United Nations Development Programme
Country: Republic of Iraq
Project Document

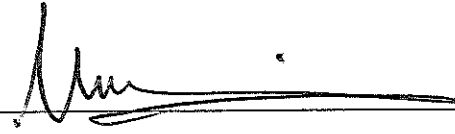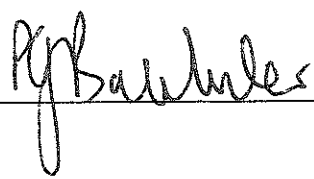|	
Project Title	Capacity Building for Human Development Reporting and Advocacy in Iraq (Iraq NHDR III)
UNDAF Outcomes:	UNDAF priority area #2: Inclusive, more equitable and sustainable economic growth; #5: investment in human capital and empowerment of women, youth and children
Expected CP Outcome:	#5: Enabling policy and frameworks for rapid economic recovery, inclusive and diversified growth and private sector development
Expected Outputs:	1. National Human Development Report 2012, 2. Policy papers to support National Youth Strategy, 3. Youth Development communications strategy, 4. HD/Youth networks
Executing Entity:	UNDP Iraq
Implementing Agencies:	UNDP Iraq

Brief Description

This project aims to support the preparation of the third Iraqi National Human Development Report (NHDR) and comes as a result of the communications between UNDP Iraq and the Ministry of Planning (MoP) in August 2010. The main output of the project (the NDHR) will support development policy formulation and development planning with specific focus on Youth issues.

This will be achieved through building national institutional and individual capacities to prepare the report. This will include government institutions, NGOs, and individuals from the academia, among others contributing to the report. The project will support the National Youth Strategy through policy papers, and will include advocacy activities. Networks of experts and actors in Youth and Human Development areas will be established and institutionalized.

Programme Period:	2011-2012
Key Result Area (Strategic Plan)	CPAP-Outcome 5
Atlas Award ID:	_____
Start date:	August 2011
End Date	December 2012
PAC Meeting Date	_____
Management Arrangements	DIM

TRAC resources required:	USD 459,000
TRAC allocated resources:	USD 459,000
Funding to be mobilized for	
• Output 2 (Donor)	USD 85,000
• Output 3 (Donor)	USD 200,000
• Output 4 (Donor)	USD 256,000
In-kind Contributions (Govt)	USD100,000

Agreed by (Government) _____

Agreed by (UNDP): _____

I.   SITUATION ANALYSIS

Development Planning and Policy Making

Iraq's effort to improve development policy started with the preparation of the first National Development Strategy (NDS) which was launched in 2007. The NDS represents a big improvement over the prior attempts to set policy and plan for reconstruction and the eventual development process in the country following the change of administration in 2003. These early attempts mostly represented line ministries' requirements which were prepared as a shopping list of their priority projects.

This is not to say that Iraq did not have a tradition in development planning. The type of planning that was exercised in the country focused on investment planning and macroeconomic development. Even so, a high standard of social development was realized as a result of the programmes in Education and Health. These were funded by abundant oil revenues which also led to the construction of the most advanced infrastructure in the region in the seventies and eighties of the last century. None of this however was a result of integrated planning for social development.

During the sanctions period, the first Iraqi National Human Development report was prepared and launched in 1995 by the Iraqi Economists Association in partnership with UNDP. This report aimed to expose the suffering of the Iraqi population under the international sanctions regime which was imposed on the country in the year 1990. A second attempt to produce an NHDR took place in the years 2000-2003, but did not see the light due to the escalating tension between the Iraqi Government and the International community around that period.

The need to reform development policy in Iraq to match the requirements of the evolving situation led to the preparation of the second successful Iraq HDR in 2008. This report benefited from the huge accumulation of data that followed the invasion of Iraq in 2003 and the entry of the international community as a development partner. Studies and surveys that were prepared to support policy making in Iraq were synthesized into the report's analysis. The report was welcomed by the GoI, and was personally endorsed by the Prime Minister.

The 2008 NHDR exercise also resulted in the agreement to prepare an NHDR on a 2-year cycle. Discussions between UNDP and the MoP identified Youth as a priority development area and both parties agreed that the theme of this cycle's report would be "Youth".

The Youth Situation

The situation in Iraq in the last years has been characterized by dynamic changes, with positive efforts towards reconciliation and economic recovery. However, significant challenges remain within development and social integration that cause deep uncertainty about the future of the country. As in many post-conflict contexts, one of the largest obstacles for recovery in Iraq is the lack of perspective regarding opportunities that the country can offer to its people. This is particularly true for the youth of Iraq who have been severely affected. Many have lost hope in the future and are frustrated by their limited potential to contribute to social and economic progress.

At this turning point in the history of Iraq, when the forces of integration and inclusion are still being shaped, many youth feel disoriented. Yet youth represent the largest segment of the Iraqi population. Iraq is one of the most youthful countries in the world with nearly half of its population under 19 years of age; hence youth is the country's largest human capital resource.

National statistics show that Iraq is progressing towards what is called the "Demographic Gift": The favourable state when the ratio of children and the aged to the working population diminishes. To maximize benefits and to address key issues facing youth, Iraqi policy makers are focusing on the preparation of effective strategies to integrate youth issues into the national development agenda.

