

PROJECT DOCUMENT COVER SHEET

Participating UN Organisation: United Nations Development Programme	Cluster: Cluster E: Infrastructure rehabilitation
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Programme/Project Title: Addressing Short and Long Term Water and Sanitation Needs for the Umm Qasr Region	Programme/Project Location: Umm Qasr, Basrah Governorate
Programme/Project Number: E3-08	
Programme/Project Description: Provision of water and sanitation supplies, works and services for the port city of Umm Qasr Assessment of water and sanitation situation and needs including the sewerage and solid waste conditions	Programme/Project Costs: UNDG ITF: US\$1,020,000 Govt. Input: Core: Other: TOTAL: US\$1,020,000
Govt of Iraq Line Ministry Responsible: Ministry of Municipalities and Public Works Directorate of Municipalities-Basra Governorate Municipality of Umm Qasr	Programme/Project Duration: Start date: 01 April 2006 End date: 31 October 2006
Review & Approval Dates: Line Ministry Approval: 9 January 2006 Cluster Review Date: 19 September 2005 Cluster Manager Group Review Date: 20 September 2005 ISRB Approval Date: June 2006 Steering Committee Approval Date: 16 July 2006	

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E3-08

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Development Goals:

To achieve significant progress in six key areas – increasing access to potable water in urban areas, increasing sewage treatment and access to urban sewerage systems, increasing solid waste collection and disposal, raising access to potable water in rural areas, increasing sanitation services in rural areas, and contributing towards efficiency improvement of the public management systems in Iraq.” (Draft UN Strategic Framework for Iraq: 2005 – 2007, Water and Sanitation Cluster, UN objective for 2005, p. 39)

Key Immediate Objectives:

The immediate impact on the programme/project area or target group i.e. the change or benefit to be achieved by the programme/project:

1. Increase access to potable water to the local impoverished population by decreasing the port commercial water demand, thus availing such at reasonable prices to the community
2. Public Health risks from solid wastes and organic waste build up will be reduced
3. Contribute to the socio-economic development of Umm Qasr town through (i) employment creation and (ii) alleviating the financial burdens on inhabitants by providing water to the port and thence decreasing the demand on the expensive vendor supplied water.
4. Assess the short- and medium-term needs and requirements of the water and sanitation sector in Umm Qasr.

Outputs

The specifically deliverable results expected from the programme/project to attain the objectives:

List in reference to the key immediate objectives (i.e. 1.1, 1.2, 2.1, 2.2, etc.)

- 1.1 An autonomous source of potable water will be availed for and operated by Umm Qasr port.
- 1.2 RO units Operation and Maintenance training for local staff will insure sustainability of provided assets.
- 2.1 420 tons of solid waste (i.e. 10 trips per day x 8 cubic meters x 0.75 ton per cubic meter x 7 days) will be collected per collection cycle (week) from the streets of Umm Qasr village, thanks to the collection equipment provided
- 3.1 Short and long term employment opportunities focussing on unskilled labourers’ jobs will be created, price of clean water will be decreased.
- 4.1 Water supply, wastewater systems and solid waste management needs, which will facilitate impact assessment studies, shall be assessed through a consultancy services assignment by a local consultant firm working in close collaboration with all relevant local authorities keyed to assessing the short, medium and long term requirements.



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Key Activities

Tasks to be done to produce the outputs

List in reference to the outputs (i.e. 1.1.1, 1.2.1, 2.1.1, 2.2.1, etc.)

- 1.1.1 Procurement and implementation of equipment, supplies, works and services to rehabilitate the RO units (including consumables), drill groundwater wells and install storage tank in Umm Qasr Port.
- 1.2.1 Delivery of Training services shall be acquired for provision of Operation and Maintenance training for local staff for RO units.

- 2.1.1 Procurement of solid waste bins for Umm Qasr village.
- 2.1.2 Procurement of garbage removal truck (i.e. skip loader) for Umm Qasr village.

- 3.1.1 Cleaning of storm water drainage network, repair and replacement of 15km urgently required water distribution network works and construction of 4 septic tanks, RO operation, through LoU with Umm Qasr Town Council, creating temporary and longer-term employment.

- 4.1.1 Procurement of consultancy services for the detailed situation analysis of the water and sanitation systems in Umm Qasr and formulation of the emergency requirements for alleviating the associated burdens. Safwan, Shuaiba, and Khor Zubair will be covered if time and funds allow

1. Logical Framework

UNDG ITF proposes to utilise the log frame below for programme/project submissions because it:

- brings together in one place a clear, concise and accessible statement of all of the key components of programme/project submitted;
- indicates the logic of how the programme/project is expected to work, separating out the various levels in the hierarchy of objectives, and helping to ensure that inputs, activities, outputs and objectives are not confused with each other;
- provides a basis for monitoring and evaluation by identifying indicators of success and a means of quantitative or qualitative assessment, which will be essential for reporting on implementation to donors.

