manager collaborated with universities and many agencies including, the Ministry of Planning and Development Cooperation (MoPDC), the Ministry of the Environment (MoWR), the Ministry of Agriculture, the Ministry of Municipalities and Public Works, and the Ministry of Foreign Affairs.



Training was to take place through offerings of consultants brought into Iraq. When it became clear that security incidents posed a serious threat to the continuation of the water sector training, the Iraq government and UNESCO agreed to shift to international training venues. However, since the project objectives did not change, the training events continued to surround the expressed objectives of technical and institutional capacity building.

#### Components 1 and 2 Activities

The Project implemented 34 international training events aimed at building integrated water management capacity of the technical staff and policy makers as well as Iraqi technical water experts. The initial planning meeting began in November 2004. Over the next 25 months, workshops, meetings, study tours and conferences were programmed.

#### Component 3 Activities

In order to reestablish the training center for the MoWR, the UIO initiated the procurement of computers and materials needed to make the center function.

#### Component 4 Activities

Studies and research are scheduled.

#### Component 5 Activities

Of highest priority for the MoWR was a dialogue between the neighboring countries on issues of water sharing. A trilateral informal meeting on the Euphrates and Tigris River initiative was held in New India in October 2005. For the first time in 30 years, ten officials (four from Iraq, three from Syria, and three from Turkey) gathered to discuss areas for future cooperation.



*Iraqi farmer implementing ancient irrigation techniques / ©UNESCO*

### III. DESCRIPTION and ANALYSIS of PROJECT OUTPUTS

#### A. Equipment, Supplies and Commodities

Although this Project is often described as a capacity building project, substantial equipment was also supplied. In fact the US\$1.2 million spent on computers, laboratory instruments, GIS equipment, etc. roughly equaled what was spent on capacity building. Table 4 shows the standard budget categories *Equipment* and *Supplies & Commodities* that correspond to these costs. The actual cost of the *Equipment* was only \$14,000 less than estimated.

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

Item Description and/or Function	Planned Type of Items	Total Estimated Cost (US\$)
<i>Equipment:</i>		
Provision of Equipment for MoWR	Computers, Water Lab Instruments, etc.	296,105
Provision of GIS equipment		216,000
Equipment for Training Center	Computers, Water Planning Tools, and standard PCs and peripherals	324,465
Rehabilitation of the Auditorium		336,800
Provision of libraries	Books and PCs	18,023
Science Sector in UNESCO Baghdad Office	Computers and Office sets	16,860
<b>Sub-total</b>		<b>1,208,253</b>
<i>Supplies &amp; Commodities</i>		0
<b>Total Costs</b>	<b>---</b>	<b>1,208,253</b>

Sources: Water Capacity Building Proposed Budget (August 2004), Water Capacity Building Completion Report and Financial Status Report (31 December 2007)

Though random spot checks of equipment were planned to be carried out by Stars Orbit Consultants (SOC), a local firm contracted by SI, coordination and security issues with the water department prevented them from taking place.

#### B. Training/Learning Events

Roughly 300 people were trained in over 30 training/learning events around the world. Table 5 displays all available data, including dates, location, training provider and information on participants, concerning these events. In order to understand the effectiveness and satisfaction with these events, data gatherers in country (Stars Orbit) conducted questionnaires and focus groups with trainees and questionnaires with managers of trainees in Baghdad. Participants are described in Table 6. Success stories were also provided by UIO concerning the trainings.

**Table 5: Iraqi Participants in Training/Learning Events for the Water Capacity Building Project**

Event	Dates	Location	Training Provider(s)	Type(s) of Pax	No. of Pax	No. (%) of Pax by Sex		No. (%) of Pax by Region		
						M	F	Center	North	South
1. Kick-off Coordination Meeting	22-23 Nov 2004	Amman, Jordan	N/A	MoWR: DG and Assistant DG of Planning and Development, Head of Groundwater Studies Center, Head of Hydrology Studies Center, Chief Engineer, Chief Engineer-International Waters, and Chief Engineer- Studies Center	7	5 (71)	2 (29)	7 (100)	0 (0)	0 (0)
2. Project Formulation Workshop (1st Phase)	14-19 Dec 2004	Amman, Jordan	Iyad Hussein	MoWR	12	8 (67)	4 (33)	12 (100)	0 (0)	0 (0)
3. Groundwater Modeling by PC (1st Phase)	16-23 Dec 2004	Cairo, Egypt	UNESCO Cairo	MoWR	16	14 (88)	2 (13)	10 (63)	6 (37)	0 (0)
4. Groundwater Modeling by PC (2nd Phase)	17-23 Mar 2005	Cairo, Egypt	UNESCO Cairo	MoWR	16	14 (88)	2 (13)	10 (63)	6 (37)	0 (0)
5. 1st Watershed Modeling and Analysis	9-16 Apr 2005	Cairo, Egypt	UNESCO Cairo	MoWR	17	12 (71)	5 (29)	10 (59)	4 (24)	3 (18)
6. Water Governance Workshop with IUCN	18-19 Apr 2005	Amman, Jordan	IUCN, UNEP	MoWR	2	2 (100)	0 (0)	2 (100)	0 (0)	0 (0)
7. Project Formulation Workshop (2nd Phase)	24-30 Apr 2005	Amman, Jordan	Iyad Hussein	MoWR	22	14 (64)	8 (36)	19 (86)	3 (14)	0 (0)
8. FRIEND Nile Study Tour	11-19 May 2005	Cairo, Egypt	UNESCO Cairo	MoWR (i.e. DG of Operation and Management for Irrigation and Director of the International Water Study Center); MoWR-KRG: DG of Irrigation; and MoFA	7	6 (86)	1 (14)	6 (86)	1 (14)	0 (0)

Event	Dates	Location	Training Provider(s)	Type(s) of Pax	No. of Pax	No. (%) of Pax by Sex		No. (%) of Pax by Region		
						M	F	Center	North	South
9. Trainers of Training Workshop in Water Management	14-18 May 2005	Kuwait City, Kuwait	UNESCWA	MoWR	4	2 (50)	2 (50)	3 (75)	0 (0)	1 (25)
10. Weed Control and Canal Cleaning Training	18-26 May 2005	Cairo, Egypt	UNESCO Cairo	MoWR: Officials from Directorate of Operation and Management of Irrigation	23	23 (100)	0 (0)	16 (70)	3 (13)	4 (17)
11. Regional Desertification Workshop (UNESCO Chair)	18-19 Jun 2005	Irbid, Jordan	UNESCO-Chair on Desertification	MoST: Head of Soil Chemistry and Desertification Department; and Anbar University: Director of Desert Research Center	2	2 (100)	0 (0)	2 (100)	0 (0)	0 (0)
12. Wadi Hydrology Training in Decision Support System	20-25 Jun 2005	Al-Salt, Jordan	Balqa Applied University	MoWR	7	4 (57)	3 (43)	3 (43)	4 (57)	0 (0)
13. Expert Panel Meeting on Transboundary Water Issues	13-15 Jul 2005	Beirut, Lebanon	UNESCO WWAP PCCP Programme	MoWR: Director of International Water Study Center	1	1 (100)	0 (0)	1 (100)	0 (0)	0 (0)
14. Intensive Training in IWRM in USA	25 Jul - 25 Aug 2005	Salt Lake City, Utah, USA	UNESCO Cairo, Brigham Young University, USACE	MoWR	9	9 (100)	0 (0)	5 (56)	4 (44)	0 (0)
15. The 15th World Water Week	20-25 Aug 2005	Stockholm, Sweden	SIWI, UNESCO-IHP	MoWR: Minister and his Special Advisor	2	2 (100)	0 (0)	1 (50)	1 (50)	0 (0)
16. Introductory Water Laboratory Training	11-22 Sep 2005	Amman, Jordan	WERSC of Jordan University	MoWR (i.e. Chief Engineers, Physicists and Advisors)	22	11 (50)	11 (50)	17 (77)	5 (23)	0 (0)
17. 11th Arab IHP Committee Meeting	25-29 Sep 2005	Damascus,	UNESCO Cairo	MoWR: Iraqi National IHP member; MoT: Iraqi National IHP	3	3 (100)	0 (0)	3 (100)	0 (0)	0 (0)