National efforts under the Youth agenda include the preparation of the National Youth Strategy (NYS), and in partnership with UNFPA a National Youth Survey was conducted. In addition to the dedicated Youth Ministries in Baghdad and Kurdistan, a Youth Parliament was set up to mobilize youth and engage them in the political process in the country.

The Youth and Adolescent Survey conducted in 2009 has shown critical figures regarding the knowledge attitudes and behaviours of youth aged 10-30 in Iraq. The survey shows that 30% of youth do not talk to persons of different opinions and 50% do not have friends of different religion or sect. These figures show alarming social divisions in a country that has been known for the peaceful coexistence of its many ethnic and confessional constituencies.

The survey also shows a very serious situation in youth education. Attendance rates steeply decline after primary school, and girl's attendance is falls by five to ten percent lower. More than 300,000 Iraqi youth aged 10-18 have never attended school. Of the Iraqi youth, 65% do not know how to use a computer, and 70% of them state that they have no interest in cultural and art activities.

Employment in Iraq is a big challenge for the youth. At the time of the youth survey, only half of the young males aged 19-24 worked in the previous week. Slightly less than half of those working were not satisfied with their work, citing low wages and inadequate type of work.

The figures above are particularly worse for girls and women. The rate of illiteracy among girls and women is twice as high as that of boys and men. Twenty four percent of all women of 10 years and above are illiterate in Iraq. In some areas it reaches an alarming 44%.

Even worse are women employment figures, which show that 82% of women are outside the labour force. In adding to the above the rising levels of physical and emotional violence against women, the situation of young women in the country is very serious and calls for special attention by all development agents.

The HDR 2008, and other reports, has highlighted the differences in development levels among Iraqi regions and governorates. The Kurdistan region enjoys better living standards as a result of the relative stability in the political system and better security situation. Remaining governorates showed serious regression in most of the development indicators, especially education. Disparities also exist sharply between urban and rural populations. Female youth in the rural areas seem to suffer the most.

II. STRATEGY

The proposed strategy mainly builds on the UNDP Corporate Policy on NHDRs which ensures that the minimum standards specified are met. This includes the following:

1. **National Ownership**: The report's substantive content will be nationally driven and will link to the National Development Plan and the National Youth Strategy. It is to be mainly prepared by national expertise and capacities. The report will contain a description of its preparation process.

2. **Participatory and Inclusive Preparation**: The team of experts will be multidisciplinary representing diverse groups and institutions. Participatory mechanisms such as workshops, interviews, and other means will to be conducted at various stages.

3. **Independence of Analysis**: The report will contain objective and reliable analysis as well as accurate and unbiased data and avoid support for the policies or politics of any one group or institution. The Chapter Authors will take full responsibility of the report's points of view and will exercise full editorial independence in authoring. The report will present a

spectrum of perspectives. The report will be reviewed by a peer group which includes experts assigned by UNDP to assure that the analysis is independent and unbiased. UNDP will not approve the report with this peer review assurance.

4. **Quality of Analysis**: The report will adopt a people-centred analytical approach, and will consider the economic dimension of human development in both analysis and recommendations. Experiences of other countries will be considered and used. The report will contain standard references and notes such as definitions, technical notes, bibliography, and others. Specific attention will be made mainstream gender in the analysis and highlight gender disparities and present all data disaggregated by sex. Other inequalities will also be highlighted such as urban/rural and across other socioeconomic divides.

5. **Flexibility and Creativity in Presentation**: The report will summarize the major policy recommendations in one place. The language will be non-technical and easy to understand (see C. Analysis Guidelines, below). The NHDR year on the cover will reflect the year in which the report is launched. The report will include real examples and highlight people's perspectives. The report will include a variety of presentation techniques including tables, graphs, figures, charts, and others.

In order to meet the standards above the project will focus on achieving the following:

Capacity Building

The main objective of this project is to build a national capacity that would be able to produce a National Human Development Report on a periodic basis, ideally every two years. The production of the report depends on the concerted action of a network of entities, and hence capacity building will address these entities to effectively contribute to the preparation process.

The Central Statistics Offices in Baghdad and the KRG (CSO/KRSO) have been identified to have the capacity to provide the statistics and data needed for the production of the reports. The project will build on this capacity and augment it with expertise needed to synthesize the HD indexes for the report. This will be achieved by direct interface between the CSO/KRSO and the UNDP HDRO. The HDRO will be requested to assess the quality of data available and advise CSO/KRSO on the current and approved methodologies to calculate the HD indices, including the newly developed Multidimensional Poverty Index.

To improve the quality of chapter analysis and narrative, a local workshop will be arranged for the experts who will write the chapters to develop their skills in multidisciplinary analysis with focus on Youth. Prior to the workshop the Lead Author will participate in similar training, and then extend the acquired skills to the author team.

Support staff in the Ministry of Planning will manage the draft versions, and will ensure the coordination with all parties including the printing services. Experience has shown that the coordination with the printers requires specific knowledge in the industry standard layout tools and software packages. The two layout focal persons in the Supporting Team will participate in printing layout training course in Amman.

UNDP will make the preparations for all the above training and will ensure that the training and the capacity building results will be sustainable. This could be achieved by selecting the national staff engaged on long-term basis with the Ministry of Planning, established NGOs, and the academia.