	Measurable indicators	Means of verification	Important assumptions
Objectives Development Objective To achieve significant progress in six key areas – increasing access to potable water in urban areas, increasing sewage treatment and access to urban sewerage systems, increasing solid waste collection and disposal, raising access to potable water in rural areas, increasing sanitation services in rural areas, and contributing to the improving effectiveness of public management systems in Iraq.” (Draft UN Strategic Framework for Iraq: 2005 – 2007, Water and Sanitation Cluster, UN objective for 2005, p. 39)	Urban and Rural Water Access rates Sanitation coverage Infant Mortality rate Maternal Health indicators	ILCS Survey Ministry of Health Municipal Public Health Inspector reports Post-execution impact assessment	ILCS will be continued and cover these areas and subjects Ministry of Health gathers data in these areas and subjects Municipality gathers data in these areas and subjects Security situation does not deteriorate further

<p>Immediate Objectives:</p> <p><i>The immediate impact on the programme/project area or target group i.e. the change or benefit to be achieved by the programme/project:</i></p>	<p><i>Quantitative ways of measuring or qualitative ways of judging timed achievement of purpose:</i></p>	<p><i>Cost-effective methods and sources to quantify or assess indicators:</i></p>	<p><i>External conditions necessary if achieved programme/project purpose is to contribute to reaching programme/project goal:</i></p>
<p>1. Water infrastructure will increase access to potable water to the local impoverished population</p>	<p>Quantity of RO water produced: m³/day Unit price of water: \$/ m³. Number of days water not available</p>	<p>Technical coordination meetings, Progress reports, Municipalities input,</p>	<p>Continual improvement in security situation and continuity of objectives of any new government with those of previous government. Availability of trained operation and maintenance for the RO plant</p>
<p>2. Public Health risks from solid wastes and organic waste build up will be reduced.</p>	<p>Volume of Solid wastes removed from inappropriate locations to appropriate locations. Numbers of diseases from such vectors reported at clinic</p>	<p>Municipalities' records, Progress reports</p>	<p>No other significant sources of infection masked.</p>
<p>3. Contribute to the socio-economic development of Umm Qasr village through:</p> <p>(i) employment creation</p> <p>(ii) alleviating the financial burden on inhabitants by providing water to the port and thence decreasing the demand on the expensive vendor supplied water.</p>	<p>Quantity and quality of jobs created, directly and indirectly Income injected into the economy</p> <p>Unit price of vendor supplied water: \$/ m³.</p>	<p>Municipal records</p> <p>Survey of vendor water price</p>	<p>Potential employees are available, informed, and willing to take up opportunities. Operation and maintenance is performed adequately and no other demand source is established</p>
<p>4. Assess the short- and medium-term conditions of the water and sanitation sector in Umm Qasr. required conceptual designs and project budgets for such.</p>	<p>Complete and action oriented reports</p>	<p>Assessment report</p>	<p>Service providers are able to access the areas and carry out the assignment</p>

Outputs:	<i>Quantitative ways of measuring or qualitative ways of judging timed production of outputs</i>	<i>Cost-effective methods and sources to quantify or assess indicators</i>	(Outputs to immediate objective) <i>Factors out of programme/project control which, if present, could restrict progress from outputs to achieving programme/project objectives</i>
1.1 An autonomous source of potable water will be availed for and operated by Umm Qasr port.	Quantity of RO water produced pumped for port uses: m ³ Price of Water / m ³ for ships and local population. Quantity of water from local sources diverted to ship purchasers: m ³	Regular assessment reports of RO units outputs and performance Municipal records of RO units operation and delivery operations	Mains electricity to connect RO units is available in the selected locations and groundwater aquifer sustainable
1.2 RO units Operation and Maintenance training for local staff will insure sustainability of provided assets.	Rehabilitated units function properly on the long term	RO units operation and maintenance log books	Trained staff are retained by employer
2.1 420 tons of solid waste will be collected per collection cycle (week) from the streets of Umm Qasr village, thanks to the collection equipment provided	Quantity of daily solid wastes collected Relieve of improper solid wastes disposal means Pilling of solid wastes terminated	Municipality records Impact Assessment Consultancy Review Trucks operation logs	Provided bins remain available for the sole use of Umm Qasr
3.1 Short and long term employment opportunities focussing on unskilled labourers' jobs will be created and clogged septic tanks and waste-water drains will be cleared.	Number of man/days Income injected in local economy Drainage network functions Undue connections to storm water drainage network are stopped Sewage is disposed of properly	Municipality records Impact Assessment Consultancy Review	Security situation allows workers to reach worksites Commercial failure from contractors to deliver work
4.1 A consultancy assignment will be carried out and handed over to local town council that will assess water supply, wastewater systems and solid waste management and will facilitate impact assessment studies	A complete report handed over to town council	Peer or project manager's assessment	Commercial failure to deliver is avoided