Event	Dates	Location	Training Provider(s)	Type(s) of Pax	No. of Pax	No. (%) of Pax by Sex		No. (%) of Pax by Region		
						M	F	Center	North	South
		Syria		member; and Baghdad University: Secretary of Iraqi National IHP						
18. Knowledge Management for Decision Makers	10-22 Oct 2005	Delft, Netherlands	UNESCO-IHE	MoMPW: Consultant Engineer from Deputy Minister's Office and DG for Sewage and DG for Water from Manager of Planning Office; MoWR, MoPDC: DG and Directors of Agricultural Planning; MoENV: DG of Planning and Technical Follow-up, Senior Chief Engineer of Water Department and Deputy DG of Governorate Affairs Directorate; and MoA: DG and Director of Irrigation Directorate	18	16 (89)	2 (11)	18 (100)	0 (0)	0 (0)
19. On-farm Water Management Training	12 Nov-22 Dec 2005	Cairo, Egypt	Regional Center for Training and Water Studies	MoWR	3	2 (67)	1 (33)	2 (67)	0 (0)	1 (33)
20. 7th Gulf Water Conference	19-23 Nov 2005	Kuwait City, Kuwait	The Gulf Water Council (Zubari)	MoWR: Officials from the Drilling and Well Department; and Baghdad University: Associate Professor of Geography	3	2 (67)	1 (33)	3 (100)	0 (0)	0 (0)
21. ETIC-UNESCO Trilateral Meeting on the Euphrates	20-25 Nov 2005	New Delhi, INDIA	ETIC	Baghdad University: Professor from College of Science who is also an ETIC member; MoWR: DG of Water Resources Management and Senior Advisor to the Minister; and MOHESR: Advisor to Minister who is also an ETIC member	4	4 (100)	0 (0)	4 (100)	0 (0)	0 (0)

Event	Dates	Location	Training Provider(s)	Type(s) of Pax	No. of Pax	No. (%) of Pax by Sex		No. (%) of Pax by Region		
						M	F	Center	North	South
22. 8th Regional Training for Groundwater Protection	25 Nov - 2 Dec 2005	Cairo, Egypt	UNESCO Cairo	MoWR	10	9 (90)	1 (10)	4 (40)	5 (50)	1 (10)
23. 3rd International Wadi Hydrology Conference	12-14 Dec 2005	Sanaa, Yemen	UNESCO-Chair on Wadi Hydrology	MoWR	2	2 (100)	0 (0)	2 (100)	0 (0)	0 (0)
24. 2nd Watershed Modeling and Analysis	19-27 Jan 2006	Cairo, Egypt	UNESCO Cairo	MoWR	19	15 (79)	4 (21)	15 (79)	4 (21)	0 (0)
25. Dam Safety Assessment Training	6-17 Feb 2006	Istanbul, Turkey	ETIC and Turkish Water Foundation	MoWR	8	7 (88)	1 (12)	5 (62)	3 (38)	0 (0)
26. 8th Int'l Conf. of Geology of the Arab World	13 - 17 Feb 2006	Cairo, Egypt	UNESCO Cairo	MoWR: Expert, Secretary of Iraqi National IHP committee	1	1 (100)	0 (0)	1 (100)	0 (0)	0 (0)
27. Rainwater Harvesting Training	14-28 Feb 2006	Damascus, Syria	ACSAD	MoWR	15	13 (87)	2 (13)	6 (40)	6 (40)	3 (20)
28. Analysis on Water and Wastewater	25 Feb - 8 Mar 2006	Amman, Jordan	WERSC of Jordan University	MoWR : DG for Water Resources Management, DG for Engineering Designs, DG for Operation and Maintenance of Irrigation Projects and DG for Planning and Development	20	11 (55)	9 (45)	18 (90)	2 (10)	0 (0)
29. 4th World Water Forum	17-22 Mar 2006	Mexico City, Mexico	WWC, ETIC, UNESCO-IHP	MoWR: Minister and his Special Advisor; MoA: Head of Water Management Div; and MoFA: 1 <sup>st</sup> Sec. in charge of int'l water issues	4	4 (100)	0 (0)	4 (100)	0 (0)	0 (0)

Event	Dates	Location	Training Provider(s)	Type(s) of Pax	No. of Pax	No. (%) of Pax by Sex		No. (%) of Pax by Region		
						M	F	Center	North	South
30. Regional Training on Artificial Recharge on Aquifer	21 May - 4 Jun 2006	Cairo, Egypt	UNESCO Cairo	MoWR	1	1 (100)	0 (0)	1 (100)	0 (0)	0 (0)
31. IUCN-UNESCO Regional Workshop on Desertification	14-17 Jun 2006	Amman, Jordan	IUCN	MoENV: Expert; and Anbar University: Director of Desert Research Center	2	2 (100)	0 (0)	2 (100)	0 (0)	0 (0)
32. 16th World Water Week	20-25 Aug 2006	Stockholm, Sweden	SIWI, UNESCO-IHP, ETIC	MoWR and MoENV	2	2 (100)	0 (0)	2 (100)	0 (0)	0 (0)
33. Developing Skills of Training and Development Center Management	4-14 Sep 2006	Cairo, Egypt	Regional Center for Training and Water Studies	MoWR	9	6 (67)	3 (33)	9 (100)	0 (0)	0 (0)
34. International Resources Modeling Workshop	4-9 Nov 2006	Amman, Jordan	Sandia National Laboratory	MoPDC: Irrigation and Drainage Engineer	1	0 (0)	1 (100)	1 (100)	0 (0)	0 (0)
<b>TOTAL</b>					<b>294</b>	<b>229 (78)</b>	<b>65 (22)</b>	<b>224 (76)</b>	<b>57 (19)</b>	<b>13 (5)</b>

Source: Training Tables provided by UNESCO

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

Participating Beneficiaries	Illustrative Positions of Participating Beneficiaries	Illustrative Training/ Learning Events Represented	Geographic Coverage Represented			No. of Participating Beneficiaries		
			Center	North	South	M	F	Total
Individual trainees – questionnaires	Agricultural engineers, engineers, biologist, chemists, physicists and experts from MoWR and the DG for Rivers Rehabilitation	Intro and advanced training courses on water distribution and division, groundwater, and organization of water projects	23	N/A	N/A	17	6	23
Groups of trainees –FGs (N=4 FGs)	Agricultural engineers, engineers, biologist, chemists, physicists and experts from MoWR and the DG for Rivers Rehabilitation	Intro workshop for groundwater; Advanced workshop for groundwater; 1 <sup>st</sup> workshop on watersheds; 2 <sup>nd</sup> workshop on watershed	26	N/A	N/A	18	8	26
Trainee managers/ supervisors – questionnaires	Agricultural engineers, engineers, biologist, chemists, physicists and experts from MoWR and the DG for Rivers Rehabilitation	Advanced training courses on water distribution and division, groundwater, and organization of water projects	21	N/A	N/A	15	6	21
<b>Total</b>			<b>70</b>	<b>--</b>	<b>--</b>	<b>50</b>	<b>20</b>	<b>70</b>

### 1. Trainee Questionnaires

In response to questions about the relevance of training to their professional needs, of the 23 trainees given the questionnaire, 18 found the trainings to be ‘relevant,’ while five found them to be ‘very relevant’ – the top two rankings. However, when asked about the level of instruction, 15 thought the trainings were too difficult while eight thought they were ‘about right’ or ‘exactly right.’ Comments given said that the six days they had for training was not enough. In response to queries about using their new learnings in the workplace, 17 respondents commented that they use concepts ‘a little,’ while four are using it ‘fairly frequently’ and three are using it ‘all of time.’