Beyond individual capacities, UNDP will also assess the institutional capacities in the Human Development Department in the Ministry of Planning, which is the focal entity for following up on the production of the NHDR. With the help of an International Expert, UNDP will review the administrative structure of the HD Dept., its annual work plans, financing, technical expertise, and provide recommendations and support. The support that will be provided will be beyond basic infrastructure capacities. UNDP will focus on providing support to build expertise that is specific to HD reporting, which includes literature, networking, strategic planning, monitoring, and evaluation.

Capacity building will also focus on the NGOs that will facilitate the participation of youth in the project. The NHDR's success depends to a large extent on a wide consultation process and it is imperative that youth participate throughout. NGOs are the best mechanism to engage the youth during the consultative phases, and extend the report's messages in the final stages of the project. To maximize the benefit of using NGOs, training is needed to ensure their effective contribution. Training will cover development, youth, gender, and human rights topics, in addition to outreach and advocacy.

HD and Youth Networks
The project will depend on a number of networks and will establish linkages amongst them to achieve the desired results. It will build on the knowledge network that was employed in the preparation of the last report, such as the network of national HD experts and academia, the UNDP Regional Support Centre, and the HDRO. The project will also mobilize the UNCT, and in particular the IAU to complement its knowledge network.

The project will also structure a network of NGOs to mobilize youth participation and also contribute to HD and Youth advocacy. This will ensure effective participation of the youth throughout the project, and the promotion of the NHDR messages beyond the Governmental structures and contributes to the sustainability and operationalization of the report's recommendations and messages.

The project will use the Youth networks that will be established to ensure that youth points of view and contributions are reflected in the final report. This will be done through the focused group discussions, interviews, and report review workshops that are planned throughout the preparation process.

Advocacy Strategy
A strategy will be designed and implemented to keep the messages of the report alive beyond the launch day of the report. This activity will begin early in the preparation process and will include the identification of the focal points, systems, and networks that will ensure the dissemination of the report's central messages and the sustainability of the response actions.

Central to the communications strategy is the capacity building programme outlined above. To support capacity building a special toolkit will be developed in Arabic for the use of all the agencies that will participate in the promotion of the report. This will include a core set of selected NGOs, local media agencies, and the government agencies participating in the project.

The advocacy activities will aim to reach out to potential constituencies which include: political leaders, ministry officials, parties and opposition, parliamentarians, educators and students, youth, civil society, private sector leaders and trade unions, media, personalities in art and entertainment, and the public in general

Gender Mainstreaming
As the NHDR aims to influence development planning and policy making in Iraq at the highest level, this project will equally have impact on men and women. Gender will be mainstreamed in both the product and the process of the project.

The NHDR will build on the experience of the previous report and maintain a dedicated chapter to highlight gender disparities. The consultative and outreach processes will aim to reach out to men and women on an

5

equal basis, so that the perceptions of both are equally reflected in the data and the analysis of the report. This will be explicitly stated in the report specifications and the results indicators.

Gender has been mainstreamed in all output indicators, monitoring and evaluation framework, and risk log. Moreover, an allocation of USD 20,000 has been made for a national Gender Mainstreaming workshop.

Human Rights Based Approach

In assessing the human development situation in the country and prescribing policies to achieve the MDGs, the project will be instrumental in supporting Human Right in Iraq. Central to the reports analysis will be the identification of poverty levels, deprivations, and vulnerable groups.

The report will also identify stakeholder duties, obligations, and capacities, in terms of ability to meet obligations, access to information, ability to organize, and advocate policy change.

The report preparation process will incorporate the principles of universality, interdependence, equality, participation, and accountability. The process will arrange for both duty bearers and claim holders to participate in the project. The project will aim to highlight inequalities across population groups and geographical location, including the urban and rural areas and the across the regions and the governorates in Iraq.

Statistics and Data

Statistics are the main input to the reports analysis and the calculation of the HD indicators. Over the years a number of internationally approved surveys and studies have been conducted in Iraq and has generated a wealth of information and data that could be used to support the report's analysis. This includes the recently launched Youth and Adolescent survey conducted by the CSO/KRSO in partnership with UNFPA. The Iraq Knowledge Network study conducted under the quality assurance of the IAU will also be source of recent information and data. Other sources of data and information produced by the CSO/KRSO in partnership with the UN and the World Bank will be used.

The UNDP HDRO office has recently approved a number of Iraqi statistical sources and has consequently decided to include Iraq for the first time in the main ranking of the HDI in the Global HDR in 2011.

Training for the Central Statistics Office will be arranged to compute the main indicators for the report which include the HDI (new methodology), the MPI, among the other standard indicators. Arrangements with the IAU are already taking place to conduct this training in 4th quarter 2011. Consultation with the UNDP HDRO will be maintained throughout the report preparation process to ensure compliance with the corporate standards for the statistical and analytical sections of the report.

In the preparation of this project document the definition of youth has been taken to be age groups in the range of 10-30 as adopted by the Youth and Adolescent Survey. This is only to obtain alignment with this survey, which will be the main source of data and statistics for the report. However, the report analysis may adapt a different definition of the Youth age group depending on the consultations and expert recommendations along the report preparation process.

III. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework:

Outcome 5 Enabling policy and frameworks for rapid economic recovery, inclusive and diversified growth and private sector development

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

% increase in employment in private sector disaggregated by sex and age (2008: 22%, 2014: 35%), % of female professional technical workers (2008: 62%, 2014: 72%)

Applicable Key Result Area (from 2008-11 Strategic Plan):

Partnership Strategy: Build on partnership established with MoP and CSO/KRSO. Engage UNCT in preparation and review of the report. Establish new partnerships with active national NGOs and the local media. Actively seek funding from international, regional, and national donors.