Activities: Tasks to be done to produce the outputs	Inputs:	Indicator	(Activity to output) <i>Factors out of programme/project control which, if present, could restrict progress from activities to achieving outputs:</i>
1.1.1 Procurement of equipment, supplies, works and services to rehabilitate 2 RO units, and drill and supply 2 groundwater wells and 1 storage tank in Umm Qasr Port in addition to supply of consumables.	US\$232,429	Financial report Consultants report	The preliminary assessment accurately reflects the damage in the units, needs for raw water, storage and spare parts
1.2.1 Training services shall be acquired for provision of RO units Operation and Maintenance training for 6 local staff for 1 week.	USD 25,000	Financial report Consultants report	The preliminary assessment accurately reflects the capacity building needs
2.1.1 Procurement of 200 solid waste containers for Umm Qasr village.	USD 300,000	Financial report Impact Assessment Report	The preliminary assessment accurately reflects the required intervention
2.1.2 Procurement of solid waste skip loader for Umm Qasr village.	USD 100,000	Financial report Impact Assessment Report	The preliminary assessment accurately reflects the required intervention
3.1.1 Cleaning of storm water drainage network, repair and replacement of 15km urgently required water distribution network works and construction of 4 septic tanks, RO operation , through LoU with Umm Qasr Town Council, creating temporary and longer-term employment.	USD 70,000	Financial report Consultants report	The preliminary assessment accurately reflects the required intervention
4.1.1 Procurement of technical assistance services for the detailed situation analysis of the water and sanitation systems in Umm Qasr and formulation of the emergency requirements for alleviating the associated burdens. Safwan, Shuaiba, and Khor Zubair will be covered if time and funds allow	USD 51,000	Financial report Consultants report	Security situation does not deteriorate

2. Programme/Project Justification

2.1 Background

The post-crisis situation in Iraq is characterized by the three following factors:

- a. Income poverty and unemployment:* unemployment is at unacceptable levels, with very large segments of the population impoverished (including ex-combatants). The Iraqi population faces immediate problems of sheer survival.
- b. Infrastructure degradation:* the living environment of the population and the delivery of public services at the local level are severely affected with heavy impact on health, nutrition and education.
- c. Civil disturbance:* looting is continuing, aggravated by income poverty, infrastructure degradation and the strong resentments resulting from the pre-existing and current situation.

The population is dependent on the distribution of humanitarian supplies and this is not contributing to the restoration of a functioning economy. Such unsustainable gifts may even be preventing a swift return to a more normal recovery situation.

Outbreaks of diseases are threatening or presenting; particularly those associated with insufficient quality or quantity of water, poor environment (in particular disease from putrescible waste and the proliferation of vectors), poor sanitation practices, and poverty are increasing at alarming rates, contributing to a problem of malnutrition, morbidity and mortality of infants at the family level (for drinking, cooking, family and home hygiene) in general and more specifically under-five years old children.

The situation in Basra Governorate is even worse as shown by the recent Iraq Living Conditions Survey (ILCS). Basra Governorate has the lowest access rate to safe drinking water in Iraq (24%) and one of the highest rates of unstable sewage connection (69%) (COSIT, FAFO and UNDP. 2004. Iraq Living Conditions Survey 2004, Analytical Report, p. 20 and 27).

The population of Umm Qasr and neighboring communities has been among the poorest in Iraq for a significant period: Health and Water & Sanitation Infrastructure has been neglected for decades and significant improvements will only be achieved with the total overhaul (complete replacement and/or new construction) of the respective systems. However, as available funds for the required works are limited at this stage, a phased approach for rehabilitation is considered the most appropriate solution at the time being.

Umm Qasr, Khor Zubair, Safwa and Shauiba water and sanitation facilities cannot meet the minimum required service standards. Although Umm Qasr is fully served with a water distribution network, the population have been deprived of tapped water services for several years. The villages rely on tankered water for availing their non-potable domestic water requirements (i.e. water for cleansing purposes) and RO-treated water for availing their domestic potable water requirements. Both categories of domestic water requirements are availed through private water vendors. Moreover, it is worth noting that given the high demand on water vendors-supplied water, due to the competing demand of the Umm Qasr port, the fee rate charged by the water vendors was significantly increased, a matter that is contributing towards a detrimental socio-economic situation.

On the economic side, the village is currently reported to suffer some 45 % unemployment rate (the inhabitants are totally dependant on the functioning of the port which is currently operating at a highly reduced capacity) and the people need to travel with light trucks to the

RO water distribution points whereby they can collect their potable water requirements. This has furthermore increased the financial burdens on the population, as few can afford such expenses due to their extremely limited resources.