As for the training materials, all of them said they were ‘good,’ but half of them found some of the training materials not to be very useful.



They commented that the materials were in a different language (English not Arabic), the experiments were not specific to Iraq and the training was without equipment. All of the participants, though, thought the instructors knew the material well and that they adequately responded to questions.

In terms of the usefulness of the training in their own work, participants noted that the most useful supplies provided were high-tech equipment and laboratory equipment. A comment of importance for follow-up is the mention that some of the equipment was still in storage and therefore it was not being used.

## **2. Trainee Focus Group Responses**

Four separate focus groups were held with trainees; all of their findings are presented together due to the similarity of responses.

Respondents noted examples of how they or their institution benefited from UNESCO assistance. These included:

- Computers given to certain departments reduce how long it takes to carry out some tasks;
- High-tech information regarding labs, although this was more theoretical than practical;
- Administration techniques for managing water projects (i.e. guidelines); and
- Computer programming and software to find water resources and underground water makes their work more reliable and scientific.

Respondents also spoke about negative aspects of the Project:

- Poor choice of priority for activities, as laboratory equipment and water sampling techniques are the most important;
- Training was mainly about the countries visited and not Iraq. It was also more theoretical than practical;
- Insufficient books and manuals given, some of which contained poor translation into Arabic; and
- Training was too short.

One focus group also mentioned that field work and in particular establishing a site to train individuals was not possible given the security situation.

Respondents provided instances of accomplishments as a result of the Project:

- The new and modern information they were given affected their work. It helped establish new ways of thinking and planning of the future. It also allowed them to value the importance of scientific procedures and equipment for building strong and efficient databases for water projects;
- It increased communication and morale between field and administrative staff; and
- The combination between field work and administrative work produced higher quality information which will be very useful for future projects.

### 3. Manager Questionnaires

Twenty-one managers responded to the questionnaire. All thought that the trainings provided important skills, such as using new lab techniques, exposure to high-tech equipment and software, and information on earth geography. Two areas were also noted for not being useful: exposure to high-tech equipment since they did not have such equipment back in Iraq; and learning about the eradication of grass from the water stream since Iraq has different kinds of grasses. Some indicated it was not relevant to learn information in and concerning other countries.

Still, all of the managers said that the trainings led to improved performance. Examples given were improved laboratory work by laboratory technicians, improvement in the water sampling technique for water testing and analysis, and being able to use the internet to search for information on and software for new equipment.

In terms of the Project, they found computers, books and research papers to be the most useful supplies provided. They also said that in addition to the examples of improved performance given above, as a result of the Project, the Ministry is now asking for more funding concerning high-tech equipment related to water analyses and water resources and that the media is now focusing on their work.

### 4. Previous Evaluations

Given the high number of learning and training activities that took place under this Project, to compliment the above findings we also present the overwhelmingly positive results from UNESCO evaluations completed by participants immediately following the conclusion of a training.<sup>10</sup> While we assume such evaluations were carried out after every training, the SI Evaluation Team was only given such documentation for a few of them. These are discussed below.<sup>11</sup>

The "Developing Skills for Training Centers Management and Operation" training (#33 on Table 5) received high marks across the board: 90% or more felt that the lectures, including the technical material, were 'excellent.' With 80% of the participants saying that the tour to the International Agriculture Training Center was 'excellent,' it ranked highest among the three tours. With regards to the trainers, 60% found them to be 'excellent,' while the other 40% found them to be 'very good.' Most importantly, 85% felt the training did an excellent job of fulfilling its objectives; the other 15% said it did a very good job.

The participants in the "Rainwater Harvesting Training" (#27 on Table 5) were also very pleased with the training, believed it met its objectives and was very well organized.

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<sup>10</sup> It appears that many of the evaluations were based on scaled ratings (i.e. from 1 to 5) of different comments. In a few cases, there seem to be open-ended questions regarding whether there were topics that deserved more or less time, as well ways to improve the training. The reporting on these results was minimal, if at all.

<sup>11</sup> Results from the "Knowledge Management for Decision-Makers in the Water Sector" (#18 on Table 5) evaluation are not presented as this training is the subject of one of the success stories. In almost all cases, though, the training received an 8 out of 10 or higher on different aspects of its content and presentation.

Of the 17 participants, 15 felt that the training did a good or very good job with regards to the scientific level and the presentation of the theoretical lectures, as well as with teaching them new skills and information. While still positive, slightly lower marks were given to the level of practicality of the sessions and the balance between theoretical and practical sessions. In addition, according to the corresponding UNESCO training report, most of the participants asked to repeat the course with more focus on surface water modeling. They also asked to make the course longer, a common recommendation.

While the actual evaluation results weren't provided to the SI ET, the UNESCO report on the "Project Formulation Workshop" (#2 on Table 5) summarized the findings. It said that 100% of the trainees expected to apply the knowledge and skills learned in the workshop in their jobs, felt that the content accurately reflected their job needs and would recommend the course to others. The trainer was also supportive in helping participants achieve the learning outcomes and led discussions well. However, they noted that there was no opportunity to apply the knowledge and skills covered.

The evaluation results for the "Analysis on Water and Wastewater" training (#28 on Table 5) showed that over 80% of participants agreed or strongly agreed that the workshop added significantly to their skills/knowledge and would help them do their work more effectively. They also thought the trainers presented material clearly and answered questions well. Over 90% of participants said the training was relevant to their job and related to their academic qualifications. They suggested that more time be given to the experimental part of the course.

Lastly, 88% of the 22 participants who attended the "Introductory Water Laboratory Training" (#16 on Table 5) agreed or strongly agreed that the workshop added significantly to their skills/knowledge, while slightly less- 79%- felt that it would help them do their job more effectively. Over 90% felt that the material was presented clearly and that questions were encouraged and answered well. In terms of the selection of the participants, 86% said their job and their academic qualifications were related to the training.

## 5. Success Stories

A success story shared by the UIO provides additional insight into one of the training events: "Knowledge Management for Decision-Makers in the Water Sector" (#18 on Table 5). Parts of this story are shared below.<sup>12</sup>

*When the Iraqi Ministry of Water Resources started to think that the Integrated Water Resources Management (IWRM) concept must be widely shared with other water-related ministries, this training was presented. Each ministry has different agendas in water consumption, for instance Ministry of Agriculture for agriculture and Ministry of Municipalities and Public Works for drinking, but they are all using the same resources. In order to achieve the project objectives, this activity was indispensable to build-up an inter-ministerial relationship on water issues as well as to have a common language and view on their current and future water use among high-level officials among different ministries.*

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<sup>12</sup> Some grammatical revisions have also been made.

*The participants were experienced officials with an extensive knowledge in their own fields. Their style of water resources “development” was quite effective in the past when the Iraqi water resources were considered abundant enough for all water consumption; environment was not a requirement at that time. They only had to concentrate on technical problems to increase water supply as much as needed. But times have changed. The population has grown, water quality has deteriorated, water quantity has decreased, their infrastructures have become outdated (i.e. the agricultural sector consumes more than 80% of water use with its obsolete facilities) and protecting the environment has emerged as priority. There is now competition for water in order to meet all increasing demands. Senior officials came to understand that they need solutions for this simultaneous equation, and to that end it is necessary to start with understanding its complexity.*

*What this activity achieved is unique. Firstly, it brought high-officials from different ministries together (even in Baghdad, it is hard for them to have 2-week intensive discussions with colleagues from other ministries due to the security situation) and it gave them an opportunity to become familiar with each one’s issues and needs. Secondly, the concept of “Knowledge management” was introduced to high officials. This was a relatively new idea for water planning in general, let alone for Iraqis. Finally, to ensure sustainability of UNESCO’s intervention, it was important that the ministries joined UNESCO’s existing global network of water initiatives. In fact, since the training, the Ministry of Water Resources has engaged in UNESCO-IHE’s training programmes.*

“[Knowledge Management for Decision-Makers in the Water Sector] was one of the best training courses I ever took. I attended many trainings and workshops UN organized since 2004, but most of them were not matching our needs or our levels. Iraqis left behind during the past years because of wars but we have many PhD and MSc holders in our ministries. We do not have to start from the basic and we need something new we could not catch up with in the last years.”