Project title and ID (ATLAS Award ID):

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 1 **Iraq NHDR III: Youth** **Baseline:** Previous Iraq NHDRs: 1995, 2008, national capacities review (see Annex 1) **Indicators:** Number of background papers, report launched by end 2012, report confirming with Minimum Standards, gender mainstreamed in report analysis, data disaggregated by sex, gender equality in consultation, gender equality in implementation, gender mainstreaming included in training, number of capacity building activities	**Targets (2011)** - Strategic Planning Meeting - Report Theme set **Targets (2012)** Responsible Partner Agreement - Lead Author Contracted - Authors contracted - Report English editor contracted - Statistical section completed - Training completed - Background papers completed - Report completed in Arabic and English and launched	**Activity Result** ▪ Evaluation and agreement with Responsible Partner ▪ Contracting Lead Author, chapter authors, and English editor ▪ Coordinate with CSO/KRSO to prepare report tables and compute the main indicators ▪ Capacity Building: Training HD Unit in MoP, Lead Author, Authors (see Annex 1 ▪ Prepare background papers ▪ Complete report analysis ▪ Capacity Building: Report Chapter review, Peer review ▪ Translation, Printing, and launch	UNDP / Responsible Partner	Funds: (2011) USD 100,000 (2012) USD 359,000

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 2 **Technical and Policy Papers to Support National Youth Strategy** Baseline: Draft NYS in Baghdad and the KRG Indicators: Number of papers produced and used in the development and formulation of the NYS, number of men vs women in author team, gender mainstreaming in analysis, data disaggregated by sex, number of capacity building activities	Targets (year 1) - 3 Policy Papers Targets (year 2) - 8 Policy Papers: Social participation, Political participation, Gender equality and Women Empowerment, Compliance with International Agreements and Conventions, Human Rights, Reproductive Health, Youth with special needs, Youth and MDGs in Iraq, Youth and security	Strategic Planning Meeting: review of policy papers submitted Activity Result ■ Contracting authors ■ Capacity Building: BG paper Review workshop ■ Contracting authors ■ Capacity Building: BG Review workshop	UNDP Responsible Partner UNDP	(2011) 0 (2012) USD 85,000
Output 3 **Communications Strategy** Baseline: Youth Conference, Youth Year publicity Indicators: Availability of Advocacy and Outreach plan. Number of NGOs trained in NHDR communications, NHDR launched, number of media items, gender mainstreamed in advocacy strategy, number of capacity building activities	Targets (2012) - Advocacy and outreach plan - 10 NGOs trained in HDR advocacy - Media Kit - Report launch - National NHDR workshop - 18 governorate workshops - 10 Media articles - 5 TV/Radio spots	Activity Result - Contracting Communications consultant - Preparation of NHDR Advocacy and Outreach plan - Capacity Building: NGO Training Communications workshop - Launch of NHDR in Iraq - Capacity Building: Advocacy workshops - Media communications	UNDP UNDP UNDP UNDP UNDP	(2012) USD 200,000

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 4 **HDR / Youth Networks** Baseline: 2008 NDHR network Indicators: MoP HD Dept using network database, number of national HD experts in database, number of NGOs in database, number of men vs. women participating in networks, number of capacity building activities	Targets (2012) - Database system operational in MoP - 10 NGOs trained in HDR, and Youth issues advocacy - 1 Gender mainstreaming workshop - 10 youth workshop. Focused group discussions, interviews - 10 youth workshops. Focused group discussions, interviews - HDR/Youth content for website and database	Activity Result - Contracting website/database expert Capacity Building: 1. NGO training 2. Consultative workshops, meetings, interviews - Operation of HD/Youth Database - Launch of project web site Capacity Building: - Consultative workshops, meetings, interviews	 UNDP UNDP UNDP UNDP UNDP UNDP	(2012) USD 256,000

IV. ANNUAL WORK PLAN

Output 1: Iraq NHDR III		Planned Activities	Q1	Q2	Q3	Q4	Responsible Party	Funding	Account	Amount (USD)
Baseline: Previous Iraq NHDRs: 1995, 2008, capacity assessment (see Annex 2)	2011	Strategic Planning Meeting				X	UNDP	TRAC	71600	40,000
	2012	Training: author team	X				UNDP	TRAC	71600	10,000
		Training: CSO (computation of indicators)	X				UNDP	TRAC	71600	30,000
		Training: HD Unit in MoP	X				UNDP	TRAC	71600	5,000
Indicators: Number of background papers, report launched by end 2012, report confirming with Minimum Standards, gender mainstreamed in report analysis, data disaggregated by sex, gender equality in consultation, gender equality in implementation, gender mainstreaming included in training, number of capacity building activities		Equipment (hardware, software)	X				UNDP	TRAC	72800	5,000
		Process Planning Workshop	X				RP	TRAC	71600	10,000
		Int. Consultant (NHDR)	X				UNDP	TRAC	71205	50,000
		Int. Consultant (Gender)	X				UNDP	TRAC	71205	12,000
		Int. Consultant (Statistics)	X				UNDP	TRAC	71205	12,000
		Gender Training Workshop	X				UNDP	TRAC	71600	10,000
		Project Management Support	X	X	X	X	RP	TRAC	72165	30,000
		Background Papers / Chapter writing	X	X	X		RP	TRAC	72165	100,000
		First Draft Review Workshop			X		RP	TRAC	71600	15,000
		Second Draft Review Workshop			X		RP	TRAC	71600	15,000
		Peer Review				X	UNDP	TRAC	74500	25,000
		Translation				X	UNDP	TRAC	74220	30,000
		Printing				X	UNDP	TRAC	74210	30,000
		Launch				X	UNDP	TRAC	71600	10,000
		Audit				X	UNDP	TRAC	74110	20,000
									Output Total	**459,000**