As mentioned earlier, water is currently supplied by water-vendors. Given the commercial standing of the Umm Qasr port water demand (Umm Qasr port sells water to berthing vessels), water vendors tend to significantly raise their charge per unit of water on a whole, a matter that imposes a great burden on the villages' population.

The majority of the villages are not served by a wastewater collection (i.e. sewerage) or treatment facility. Accordingly, the population relies in a system of individual on-site sanitation facilities (i.e. septic tanks, vaults...etc), whereby each residential unit is provided by its independent on-site sanitation facility. Due to poor maintenance, deficiency of the de-sludging services (usually provided by the municipality), many residents connected their on-site sanitation facilities to the existing storm water drainage, a matter that caused blockage of the storm water drainage system and led to overflow of sewage onto nearby streets and thus worsened the already degraded environmental conditions

The streets and roads do not have a surface drainage networks, which results in muddy surface conditions and ponding of rainwater and surface runoff. However, this problem is partially alleviated by the sandy nature and the absorptive capacity of the underlying soil matrix.

2.1.1 What is the rationale and context to the programme/project, and the approach adopted?

Rational and context to the project

It is against the background stated above that the Project is designed to contribute to the rehabilitation, re-installation and the upgrading of the facilities of Umm Qasr and addressing the same (through provision of technical assistance services) in Khor Zubair, Safwan and Shauiba. The proposal targets provision of increased quantities of potable water, reduction of the build up of wastes and, in the process, provide temporary employment.

The recent developments in Iraq have led to the disintegration of most of the local authorities usually charged with municipal works. Solid wastes collection has stopped or is drastically reduced. Added to the rubble of the war, the situation of solid wastes in the streets renders the health of Iraqis even more precarious. Most, if not all, of the solid wastes collection trucks and de-sludging (i.e. septic tank content evacuation) trucks were looted.

There are therefore 5 components to the project:

- The provision of water supply infrastructure to enable the delivery of water to the port, so that a) the port can generate revenue/recover costs from the sale, but more importantly b) that the population is no longer competing with the foreign vessels for the purchase of the existing water supply and thus alleviating the subsequent financial burdens.
- The removal of waste – especially wastewater and solid wastes and the emergency repair of the collection infrastructure.
- The capacity building for long-term sustainability of water production facilities.

- The assessment of longer term needs leading to a prioritized list of projects with preliminary Bills of Quantities and case histories such that donors are able to appreciate the problems in greater detail, and have faith in the figures requested.
- The temporary and long term creation of employment opportunities (see below).

Employment Generation

UNDP will address the present high unemployment rate by providing immediate employment and income generation opportunities during project components implementation. Furthermore, long-term employment opportunities will also be made available during the running operation phase of the project. It is worth noting that sustaining a water source for Umm Qasr port itself is considered a mean of sustaining the currently offered jobs by the port authority since availing water to the vessels will mean sustainability of business and thus of the offered jobs.

2.1.2 What experience does the organisation have in working on this issue in Iraq or countries in similar circumstances? This should reflect lessons learnt?

UNDP Iraq has wealthy and diverse experience in the Water and Sanitation sector since 1995 as related to the city of Baghdad through implementation of a number of projects mainly IRQ/94/002 (the repair of Al Karama Water treatment plant); UNDP has experience in delivering emergency assistance, basic services, restoring infrastructure and building capacity in Iraq through similar interventions in post crisis and transitional countries. It is deeply familiar with the current challenges of Iraq in this sector; it is seen as a trusted body with considerable support from the population and authorities. Prior to the war, UNDP completed the rehabilitation of Rustumiya sewage treatment plant (several stages), and in post war Iraq, UNDP has rehabilitated 50 water and sewage pumping stations in Baghdad. As mentioned before, rehabilitation of Karama water treatment plant Lines II and III in addition to the rehabilitation of Qadisiya water treatment plant projects have just been completed. Moreover, UNDP has a wealth of contacts within Iraq (consultants and specialized engineers) in the field and a considerable network of international experts, which it can mobilize quickly to support the proposal.

This relatively short-term project is part of UNDP's long-term involvement in the communities of the Lower South. During these activities UNDP has had good experience in coordinating with counterparts to adjust implementation modalities and identify consulting companies that have assisted in identifying, assessing, designing, implementing and monitoring its projects. UNDP has recently completed or is currently executing the following projects:

- a. Dredging of the approach channel from the gulf to Umm Qasr port.
- b. Repair of dredgers
- c. Removal of Scrap metal from Umm Qasr port.
- d. Rehabilitation of Umm Qasr Hospital and Construction of two emergency theatres.
- e. Rehabilitation of medium and low voltage lines in Umm Qasr
- f. Repair of RO units at the Water Works.
- g. 'Emergency Water, Sanitation and Health Support for Southern Iraq' project

The very experienced UNDP procurement office in Amman, and its demonstrated performance over the last few years is another major asset that this project builds on.