- Dr Wigdan Ahmad, then Director General of Ministry of Planning and Development Cooperation

*It is not easy to build up a confidence with a counterpart. As this training was appreciated by other ministries, the success of this course has made it smooth to contact and to involve other ministries more than ever in UNESCO’s Natural Sciences activity.*

While this training was able to achieve not only its objectives, but those of the Project as well, it did suffer from problems that are likely endemic to the other trainings. Namely, the selection of participants was left exclusively to the Ministry. As a result, unqualified candidates were selected, in spite of the strategic nature of the training and its high costs. This led to criticisms by participants from other ministries that felt this affected the effectiveness of the course and for one ministry “it was a bitter experience.”

## 6. Evaluation Team Comments

While the overall reaction of the respondents regarding the training was positive, the SI Team has a few concerns about the overall coherence of the capacity building program under the Water Project.

First, there is a concern that while certain courses provided necessary general information on a topic, they fell short on providing practical tools for how to apply this knowledge in the workplace. According to the data collected by SOC noted above, many respondents (note these were people who said they participated in the introductory and advanced workshops on groundwater and water distribution) were not using their training in the workplace and complained that training focused on situations found in other countries instead of Iraq. Given the security situation, it is understandable why Iraq-specific information may not have been available, however, participants still could have benefited from more practical exercises in which they developed or discussed how to develop solutions to problems they might find in Iraq.

Contrary to what one might expect, participants frequently have difficulty tailoring learning to their own situation. Trainers use the technique of the Action Plan, a final step in a training program to combat this. The Action Plan requires participants to take segments of their learning experience, apply it to a similar local situation, show steps in using the new process or concept, indicate the time necessary to implement each step in the process, and indicate the tools needed. This prevents the very common regression to prior methods of operating, and helps ensure that participants are actually able to use their newly acquired skills.

Another concern and common complaint by respondents was that courses were too short: a review of the length of courses shows that most activities lasted only a few days to a week.<sup>13</sup> This length is appropriate for meetings, conferences or very targeted learning; however, as a general rule, mastery is not achieved in such short exposure. This is not to say that such an approach was wrong—particularly in light of the available resources and the fact that US-led capacity building efforts of greater length focusing on fewer people were being carried out in tandem—rather that the impact of such training will likely be minimal and additional training will be needed.

There is also a concern surrounding the selection of participants. While it is difficult to completely avoid the favoritism and overall political nature of working with Ministries, they are not acceptable when they reduce the effectiveness of activities and use valuable resources.

## IV. BEYOND OUTPUTS

### A. Sustainability

A consideration of sustainability requires first a judgment about the success of meeting objectives in each component of the Project.

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<sup>13</sup> One-third of the courses did, though, last two weeks or longer.

We know that desired capacity building took place, but it is not known to what degree integrated water resources management has been understood, new knowledge applied in the workplace, or management decision-making has improved institutions. Based on the limited findings of the questionnaires, these issues seem to require greater examination to better understand why they might not be occurring. The results would be critical for designing follow-on projects that would undoubtedly help with reaching greater sustainability: they would not only provide continued capacity building, but they would also focus on improving previous practices and filling in identified gaps.

## **B. Inter-Institutional Strengthening<sup>14</sup>**

Iraq used to be one of the most advanced countries in science and technology in the region; however, due to the political climate, for decades Iraqis were isolated from the international community and deprived the opportunities to upgrade their knowledge and information in scientific fields. Accordingly, Iraqis were left behind from the latest advancement in sciences.

Thus, the Project emphasized capacity building through rejoining regional and international water communities. It tried to fully utilize UNESCO's diverse existing networks to promote regional and international cooperation for its technical and institutional capacity building activities for the Iraqi experts. Activity partners were carefully selected in order to both achieve each activity's output and expand the Iraqis network with international and regional partners.

Figure 2 illustrates how the Project utilized existing networks, promoted regional and international cooperation through its implementation, and established a network between Iraqis and other regional and international partners.

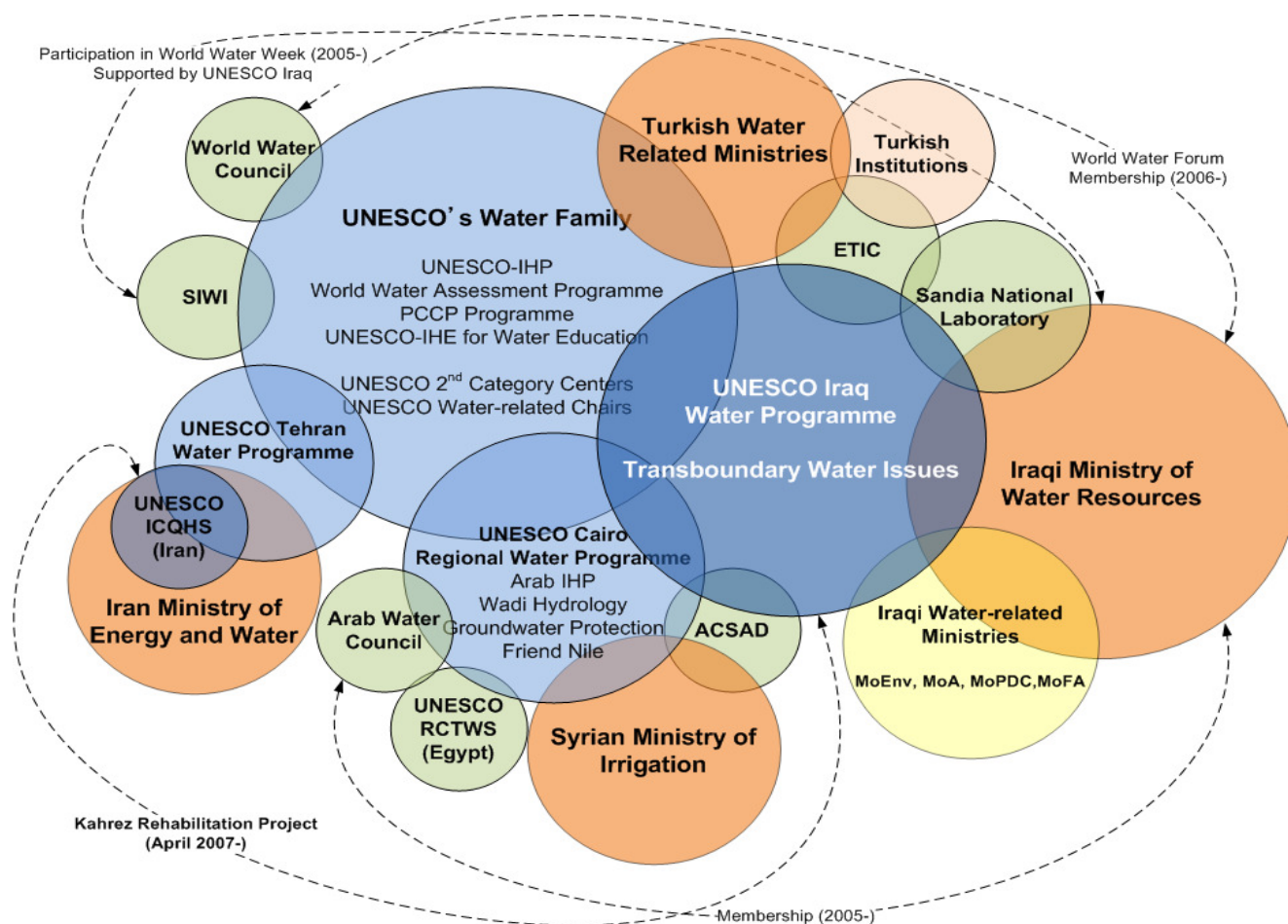
The Project itself is the dark blue circle in the center with the white text. Those circles it partially encompasses represent the Project's main designers, implementers, funders and beneficiaries. The other surrounding circles represent smaller partners, including trainers, and/or secondary beneficiaries. The two largest players in this Project are clearly UNESCO's Water Family and the Iraqi Ministry of Water Resources. It is interesting to note, though, the importance of UNESCO Cairo, which provided a great deal of training, and the Iraqi Water-related Ministries, whose staff attended much of the training. Also of interest is the fact that this Project touched Ministries in other countries, including Turkey, Syria and Iran.