Output 2: Technical and Policy Papers		Activity	Q1	Q2	Q3	Q4	Responsible Party	Funding	Account	Amount (USD)
Baseline: Draft NYS in Baghdad and the KRG	2011	Review Workshop: 3 policy papers, Youth and Health, Education, Youth Employment				X	RP	Donor		10,000
									Total	10,000
Indicators: Number of papers produced and used in the development and formulation of the NYS, number of men vs women in author team, gender mainstreaming in analysis, data disaggregated by sex	2012	Review Workshop: 10 policy paper: Social Participation, Political Participation, Gender Equality and Women Empowerment, Compliance with International Agreements and Conventions, Youth and Human Rights, Youth with Special Needs, Displaced Youth, Youth in DIBs, Youth and MDGs, Youth and Security	X				RP	Donor		75,000
									Total	75,000
									Output Total	85,000

Output 3: Communications Strategy	Activity	Q1	Q2	Q3	Q4	Responsible Party	Funding Account	Amount (USD)
Baseline: Youth Conference, Youth Year publicity	2012							
	Int. Consultant (Communications)	X				UNDP	Donor	20,000
	NGO Advocacy	X				RP	Donor	20,000
	Training 10 NGOs	X				UNDP	Donor	30,000
Indicators:	NGO Advocacy	X	X			RP	Donor	50,000
Availability of Advocacy and Outreach plan.	Media Kit		X	X		UNDP	Donor	25,000
	Launch Promotion			X	X	UNDP	Donor	12,000
Number of NGOs trained in NHDR communications, NHDR launched, number of media items, gender mainstreamed in advocacy strategy	Post Launch Workshops					RP	Donor	43,000
							Output Total	**200,000**

Output 4: HDR and Youth Networks	Activity	Q1	Q2	Q3	Q4	Responsible Party	Funding Account	Amount (USD)
Baseline: Youth Conference, Youth Year publicity	2012							
	Youth Consultations (interviews, focused group discussions, and workshops)	X	X	X	X	RP	Donor	50,000
Indicators:	National IT Consultant	X				UNDP	Donor	10,000
MoP HD Dept using network database, number of national HD experts in database, number of NGOs in database, number of men vs. women participating in networks	Gender Mainstreaming Workshop	X				UNDP	Donor	50,000
	HDR/Youth Database and Website	X				UNDP	Donor	50,000
	NGO Consultations	X	X			RP	Donor	51,000
	Consultations Review Workshop		X			RP	Donor	45,000
							Output Total	**256,000**

V. MANAGEMENT ARRANGEMENTS

DIM Implementation

The project will be implemented under the Direct Implementation Modality arrangement. UNDP will maintain the overall management of the project, both operationally and financially. UNDP will be accountable for substantive and financial reporting on all project activities. Within this, it will arrange an agreement with Responsible Partner to directly recruit the national expertise needed, and request the CSO/KRSO for the provision of data, and will use limited Govt/NGO Implementation the Letter of Agreement arrangement. Under this arrangement, UNDP will advance funds to the Responsible Partner which will eventually provide Financial Reporting on activity expenditures to UNDP. The Direct Implementation Modality will be managed through the arrangement described in the following.

The Project Board

Based on the annual work plan (AWP) detailed in section IV above, the Project Board may review and approve the quarterly plans and authorizes any major deviation from these agreed quarterly plans. It ensures that the resources required in the budgets (section IV above) are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities. The Project Board will comprise the following entities:

Executive: who is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier (detailed below). The Executive's role is to ensure that the project is focused to achieve the preparation of the NHDR as detailed in this Project Document.

Specific Responsibilities (as part of the above responsibilities for the Project Board):

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below.

Senior Supplier: represents the interests of the UNDP NHDR Team that will provide technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical requirements to implement the project. The Senior Supplier role will have the authority to commit or acquire supplier resources required.

Specific Responsibilities (as part of the above responsibilities for the Project Board):

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:
- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

Senior Beneficiary: the national entities representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the production of the report in line with the national priorities and the implementation of the project results from the perspective of the targeted beneficiaries which will include Government planners and policy makers at the national and regional levels, NGOs, media, academics, and the Iraqi population at large.