3. Project Design

3.1 Programme/Project Approach

Please address all of the following issues/questions in relation to programme/project design and definition:

3.1.1 What problem(s) does the programme/project address? What specific assessments have been made and by whom?

The following issues have been identified through coordination with the relevant authorities in Basra Governorate.

- a. The supply of water infrastructure to allow already diverted means (i.e. water vendors) back to the intended target groups (i.e. Umm Qasr populations and not the port).
- b. The removal of solid waste and cleaning of the storm water drainage network, repair and replacement of the urgently required water distribution network works and construction of septic tank.
- c. Capacity building in the operation and maintenance fields of RO units
- d. The temporary creation of employment

3.1.2 Indicate which cluster(s) and matrix outcome(s) from the Joint UN-Iraq Assistance strategy this programme/project addresses.

The UNDG clusters results that will be addressed by the project are:

- INCREASED ACCESS TO POTABLE WATER IN BY 10%
- INCREASED ACCESS TO IMPROVED SANITATION BY 5%
- INCREASED SOLID WASTE COLLECTION AND DISPOSAL BY 30%
- EFFECTIVENESS OF PUBLIC MANAGEMENT SYSTEMS IMPROVED

3.1.3 What is the expected impact of the programme/project? What could be potentially negative impact of the programme/project?

The program will be providing immediate short term and deferred long term employment opportunities to unskilled and semi skilled vulnerable and unemployed people, including women during the construction/rehabilitation/repair phase of the project as well as during the running operation phase.

As a result of this project the following impact is foreseen:

- a. Potable water availability to Umm Qasr port will be increased.
- b. The build up of sludge and the blockages in the storm water drainage network, replacement of the urgently required water distribution network works and construction of septic tank shall all be carried out.
- c. Solid wastes management facilities (solid wastes bins and truck) will be supplied, thus providing a reasonable sanitary condition for the inhabitants.
- d. Reports of diseases from solid wastes dwelling vectors will be reduced.
- e. Capacity building of local operators for RO units will be carried out.
- f. Short and long term employment opportunities will be created during and after project execution.

3.1.4 Indicate the beneficiaries of the programme/project.

3.1.4.1 Direct Beneficiaries (# and classification):

The population of Umm Qasr is around 54,000 inhabitants, two thirds of which can be classified as urban dwellers.

The program will also create a number of labouring jobs for a few months during project execution and thus inject some liquidity in to the local economy. Furthermore, the project will also create long term employment opportunities during project operation.

3.1.4.2 Indirect Beneficiaries (# and classification):

Members of the Umm Qasr community will benefit most from the program- other locations addressed include Safwan, Shuaba and Khor Zubair.

In addition, the development of the capacities and capabilities of the stakeholders and counterparts through the implementation of the program will contribute to the improved functioning of the municipal services. This is achievable in the 7 months and our plans and activities funded by other programs enable us to piggyback many of the activities onto existing programs.

3.1.5 How does the programme/project design ensure the participation of all stakeholders?

The proposal has been developed with counterparts in relevant municipalities and defined in close collaboration with municipal authorities and line technical departments. In preparation of this project, with a view of enhancing participation, UNDP obtained from stakeholders and relevant local authorities that they complete questionnaires about the water and waste situation and related needs. The Ministry of Municipality and Public Works in particular participated actively in the design of the project, reviewing the project interactively with UNDP during the period September 2005 - January 2006. This collaboration brought important improvement

3.1.6 Does the programme/project address the needs of particularly vulnerable or marginalised groups? Who are they and how are their needs addressed?

3.1.6.1 The Poor

The project will in priority benefit the poor, which are not able to afford safe water supply at the current rate.

3.1.6.2 The Sick

The reduction of health hazards will benefit those at risk of illness

3.1.6.3 The Unemployed

The town of Umm Qasr suffers some 45% unemployment rate; poverty is extreme in this area. The provision of short-term employment opportunities will inject income in the pockets

of those who need it most. Moreover, the project running phase offered long-term employment opportunities will sustain a significant number of jobs as well.

3.1.6.4 Women and Children

The increase in potable water will improve the lot of households in the affected area and thus women and children's lives will be enhanced. As noted below, water and health issues have greater impacts on the burdens of women in the household than men. There are no gender inequalities envisaged.

It is noteworthy that women are key managers in the water and sanitation sectors being the caregivers to their respective households in this respect. It is noted that the burden of fetching water, arranging for disposal of sewage and disposal of solid wastes falls under women and girl's responsibility whom have to travel significant distances for such. The water supply and sanitation facilities under the current project will result in shortening the traveled distances (without eliminating it since it might be a chance to enjoy leisure by women and girls), thus freeing part of their time. This saved time can be dedicated for other leisure activities and/or can be entirely or partially dedicated to join elderly education programmes by women and help girls avoid escaping school.