While most of the partners were already key actors in UNESCO's existing network or ongoing regional and global water programs, the Project strengthened their relationships. In addition, it successfully established new partnerships in the Iraqi context. For instance, UNESCO collaborated with Sandia National Laboratory to develop decision-making tools for the Iraq national water system. Partners in Iran and Turkey also paved the way to launch a dialogue on trans-boundary water issues of the Tigris and Euphrates Rivers, one of this Project's main objectives.

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<sup>14</sup> Substantial input for this section was given by Ryuichi Fukuhara, Program Specialist – Natural Sciences.

Figure 2: Project Collaboration Diagram



## 1. Success Story

A success story was provided by the UIO that speaks to the dialogue regarding the Tigris and Euphrates Rivers, as well as to the overall international cooperation integral to this Project. Like the prior success story, it too concerns a training: Dam Safety Assessment Training (#25 on Table 5). Parts of this story are shared below.<sup>15</sup>

*Prior to this training, UNESCO had organized an informal trilateral meeting in November 2005 to explore the possibility of regional cooperation among riparian countries. Organizing a joint training course was one of the recommended modalities and “dam safety assessment” was one of the top priority subjects. There is no clear record, but most probably this was the first time that experts from all riparian countries of the Tigris and Euphrates rivers all together took a joint training course on their common concerns on the Tigris and Euphrates rivers. This in itself was a breakthrough.*

<sup>15</sup> Some grammatical revisions have also been made.

*When participants from Turkey, Syria, Iraq and Iran came together in one class room, they seemed suspicious of each other. It could not be helped as dams on the Tigris and Euphrates Rivers were a contentious issue: downstream Iraqis thought dam construction in upstream Turkey, Syria and Iran had caused water to decrease flow within the Iraqi territory. Moreover, for the political reasons for the last decade, the Joint Technical Committee (Turkey, Syria and Iraq), which was supposed to be a platform to discuss on water issues of the Tigris and Euphrates, had been halted.*

*That is why UNESCO carefully designed this 2-week course to remain within the technical domain regarding dam safety assessment, and not to go into any political discussion. They facilitated to find out commonalities of problems the participants were facing in their daily works rather than tugs of wars. Eventually, the participants came to understand each other's problem. Their neighbors were also struggling with the technical difficulties they were suffering from. They found out they had common words to discuss the way of analyzing invisible cracks on dam body, they shared lessons of dam failure in the past and lessons learned to prevent possible disasters.*

*In addition, a map exercise enabled them to see just how close geographically they were all working. One Iraqi participant said, "My Syrian friend is working just over there on the other side of the political boundary and doing the similar job! It is so close, much closer than Baghdad".*

*After the completion of the course, all participants very much appreciated the information they exchanged, new technical expertise they obtained and the interaction with their neighbors. This training course proved there was a possibility to share their common concerns, to understand each other's problem, and to figure out a solution for the sake of people all living together on the Tigris and Euphrates Rivers.*

Given this training's success, the same modality has been duplicated within another on-going project: Rehabilitation and Conservation of Kahrez Systems in the Northern Governorates. Specifically, 15 Iraqi experts attended training given by Iranian experts at the International Center for Qanat and Historical Hydraulic Studies in Iran (a UNESCO center). Cooperation between Iraq and Iran on the traditional water systems is expected to lead to broader cooperation on outstanding and future water issues.

## **V. COST EFFECTIVENESS**

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



While the total estimated costs for Water Security are in line with the total actual costs, the original estimates for each category differ greatly from their actual costs. The personnel budget was overestimated by 33%, while the travel and security budgets were overestimated by 63% and 88% respectively. On the other side, the contracts budget was 51% too low. However, original estimates for the two largest components of the budget—training and equipment—were very accurate.

**Table 7: Project Budgets**

<b>Category</b>	<b>Original Approved Budget</b>	<b>Final Approved Budget After Revisions</b>	<b>Actual Cost</b>	<b>Actual as % of Original</b>	<b>Actual as % of Final</b>
Personnel	412,424	278,497	276,573	67%	99%
Contracts	250,000	378,603	377,788	151%	100%
Training	1,111,825	1,166,367	1,148,761	103%	98%
Transport	-	-	-	0%	0%
Supplies & commodities	-	-	-	0%	0%
Equipment	1,208,253	1,194,795	1,194,295	99%	100%
Travel	58,760	23,000	21,780	37%	95%
Security	61,225	61,225	7,080	12%	12%
Miscellaneous	20,000	20,000	19,945	100%	100%
Agency management support	153,063	153,063	149,170	97%	97%
<b>Total</b>	<b>3,275,550</b>	<b>3,275,550</b>	<b>3,195,392</b>	<b>98%</b>	<b>98%</b>

Sources: Completion Report for Capacity building in Water Institutions of Iraq and Financial Status Report (as of 31 December 2007).

These incorrect allocations were addressed in four different budget revisions. The first in October 2006 resulted in by far the greatest reallocation. Given the security situation and the inability for international consultants to travel to Iraq, UNESCO decided to carry out additional capacity building activities for Iraqis. Thus, funds for personnel were reallocated to the training budget and contracts budget so they could contract short-term consultants. The second budget revision in April 2006 once again moved funds to contracts and training, this time by reducing the travel budget. Again this budget was no longer needed as people could not travel to Iraq. The third and fourth revisions in November and December of 2006 were quite small and involved mainly increasing the contracts budget to conduct a preparatory study and an evaluation.

Thus, it does not appear that the original budget necessarily allocated funds incorrectly, but rather that as a result of unexpected challenges, there were fundamental changes in the project. This highlights the importance of being able to move funds to both respond to new challenges as they arise and successfully carry out the assigned tasks.