Project Manager: will have the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in this project document as specified in section IV, to the required standard of quality and within the specified constraints of time and cost. Specific responsibilities would include the following:

Overall project management:
- Manage the realization of project outputs through activities;
- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board or its appointed Project Assurance roles to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Liaise with suppliers;

Running a project
- Plan the activities of the project and monitor progress against the initial quality criteria.
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications;
- Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures);
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports;
- Manage and monitor the project risks as initially identified in the Project Brief appraised by the LPAC, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log.
- Prepare the Project Quarterly Progress Report (progress against planned activities, update on Risks and Issues, expenditures) and submit the report to the Project Board and Project Assurance;
- Prepare the Annual review Report, and submit the report to the Project Board and the Outcome Board;
- Based on the review, prepare the AWP for the following year, as well as Quarterly Plans if required.

Closing a Project

- Prepare Final Project Review Reports to be submitted to the Project Board and the Outcome Board;
- Identify follow-on actions and submit them for consideration to the Project Board;
- Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;
- Prepare final CDR/FACE for signature by UNDP and the Implementing Partner.

Project Assurance: supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance will be independent of the Project Manager. UNDP will nominate a team to perform this role comprising members from UNDP Iraq Office, the RCC, and the HDRO. This team will provide the Project Board with the assurance throughout the project as part of ensuring that it remains relevant, follows the approved plans and continues to meet the planned targets with quality through the following:

- Maintenance of thorough liaison throughout the project between the members of the Project Board.
- Beneficiary needs and expectations are being met or managed
- Risks are being controlled
- Adherence to the Project Justification
- Projects fit with the overall Country Programme
- The right people are being involved
- An acceptable solution is being developed
- The project remains viable
- The scope of the project is not "creeping upwards" unnoticed
- Internal and external communications are working
- Applicable UNDP rules and regulations are being observed
- Any legislative constraints are being observed
- Adherence to RMG monitoring and reporting requirements and standards
- Quality management procedures are properly followed
- Project Board's decisions are followed and revisions are managed in line with the required procedures

Project Support: provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. The provision of any Project Support on a formal basis is optional. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance. Specific tasks of the Project Support will include:

Provision of administrative services:

- Set up and maintain project files
- Collect project related information data
- Update plans
- Administer the quality review process
- Administer Project Board meetings

Project documentation management:

- Administer project revision control
- Establish document control procedures
- Compile, copy and distribute all project reports

Financial Management, Monitoring and reporting

- Assist in the financial management tasks under the responsibility of the Project Manager
- Provide support in the use of Atlas for monitoring and reporting

Provision of technical support services

- Provide technical advices
- Review technical reports
- Monitor technical activities carried out by responsible parties
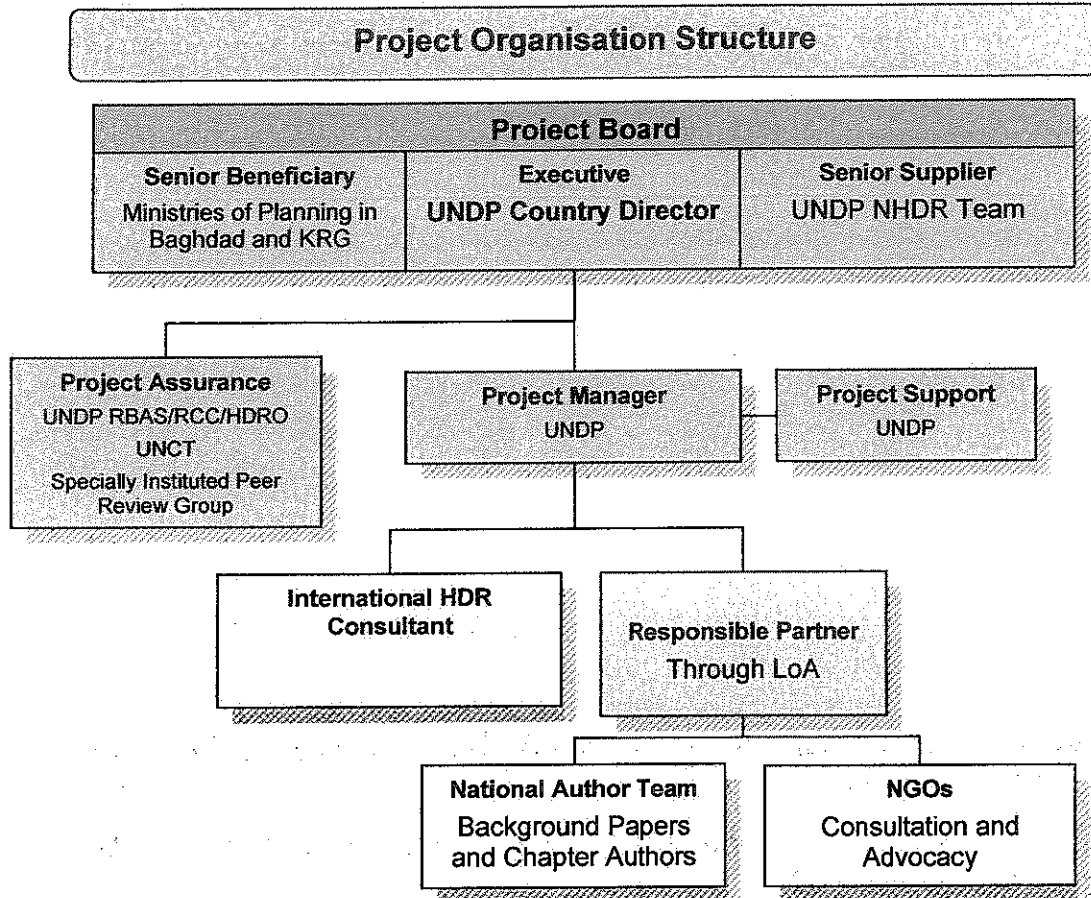
Responsible Partner: The Responsible Partner will need to have a reputable standing as a provider of intellectual products in the area of socioeconomic development. Under this project the Responsible Partner will ensure the compilation of the substantive inputs of the report and will be ultimately accountable for the delivery of the report's final draft in Arabic. This includes the analysis and the supporting data, which includes the calculation of the HD indices. The calculation of the indicators will be done in close cooperation with the CSO/KRSO.