3.1.7 How does this programme/project benefit men and women? If not specifically designed to address gender issues, how will gender issues be addressed?

The effects of poor quality water and sanitation are felt in greater need by the poor and by poor women in particular.

Women are the primary actors in the water and sanitation economy- and so are most responsible for collecting and managing the household water supplies and disposing of sewage and solid wastes: they are also the household caregiver- so and sickness resulting from inadequate water and sanitation and the resulting poor hygiene practices fall disproportionately upon their shoulders.

The project has direct positive impacts on women and girls, since availing the required water and sanitation facilities would result in freeing part of their time seeking such services. This time can be dedicated for enjoying more leisure and educational activities.

3.1.8 Have environmental concerns been addressed including environmental impact/risk assessment conducted where relevant?

The provision of works equipment to more adequately cater for and handle the solid and liquid wastes problem in the area will have significant benefits to the local environment. The waste will be destined to the existing landfill site, which will be assessed as to its long-term suitability and possible future improvements. In the mean time will remove the hazards from direct contact with the people.

3.1.9 To what degree does this project generate direct and/or indirect employment opportunities?

It is one of the program aims that significant numbers of local residents are hired. Jobs will be created within the execution period of the project. Longer term employment opportunities

will be created by creating the needs and availing the skills for O&M managers for the treatment units.

3.1.10 Does this project contribute towards the attainment of the MDGs in Iraq? Which Goal in particular?

The main objective of the project is to contribute directly to progress towards universal access to safe water and sanitation (MDG6).

The various components of the project contribute to other Millennium Development Goals through efforts towards poverty and food insecurity alleviation (MDG1), reduction of malnutrition and child mortality (MDG4) and improve maternal health (MDG5) and environmental sustainability (MDG7).

3.1.11 Are there specific issues in relation to the security situation? How will they be handled?

UNDP is already heavily involved in the Umm Qasr area through its major waterways programme (dredging, wreck removal and port management), and electricity emergency programme, the implementation of which ran without incidents. It is therefore expected that project implementation will proceed smoothly. Although there is no security risk associated either with the location of the project nor with its goals, the concern of the security specialists have been taken into consideration and budgeted for. It is recognized that projects of this ilk should budget 2% of project costs for security (including personnel, materials and services costs). 0.5% is the rule of thumb generally used. The additional 1.5% reflects the higher project costs and unspecified expenses as mentioned in (ii) and (iii) below. UNDP's approach to security in Iraq hinges on the arrangements and assistance that are available to contractors from the Multi-National Force (MNF) and other security institutions. This may include convoy protection for delivery of equipment, Medevac facilities in case of emergency, etc.

Reduction of risk exposure

Given the present security situation, no international staff will be required to visit the site in Iraq: The project will be managed and executed by an International project manager and a national/local staff working from Amman. The project management team will coordinate with our local consultants on daily basis through telephones and e-correspondence.

Private contractors will be expected to make their own security arrangements to ensure the safety of their staff and the works (see also the coordination with DSS in 2.2.1.3 and (iv), below).

Expenses for security in equipment transportation/storage outside Iraq

The present security situation also affects costs of equipment transportation or storage. Therefore security and insurance surcharges must be factored into agreements with the transport contractor or equipment supplier.

DSS responsibility for equipment delivery and hand-over to client:

DSS protocols require an Iraqi Official be designated responsible liaison for security purposes. UNDP Infrastructure coordinate initial links between the designated official and Department of Safety and Security (DSS). For deliveries of goods to the project site and coverage of security related expenses, plans are in place for close coordination with respective security authorities including DSS to ensure safe delivery of procured goods.

3.1.12 How does the programme/project relate to existing ministerial structures and how will it contribute to capacity building in ministries

At the national level, the recipient institution for the water, sanitation and solid waste interventions is the Ministry of Municipalities and Public Works. The Water Authority responsible for the Umm Qasr, Basra Governorate, assists the Ministry in technical matters. Work will be undertaken in close cooperation with these institutions.

The provision of good quality potable water, wastewater removal and solid wastes management and monitoring of such are key mandates of these.

Local implementation at the town level falls under the relevant Town Councils/Municipalities. The beneficiary institutions at the municipal level are the Municipal Government and (for the water issues) in particular the ‘public utilities department’ under the umbrella of the Water Authority. In practice, the principal recipient institution with which the Project manager and Consultant/Contractor will have to work most closely is the ‘public utility department’ of the relevant municipalities.

The capacity building dimension will be addressed through delivery of a specialized RO units operation and maintenance training programme for local staff. Furthermore, and as part of the consultancy assignment, adequate training for operation of skip loaders shall also be delivered. The consultancy will also pair with local authorities to deliver a precious picture of the area’s Water and Sanitation longer-term needs, thus enhancing the capacity of local authorities to plan.