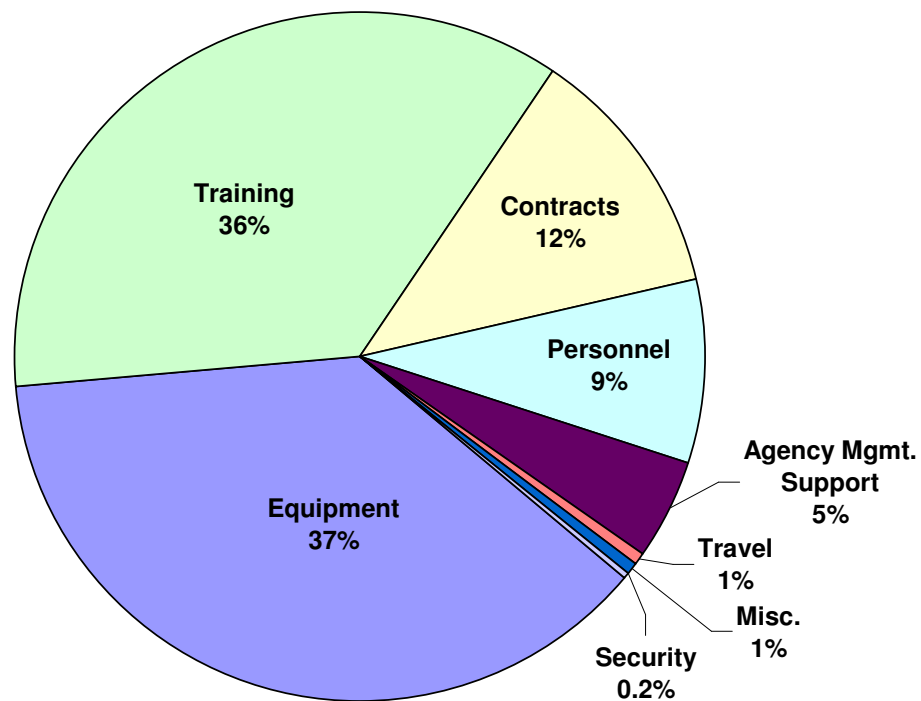
The actual budget allocation reflects the objectives of this project: the equipment and the training budget are the two largest components, taking up 37% and 36% of the budget respectively. This also demonstrates that although there was programmatically a greater focus on capacity building, its costs were not as high as those associated with the provision of equipment.

Of course, some of this equipment budget did go to equipping the training center with computers, special software, and water laboratory instruments. The other part was spent on providing the MoWR library with more than 300 technical reference books and back issues of academic journals for the last five years, as well as on GIS equipment and other items for MoWR.

However, some of this equipment was not utilized due to delays, the security situation and needs.

The training budget was spent on 36 different activities, workshops and trainings that involved 294 people, all of which were discussed earlier. This results in a training cost per participant of \$3,900. This high cost is in great part due the high costs of traveling to other countries, including Sweden, United States, Netherlands, India, Turkey and Mexico, for training. Another factor was the need to use computer laboratories to conduct the trainings.

**Figure 3: Actual Budget Allocation**



While this Project did experience some issues with equipment, overall the actual budget allocation provides strong evidence that project funds were used according to the project's objectives.

## **VI. LESSONS LEARNED**

1. An important lesson to be incorporated in future program design relates to the equipment procured. Although delivery of equipment was made successfully much is not being used, in one instance because high tech equipment cannot be used in the dangerous areas and is therefore in storage or because of delays that resulted in expiration of consumables. This problem appears to arise from a design that did not anticipate some basic issues of how the technical equipment would be incorporated into the work of the scientists and technicians.
2. Related to the project design is the selection of a training plan that is broadly based and attempts to cover many different topics. Of 34 training programs most covered diverse subjects and many were of short duration, e.g. conferences and meetings. While valuable in themselves it will be difficult and costly to relate performance improvements to the capacity building activities.
3. The initial meeting arranged in Delhi between principals from Iraq, Syria and Turkey to discuss water sharing on the Tigris and Euphrates showed that individuals from other countries that have disputes with one another can achieve understanding, identify commonalities and see the value of working together all within a few days time. This was a great initial step to deal with water sharing, as well as for international cooperation as a whole. Sharing this experience with other and discussing the next steps in this discussion could be a useful historic document.

## **VII. RECOMMENDATIONS**

### **A. Participant Recommendations**

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

1. Hold training courses in countries with the same environmental circumstances and the same problems (and not Jordan).
2. Increase the length of time of each course.
3. Have refresher courses every six months.
4. Start a high technology course for the laboratory technicians (in the Training Institute).
5. Provide the labs with high-tech equipment and trainings on how to use and maintain them.
6. Publish some of the research papers written by participants, in order to share ideas.
7. Institute a better nomination process to ensure that the right people are participating in the courses.

8. Maintain contact with participants and evaluate them every six months.

## **B. SI Recommendations**

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

1. Communication between all of the different international partners should be maintained, perhaps with informal meetings, workshops and/or regular conference calls and the network should be tapped into for future collaborations and information sharing.
2. Given budgetary constraints and the fact that only a finite number of people can be trained, future trainings that are fundamental to the project's main objective should contain more people, while less should participate in trainings related to secondary objectives. Consideration should also be given to training greater numbers of people, as long as doing so does not interfere with the efficiency of the training and/or complies with the available resources (such as equipment). Prior training evaluations show the importance of having such a 'critical mass' in order to effect change.
3. If more training is planned for follow-on projects, detailed needs assessments should be first carried out to understand the knowledge level of the participants and the areas that require the most assistance. With enough preparation time before the course, participants could also be polled for their list of important issues.
4. Also even if future trainings continue to have the objectives of providing general information and/or providing an opportunity to become reintegrated in the international community, it is still important to provide Iraqi-specific information. While UNESCO may not have access to such information, it will be important to find sources that do. This remains true even if the trainings have to take place in other countries due to the security situation. It is also important to provide participants with tools for how to apply their knowledge to the Iraqi-context.
5. Lastly, the nomination process for identifying candidates for training should be transparent and only those qualified should be accepted. Failure to do so lessens the effectiveness of the training and it can cause frustration among participants.
6. UIO and the MoWR should follow-up with the MoWR library and its users to understand if and how the technical reference books and back issues of academic journals are used, and whether they provide relevant necessary information. If other information is required, additional research should be conducted to understand what this is and if there are ways to provide it.

## **APPENDICES**

## APPENDIX A: Additional Tables

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

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

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

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



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

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

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

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

## APPENDIX B: Detailed Evaluation Methodology

### I. EVALUATION LIMITATIONS<sup>16</sup>

First and foremost, the evaluation approach and the actual evaluation focused on the project's inputs, activities, outputs and outcomes. Given the limited amount of available data and more importantly, the short time that has elapsed since the projects were completed, this evaluation was not able to assess impacts.<sup>17 18</sup>

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

Third, the ET also did not receive any detailed documentation of specific procurement contracts issued. For this reason, very little is discussed in terms of procurement.<sup>19</sup>

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

Lastly, while this evaluation was supposed to be a relatively short exercise, it ended up taking much longer than expected: the organization of data collection in the field was very complicated to coordinate and complete; there were delays in providing the ET with key information and data; and in some cases no information was provided.<sup>20</sup>

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<sup>16</sup> These limitations pertain to the overall evaluation, i.e. to all eight projects.

<sup>17</sup> Inputs are the financial, human, and material resources used; activities are the actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs; outputs are the products, capital goods and services resulting from an intervention; outcomes are the likely or achieved short-term and medium-term effects of an intervention's outputs; and impacts are positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. Source: Keith McKay, How to Build M&E Systems to Support Better Government, World Bank Independent Evaluation Group, 2007.

<sup>18</sup> To understand these different aspects of a project, take this example of a health project: inputs are funding and training of instructors; activities are giving trainings to parents and kids on the importance of hand-washing; outputs are informed parents and kids; outcomes are that parents and kids now wash hands; and impacts are decreases in diarrheal rates and other diseases.

<sup>19</sup> Regardless, determining whether this process was as efficient as possible would require a lengthy audit, one that is usually done internally, and thus was outside of our scope of work.

<sup>20</sup> For instance, UNESCO Monitors were to conduct surveys in Erbil but this data was never provided to the Evaluation Team.

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

## **II. EVALUATION METHODOLOGY**

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

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

### **A. Desk Study**

To gain background/context information on the eight projects under review, as well as quantitative and qualitative secondary data on them, the Evaluation Team reviewed all available project reports and summaries provided to them by UIO at the onset as well as those requested later as the evaluation progressed.<sup>21</sup> They also mined a vast corpus of UNESCO's Internal Oversight Service (IOS), International Reconstruction Fund Facility for Iraq (IRFFI), ITF, UIO and United Nations Assistance Mission for Iraq (UNAMI) documents and websites. In total, probably some 200 such items were examined.