UNDP Iraq will arrange the LoA to engage the Responsible Partner to perform the following:

- Coordinate consultation and communication with national stakeholders, particularly with the Ministry of Planning, Ministries of Youth in Baghdad and the KRG, the Youth Parliament, and the NGOs.
- Coordinate and request CSO/KRSO to provide the statistics and calculate the HD indicators
- Contract national experts and entities to author the background papers and the report chapters
- Contract national review teams
- Identify and agree with NGO to conduct consultation and advocacy activities
- Participate in all planning and review meetings
- Recruit the National Project Manager
- Undertake the operational activities related to the project implementation inside the country
- Provide substantive and financial reporting to UNDP Iraq on the implementation of the project

A Letter of Agreement will be developed to detail the implementation and reporting requirements within the agreement framework between UNDP and them.

Project Organisation Structure

Project Board		
Senior Beneficiary Ministries of Planning in Baghdad and KRG	**Executive** UNDP Country Director	**Senior Supplier** UNDP NHDR Team

Project Assurance
UNDP RBAS/RCC/HDRO
UNCT
Specially Instituted Peer Review Group

Project Manager
UNDP

Project Support
UNDP

International HDR Consultant

Responsible Partner
Through LoA

National Author Team
Background Papers and Chapter Authors

NGOs
Consultation and Advocacy

Audit

The project will be audited in its second year of implementation. Guidelines for TRAC, DIM, and NIM audits will be applied. An allocation in the budget of USD 20,000 has been made to cover audit expenditures. The standard Letter of Agreement format should be used for engaging the Responsible Partner, maintaining articles 15 and 17 all other provisions related to the conduction of audits, at least once in the lifetime of the project.

VI. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

<u>Within the annual cycle</u>

- ➤ On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.

- ➤ An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.

- ➤ Based on the initial risk analysis submitted (see Annex 3), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.

- ➤ Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.

- ➤ a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project

- ➤ a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

- ➤ Reporting should specifically monitor the following gender indicators:

    - ▪ Number of men versus number of women participating in consultative activities

    - ▪ Number of men versus number of women participating in the implementation of the project, including UN teams, NGOs, and government

    - ▪ Data presented in report disaggregated by sex

    - ▪ Analysis complies with report preparation specifications on gender mainstreaming and show disparities in gender for each topic of analysis

<u>Annually</u>

- ➤ **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.

- ➤ **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

VII. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the SBAA between the Government of (country) and UNDP, signed on (date).

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP's property in the executing agency's custody, rests with the executing agency.

The executing agency shall:

a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

b) assume all risks and liabilities related to the executing agency's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The executing agency agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

VIII. ANNEXES

Annex 1: Process Considerations for Mainstreaming Capacity Development

Question	Yes	No	Comment
a. Has a review of existing capacity assets, lesson learned and relevant experiences of other development institutions within and outside the programme country been undertaken?	X		The experience in preparing the HDR 2008 has shown capacity gaps that will be addressed in this project. These include: ● HD Unit in MoP to initiate, plan, implement, monitor, and evaluate NHDR preparation ● Central Statistics Unit: to apply standard and new methodologies to compute HD indicators ● Authors to apply multidisciplinary, gender-based, and human rights based analysis
b. Does the intervention contribute to capacity development, by which individuals, groups, organizations, and communities develop their abilities to perform functions, solve problems, and set and achieve outcomes?	X		The project targets individuals and institutions in the government, academia, and the civil society. Capacity building will be conducted mainly through training by experts through workshops in and outside the country. The specific functions will be NHDR preparation management for the government. Select NGOs will be trained to perform consultative and advocacy activities.
c. Does the programme or project provide opportunities for UNDP to work closely with the UN Development system and other partners to support capacity development efforts through: (a) engaging stakeholders; (b) capacity assessments, (c) formulating capacity development response, (d) implementing capacity development responses, and (e) evaluating capacity development?	X		UNDP Iraq will coordinate with specialized institutions to contribute to training activities and participate in the review of the report chapters in the areas of the Agencies specialization. Inputs from the Agencies will be included in the report's recommendations for strategic action (formulation of Youth strategies and employment strategies), and sectoral reform (health, education, infrastructure services, etc.)
d. Does the programme or project support the strengthening of national capacity to implement a human rights-based approach to national development programmes and policies?	X		(see comment on question a)
e. Have the different dimensions of capacity at the systems, organization and individual levels been assessed in defining most promising operational strategy?	X		Two out of the four core Capacity Building issues are ensured in the project: 1. The institutional arrangements: including the Ministry of Planning, Central Statistics Organization, independent research institutions, NGOs, and the academia. 2. Knowledge: UNDP will ensure the mobilization of knowledge networks and the transfer of knowledge to national entities. Knowledge support will come from the UNDP HDRO, RSC, International Consultants, UNCT, among other resources.
f. Is the choice of implementation modality adequately justified in terms of capacity of the national agencies and/or CO concerned?	X		Direct Implementation will be applied for the overall management of the process. Authorship will be implemented through NIM to ensure maximum ownership of the report's substance.