Management Arrangements

Give a brief description of programme/project implementation and monitoring arrangements to ensure the cost-effective and efficient attainment of the outputs identified in the logical framework, including:

3.2 Programme/project implementation and supervision arrangements; indicate in-country and region based capacity of organisation; indicate names, and expertise of any implementing partners

3.2.1 Programme/project implementation and supervision arrangements;

Following the approval of the proposal, a detailed work plan will be prepared for works on rehabilitation of existing water and sanitation facilities in targeted localities, including provision of supplies. These documents shall be sufficient to permit UNDP to evaluate bids and select a Contractor and finally to sign a contract for the works, and for the Contractor to carry out the works/supplies. Delivery mechanisms are in coordination with the consultants and counterparts through local contractors. All procurement notices are posted on the UNDP and the UNDG ITF website.

3.2.2 Procurement Processes

To achieve effective delivery of the various component of the project, UNDP will:

- Picking back on previous orders for those items and supplies previously procured through UNDP, IAPSO and/or other organisations within the UN family.
- Advertise for Request for Quotations, Request for Proposals, Invitation to Bid as necessary in accordance with financial rules and regulations.

Where feasible, materials and equipment will be procured locally.

3.2.3 Monitoring

A significant element of the project will be the assessment of both needs and the impact of the program: to this end, a substantial baseline will be made, and project will be monitored in accordance with standard procedures (external monitoring during the implementation phase, periodic monitoring and final assessment)- both for probity in implementation and periodic delivery progress assessment of specified project results against their targets, and the achievements of the project objectives. Implementation Consultants submit weekly and monthly progress reports including financial reports.

It should be noted that part of consultancy assignment (i.e. some 30%), addressed herein as surveys, is entirely dedicated for project monitoring by a separately entirely dedicated consultant different from the consultant delivering design and supervision services.

The financial monitoring and disbursement is conducted through UNDP offices in Amman. All retention monies are finally released to the contractors after receiving proper certification from the consultants and the counterparts and upon issuance of the Final Acceptance.

Finally, UNDP uses the Atlas system, which is an up-to-date tool to record, monitor, and report project execution and all financial transactions. This tool is Web based and thus is accessible to all UNDP country offices worldwide and lessons learned can be easily derived from similar interventions of other country offices.

3.2.4 Indicate in-country and region based capacity of organisation;

UNDP capacity is based on the presence of consultants on the ground carrying out activities on its behalf.

Four (4) consulting firms specialized in civil, water and sanitation, electricity network and generation, and RO rehabilitation are currently contracted by UNDP. Furthermore, UNDP is conducting regular visits to Southern Iraq and coordinating with the Multi-National Forces (MNF) to provide needed survey maps, particular needs assessments in respect of water and sanitation.

On the regional level, UNDP currently has three regional offices in Amman, Nicosia and Kuwait coordinating efforts to deliver infrastructure projects inside Iraq.

UNDP is currently considering opening an office in Baghdad to further facilitate implementation and monitoring of its various sector projects in Iraq.

3.2.5 Indicate names, and expertise of any implementing partners

UNDP's implementing partner is the Umm Qasr town council under the Basrah Governorate. The entire project is under the jurisdiction of the Ministry of Public Works and Municipalities

3.3 Specify delivery mechanism(s) chosen, reflecting security conditions and in particular detailing proposed use of international staff in Iraq both from private contractors and NGOs

There will be no need to field international staff to Iraq, given the present security situation: The project will be managed and executed by an International project manager and a National staff project assistant working from Amman. The project manager will coordinate with local consultants on a daily basis through telephones and e-correspondence. Local consultants submit weekly and monthly progress reports including financial reports.

Delivery mechanisms are coordinated with the consultants and counterparts through local contractors. Private contractors are expected to make their own security arrangements to ensure the safety of staff and equipment.

3.4 Indicate line ministry counterparts and their management role in the implementation of the programme/project

The proposal is in line with priorities outlined in the Ministry of Planning and International cooperation's "Iraq's National Development Strategy" and also with the 727-item list of unfunded projects at the Doha donor conference.

UNDP is in close and continuous consultation with relevant municipalities to ensure that the international allocations are prioritised according to the sector's needs – and that the assistance to the Water and Sanitation (WATSAN) Sector is appropriate to these needs- Finally, UNDP-Iraq is concerned that these allocations are effectively utilized and integrated into the Municipalities Fiscal budget.

All technical materials (scopes of work, drawings, Bills of Quantities...etc.) will be reviewed and approved by the counterparts in collaboration with UNDP. In addition, certificates of completion will be issued only upon agreement of the counterparts via official written letters of acceptance.

UNDP is in close and continuous consultation with Basra Governorate to ensure that the international assistance for the Water and Sanitation (WATSAN) Sector is actively fostered, and allocations are prioritised according to the sector's needs. These allocations are effectively utilized and integrated into the Municipalities Fiscal budget.