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

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

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

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<sup>21</sup> These included Project Documents, Six-month Progress Reports, Completion Reports, Requests for Budget Extensions, Budgets, Training Plans, Action Plans and other related documents.

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

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

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

**Table B.1 The Four Tools**

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

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

#### 1. Operational Chronology/Milestone Charts

In total, SI was to receive 10 milestone charts from UIO. The first milestone chart for key security events was completed during the evaluation team’s time in Jordan.

Due to UIO's staff busy schedules, it was later agreed that UIO would not produce any more and that SI would instead take over this task.

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

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

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

## **3. Training Tables**

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

## **4. Project Collaboration Diagrams**

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

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

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

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

The questionnaires, focus groups and spot-checks were to be carried out by Stars Orbit Consulting (SOC), a survey firm with field staff in Iraq and the UNESCO Monitors located in Baghdad and Erbil. In total, they were to be implemented in seven of Iraq's 18 governorates: Baghdad, Dyala, Erbil, Kirkuk, Missan, Muthana and Najaf.<sup>22</sup> (See Table B.2 and Figure B.1)

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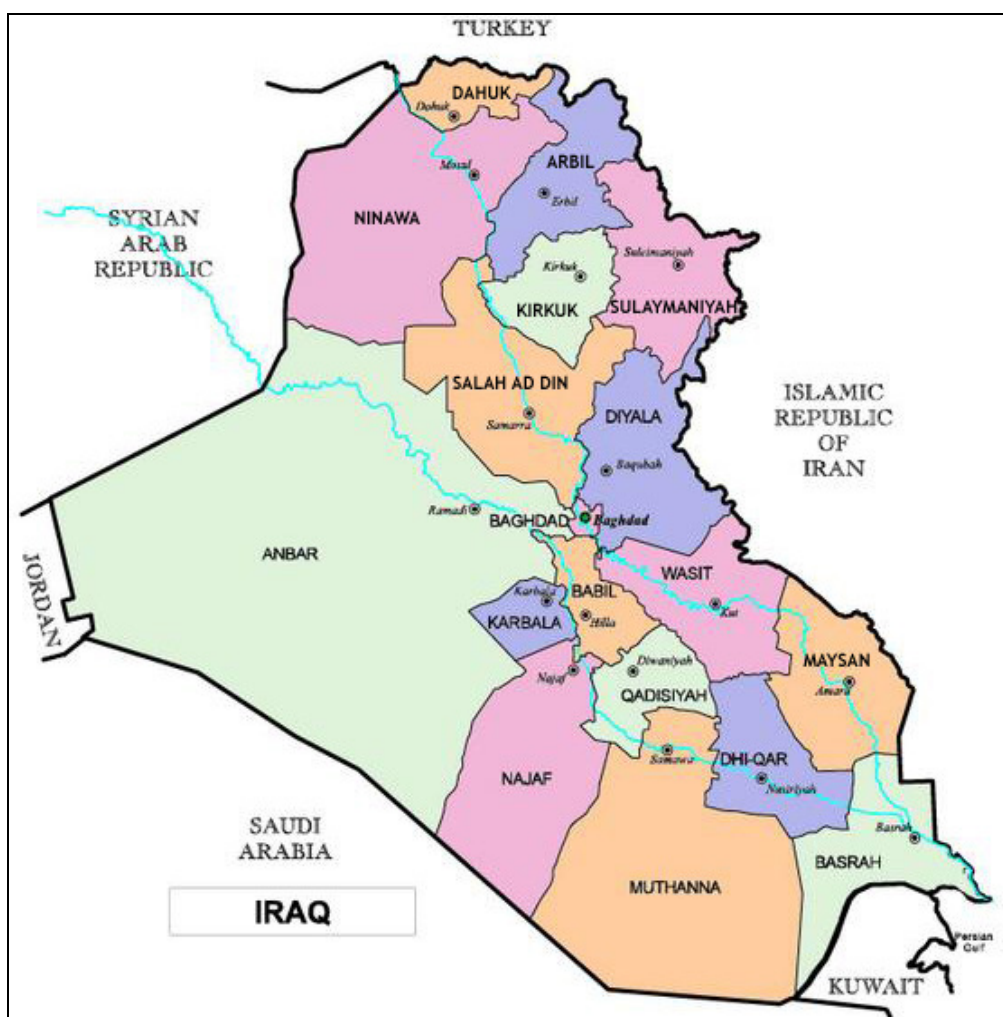
<sup>22</sup> There are multiple spellings of Iraqi's governorates. We will use these spellings throughout this document.

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

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

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

**Figure B.1 Map of Iraq**



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



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

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

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

## 1. Data Collection

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

1. UNESCO Monitors were originally supposed to conduct questionnaires, focus groups and spot checks in Baghdad and Erbil. Due to scheduling conflicts, SOC was asked and agreed to take over their tasks in Baghdad. However, the UN Monitors were still to be responsible for collecting data in Erbil. While the work in Erbil was allegedly carried out, it was never sent to SI HQ.<sup>23</sup> Thus, we have no data from Erbil.
2. There were delays of over two months in getting the questionnaire data collected by SOC. While the initial delay was a result of their need to take over the UNESCO Monitors work, subsequent delays were without valid explanation. UIO was helpful in helping SI HQ to eventually get the first round of the promised data.
3. Questionnaire data collected by SOC and sent to SI HQ suffered from quality issues. Many of the answers were similar if not the exact same across projects. Also the questionnaires were not self-administered as envisioned, but given by a surveyor. Lastly, the data was not as complete as was envisioned, as SOC only shared a few of the comments given. Requests to clarify these issues were generally not successful, although SOC did revise some of the data and said that the information was accurate.

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<sup>23</sup> UIO did inform SI HQ that there had been problems with UN Monitors finding all of the targeted beneficiaries, which caused a delay and resulted in them missing their promised deadline of the end of July. However, a firm deadline of September 3, 2008 was later agreed to given the need for the evaluation team to continue their work. On that date, no data was delivered.

4. SI, though, is still very cautious about this data and the extent to which it can be believed and relied upon.
5. There was a low rate of success in meeting the target numbers of those to be given the questionnaire, those to be in the focus groups and spot check sites to visit. While such low response rate is expected in general and even more so given the security situation, the fact that no spot checks were carried out for Water Security or Cultural Heritage was very disappointing.<sup>24</sup> Moreover, SOC did not adhere to the sampling frames provided.<sup>25</sup>

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

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

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

<sup>24</sup> SOC explained that their “field team couldn’t conduct the spot check for these sites due to coordination and security issues with the Water Department and Ministry of Culture.”

<sup>25</sup> It also appears that at times SOC was operating off of an older version of the sampling frame, while other times they had target numbers that did not match up with any sampling frames.