This equipment donated through the UNDP project, such as RO units, may be used to generate revenue for the communities – which can then be used to cover their maintenance and running costs.

3.5 Indicate inter-agency and cluster cooperation if applicable and the role of the other agencies involved.

The proposal capitalizes on inter and intra cluster coordination, which has led to improvements in the project design during discussion at the Cluster and Steering committee meetings.

3.6 Indicate the overall timeframe for the programme/project and work plan (please provide project work plan as annex)

Please see attached work plan attached which schedules of completion.

3.7 In order to indicate the appropriateness and value for money of the proposed activities and modalities of implementation, provide evidence of: the reliability of the costing of programme/project inputs and comparability with other UN organisations; arrangements for procuring and transporting programme/project inputs; and local appropriateness and acceptability of the inputs.

All cost estimates have taken the local market costing into consideration by UNDP consultants who are presently operating in the field. UNDP has a monthly construction material costing survey, which it uses to verify cost estimates. UNDP has been undertaking similar interventions since June 2003 through the UNDP procurement section in Amman and is fully aware of the prices and costs of these materials and equipment on the international markets. UNDP's freight forwarders with which we have a corporate agreement also undertake transportation of goods and equipment into the country.

3.8 Systems for programme/project monitoring (including financial tracking and accounting audit), quality control, and impact assessment; methods for data collection and monitoring

The project will be monitored in accordance with standard procedures (external monitoring during the implementation phase, periodic monitoring and final assessment). Project monitoring and evaluation will be based upon periodic assessment of the progress of the delivery of specified project results against their targets, and the achievements of the project objectives. A local consultancy will be contracted to oversee implementation of the works on site.

The monitoring consultants will be hired through a bidding process and will undertake the works through their personnel present in the field. The counterparts will also be required to cross check and report back on the progress and quality of the works and will also monitor the project to ensure adherence to specifications and project requirements. Financial tracking will be achieved through backstopping operations of the Infrastructure team in Amman and a financial audit will be undertaken according to UNDP rules and regulations. The consultants will also conduct the impact assessment.

All procurement notices are posted on the UNDP and the UNDG Iraq Trust Fund websites.

Finally, UNDP uses the Atlas system, which is an up-to-date tool to record, monitor, and report project execution and all financial transactions. This tool is Web based and thus is accessible to all UNDP country offices worldwide through which lessons learned can be easily derived from similar interventions of other country offices.

4. Analysis of risks and assumptions

Key assumptions with regard to external factors that are outside programme/project control but nevertheless necessary to the achievement of programme/project outputs and purpose should be stated in the log frame.

4.1 Aside from those issues indicated in 2.2.13, assess other main potential causes of failure, their likelihood of occurrence, and their consequences

The major risk in the context of Iraq is the deterioration of the security in the area or its close vicinity to a degree that implementation could not be continued. Political instability is also a factor that could disturb implementation, with new government structure with objectives different from previous governments. This likely event is unlikely to have serious consequences at the local level but will be monitored closely.

Indicate the options considered and the steps taken in programme/project design and implementation to address, and minimise or mitigate the potential risks indicated in 4.1 and 2.2.13

Security considerations have been taken into account when selecting the relevant area for the project location. UNDP is already very much involved in the Umm Qasr area through its major waterways programme (dredging, wreck removal and port management), and electricity emergency programme, the implementation of which ran without incidents. It is therefore expected that project implementation will proceed smoothly.

There will be no need to field international staff to Iraq, given the present security situation. Wherever possible, telecommunications will be used, and personnel will come out- rather than personnel go in to Iraq.

The project management will keep DSS, formerly known as UNSECOORD, informed during all stages of the project implementation and progress. In addition DSS advice will be sought before certain critical events such as missions, deliveries, etc. take place. The counterparts will also be requested to coordinate with security institutions on ground to ensure a secure and reliable environment for project implementation.

Additionally, DSS requires the designation of an Iraqi Official responsible for security for liaison purposes. UNDP Infrastructure will request the coordinates such designated official and provide the contact details to DSS.

When the security situation has deteriorated to the extent where it is not safe to deliver the inputs, delivery of equipment will be delayed or redirected to other sites until such time that the situation permits.

4.1.1 Security Budget for Project (2%) –

It is recognized that projects of this ilk should budget 2% of project costs for security (including personnel, materials and services costs). This sum is not meant to cover any direct project related costs but is a higher percentage than the 0.5% rule of thumb generally used. The additional 1.5% budgeted in the project is to cover security and insurance costs and is to be part of agreements with the transport contractor or equipment supplier

4.2 Indicate any undertakings or agreements made with partners which impact on

programme/project implementation. Indicate how observance of undertakings will be monitored and the implications of non-compliance.

Not Applicable.

5. Annexures

Project Budget

Project work plan