Project	Trainee Questionnaire		Manager or Supervisor Questionnaire		Location	
	Target	Actual	Target	Actual	Target	Actual
Cultural Heritage <sup>26</sup>	10	4	11	4	Baghdad	Baghdad
Water Security <sup>27</sup>	59	23	60	21	Baghdad	Baghdad
<b>TOTALS</b>	<b>289</b>	<b>127</b>	<b>116</b>	<b>50</b>		

Table B.4 Target and Actual Focus Groups

Project	Selected Training Topic(s) and Events	Focus Groups	
		Target	Actual
Textbooks	<i>Training in Graphic design</i>	1 FG of 9	None
	<i>Training in textbook authorship</i>	None <sup>28</sup>	1 FG of 10
EMIS	<i>Training on EMIS software &amp; Data Entry</i>	None <sup>29</sup>	1 FG of 3
In-Service	<ul style="list-style-type: none"> <li>• Development of instructional materials</li> <li>• Follow-up workshop in UK</li> </ul>	1 FG of 12 core teachers, ideally those completing both workshops	2 FGs: 1) 9 from Development of materials; and 2) 7 from follow-up workshop
	<i>Training of mentors by core teachers</i>	1 FG of 8 to 10 mentors, trained by core teachers (if possible)	None
SSE	<i>Training in science education curriculum</i>	None <sup>30</sup>	1 FG of 6
	<ul style="list-style-type: none"> <li>• Trainings in Germany</li> <li>• School principals</li> <li>• Lab technicians</li> </ul>	1 FG of up to 12, combining participants from both trainings	None
LLD	<i>Study visit, India, Thailand, Jordan</i>	1 FG of 6 to 8	1 FG of 5 (containing individuals who went on study visit and had training in development of materials)
	<i>Development of advocacy materials</i>	1 FG of 8-10	See above
	<i>Planning, management of non formal education</i>	None	1 FG of 5
Cultural Heritage	<i>Training in site assessment using GIS</i>	1 FG of up to 12 that ideally includes only	2 FGs: 1) 8 from workshop on GIS; and 2)

<sup>26</sup> The target was the universe of remaining trainees or managers/supervisors after the FG discussions were held. Thus, we do not have specific numbers for the two categories. Instead, we know that the universe for both equaled

<sup>27</sup> The target was the universe of remaining trainees or managers/supervisors after the FG discussions were held. Thus, we do not have specific numbers for the two categories. Instead, we know that the universe for both equaled 119. Thus, we simply divide this into two for illustrative purposes.

<sup>28</sup> This was requested in an earlier version of the sampling frame.

<sup>29</sup> This was requested in an earlier version of the sampling frame.

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

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

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

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

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

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

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

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

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

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

## APPENDIX C: Data Collection Tools

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

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

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

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

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

#### Schematic of FG Notes

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

#### *FG Responses:*

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

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

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

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

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

As above

### **Recommendations for Future Projects**

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

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

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

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

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

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

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



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

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

### Roster of FG Members in Attendance

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

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

## FG Guide

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

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

**Date of FG:**

**Name of Monitor/Other Personnel:**

**Affiliation:** UIO or Stars Orbit

## Introduction

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

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

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

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

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

## FG Discussion Points

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

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

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

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

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

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

>>> Break Time <<<<

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

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

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

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

Recommendation 1.

Recommendation 2.

Recommendation 3.

Recommendation 4.

Recommendation 5.

Etc.

## **2. Questionnaire for Project Trainees**

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

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

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

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

## Questionnaire for Project Trainees

### Introduction

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

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

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

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

### Background Information

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

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

**Respondent’s Sex:**

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

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

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

- 1.
- 2.
- 3
- 4.

### Relevance and Quality of Training

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

- Not at all relevant  
 Somewhat relevant  
 Relevant  
 Very relevant

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

- Too simple  
 Too difficult  
 About right  
 Exactly what I needed

Please comment on your response to the above question.

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

- Poor  
 Fair  
 Good  
 Excellent

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

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

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

- Yes  
 No

If "no," please comment.

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

\_\_\_\_\_ Yes

\_\_\_\_\_ No

If “no,” please comment.

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

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

### **Transfer of Training**

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

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

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

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

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

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

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

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

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

\_\_\_\_\_ Yes

\_\_\_\_\_ No

If “yes,” please give specific examples.

### **Training Results and Recommendations**

How has the training benefited you personally or professionally?

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



have been initiated, fostered, or put forward due directly or indirectly to your own and colleagues' UNESCO training.

Accomplishment 1.

Accomplishment 2.

Accomplishment 3.

Accomplishment 4.

Accomplishment 5.

Etc.

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

Recommendation 1.

Recommendation 2.

Recommendation 3.

Recommendation 4.

Recommendation 5.

Etc.

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

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

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

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

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

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

## Questionnaire for Managers or Supervisors of Trainees

### Introduction

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

The purpose of this questionnaire is to ask whether you -- as the manager or supervisor of one or more UNESCO trainees<sup>31</sup> -- have observed any meaningful improvements in these individuals’ on-the-job performance. The questionnaire also asks about any significant, positive changes in attitudes, procedures, policies, outputs, etc. in your institutional unit as a whole that may have been introduced or even adopted due to trainees’ learning. Finally, we are also interested to hear about any training needs you consider a priority for your unit, given the possible re-design of follow-on UNESCO projects.

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

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

### Background Information

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

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

**Respondent’s Sex:**

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

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

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<sup>31</sup> Note: If you were yourself also a UNESCO trainee, you should be receiving a second questionnaire about your personal learnings experience.

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

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

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

### Training Results

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

- Yes  
 No  
 Don't know

Please describe the skills or learning that have proven:

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

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

- Yes  
 No  
 Don't know

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

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

### Institutional Change

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

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

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

Example 1.

Example 2.

Example 3.

Example 4.

Example 5.

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

Accomplishment 1.

Accomplishment 2.

Accomplishment 3.

Accomplishment 4.

Accomplishment 5.

Etc.

### **Recommendations**

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

Recommendation 1.

Recommendation 2.

Recommendation 3.

Recommendation 4.

Recommendation 5.

Etc.

#### 4. Site Spot-Check Instrument

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

##### Background Data

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

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

**Date Visited:**

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

**Name of Monitor/Other Personnel:**

**Affiliation:** UIO or Stars Orbit

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

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

##### Rehabilitation

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

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

## Refurbishment of Furniture and Equipment

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

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

## Project-Trained Staff

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

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

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

How busy and active does the facility appear to be?

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

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

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

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

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



## **APPENDIX D: Team Biographies**

### **Social Impact**

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

SI works through a core team of 15 staff and closely affiliated consultants and has an extensive data base of more than 1000 vetted consultants based worldwide. SI clients include a broad range of development assistance agencies including the United Kingdom's Department for International Development (DFID), the World Bank (Bank), the Asian and African Development Banks, the United States Agency for International Development (USAID), Centers for Disease Control and Prevention's Global AIDS Program (CDC/GAP), agencies of the United Nations, government ministries, and nongovernmental organizations (NGOs). SI has a proven track record of working with UN agencies including the following: the International Fund for Agricultural Development (IFAD); Pan American Health Organization (PAHO); United Nations Children's Fund (UNCF); United Nations Capital Development Fund (UNCDF); United Nations Development Program (UNDP); United Nations Disarmament Committee (UNDC); and United Nations Food and Agriculture Organization (FAO).

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

Dr. Constance McCorkle, a Senior SI Associate, is a highly capable and successful anthropologist/sociologist with worldwide credentials and ample international experience. Dr. McCorkle specializes in M&E of developmental relief programs and interventions and many of her experiences have involved conflict and post-conflict settings including Afghanistan, Iraq, Angola, and the former Yugoslavia. She has designed and/or conducted dozens of evaluations and studies in a variety of sectors, including: agriculture, natural resources management, soil-and-water conservation; irrigation, potable water supply, sanitation, and related health risks; literacy and numeracy training for adults; vocational education for special groups such as child laborers, ex-combatants, widows and orphans, poor farmers, people living with HIV/AIDS, and youth-at-risk generally; and community-based capacity building of many types. Dr. McCorkle is well-versed in evaluations for programmatic impact, sustainability and efficiency and has authored more than 35 major technical reports or M&E tools, including the landmark report entitled "Looking Back and Looking Forward: Final Evaluation of the Iraq Community Action Program" (Nov 2006).

**Ann Skelton: Education Evaluator**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Looking Back

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

Looking Forward

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

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

### **C. Timing**

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

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

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

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

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

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

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

Activities

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

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

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

Outputs

- Informal Debrief
- Draft Report

LOE for Phase II

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

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

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

SI holds formal debrief with UNESCO in person.

Outputs

- Final Report
- Final Presentation