20

Question	Yes	No	Comment
g. Have programme or project management capacities been reviewed, and can capacity development measures for management be improved?	X		UNDP will setup a project team in the ERPA pillar. Responsible Partner will be evaluated for capacity to implement the authoring.
h. Do elements crucial to ensuring the sustainability of the programme or project results exist, for example: • Enabling policies; • Financial support and mechanisms; • Individual and institutional capacities to carry on; • Sustainable resource management.	X	X	• Enabling Policies: exist. MoP has mandated the HD Unit to prepare a NHDR on periodic basis • Financial Support Mechanism: has to be established in HD Unit annual budget • National capacities will be improved through the successive support that started with the HDR 2008. • Considered to be part of the capacity building that the HD Unit receives
i. Does the programme or project document build national capacity in one or more of UNDP's practice areas and to follow-up on UN conference agreements?	X		The project builds on the Poverty Reduction and MDGs as the main practice area, as well as Crisis Prevention and Recovery. A specific background paper will evaluate implementation and compliance of UN conference agreements
j. Is national capacity to manage, monitor and evaluate being developed?	X		(see comment on question a)

Annex 2: Report Specifications

The National Human Development Report is a *national* document that is prepared by an independent institution with support from UNDP. Despite that the report could display the logo of UNDP among other logos, the report remains the intellectual property of its authors in its entirety. UNDP will request the placement of a disclaimer in appropriate first pages of the report indicating that the views in the report are the responsibility of the authors and does not necessarily represent the views of UNDP, the Ministry of Planning, or other supporting entities. The sections below present the general specifications of the report. These may be adapted in the agreement between UNDP and the designated institution, but the specifications should remain as an integral part of the agreement.

Analysis Guidelines

Content
Authors should go beyond description and simple narrative of phenomena. They should be analytical, providing extensive analysis of the histories, trends, underpinning, and dynamics of the issues and processes. It would be interesting to draw attention to specifities as well as commonalities within the country and in comparison with other countries and critically discuss the underlying causes of the similarities and the differences. While it is necessary to look at formal structures, institutions and processes, the authors should endeavour to train the searchlight on informal, non-state, non-formal and people=based initiatives and their motif forces. In the circumstances, authors should not regard phenomena as given but as actuated and activated by social forces and movements. The composition, interests, structures, processes, outcomes and decomposition o f the social forces and movements should be critically discussed.

Authors should eschew judgmental positions but rather analyze scenarios and prospects in order to reveal causes, be they remote or immediate. In this regard, it will be necessary in all cases to identify independent, dependent and intervening variable as well as their interconnections. The guiding framework is: Where are we coming from? Where are we? Where do we desire to be in the near and mid-term future? In summary, the papers and chapters should normally have an introduction, a theoretical overview, statement of the problem, discussion on methodology and constraints, discussion on historical background, present trends and future scenarios as well as presentation of findings and recommendation. Recommendations should normally specify actors.

Authors should apply UN standards in their analysis and establish linkages with the development frameworks mentioned in sections 3.1.1 through 3.1.5, especially those relating to gender and human rights using the guidelines that will be developed by the HDR and Gender Specialists who will support the report preparation process.

Presentation
A multidisciplinary social science perspective is recommended. Authors should in the circumstances avoid jargons and models that would make the work incomprehensible to multiple audiences. Language should be clear. Long paragraphs should be avoided and authors are encouraged to illustrate their ideas with tables, diagrams, maps, etc.

Pagination
Authors should not be constrained by pages. In the first draft, all facts, figures and analysis should be presented as far as is possible. The paper or chapter should not be less than 25 pages and may be up to 50 pages.

Annex 3: OFFLINE RISK LOG

Project Title: Iraq NHDR III				Award ID:			Dates: 19 Dec 2011		
#	Description	Date Identified	Type	Impact & Probability	Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Inadequate quality of analysis delivered by background paper and chapter authors	19 Dec 2011	Programmatic	I= 4 P=2	Training of author team by international consultant	UNDP			
2	Gaps in data needed to support the analysis	19 Dec 2011	Programmatic	I = 3 P= 2	Early identification of data requirement, plan ahead for data collection, and alternate secondary data sources	MoP/UNDP			
3	Low capacities of NGOs participating in consultative and advocacy activities	19 Dec 2011	Programmatic	I = 4 P= 4	NGO evaluation to select most competent NGOs, using UN networks to identify NGOs, intensive training and follow up on consultative and advocacy activities	UNDP			
4	Gender inequality in national teams including Government and NGO	19 Dec 2011	Operational	I = 4 P= 3	Gender mainstreaming provisions in Project Document, and Letters of Agreement. Training, awareness raising, advocacy, and monitoring compliance with gender mainstreaming indicators	UNDP			

#	Description	Date Identified	Type	Impact & Probability	Mngt response	Owner	Submitted, updated by	Last Update	Status
5	Participation of UNDP and UNCT in activities on the ground due to security restrictions	19 Dec 2011	Security	I = 4 P= 3	Alternate locations for project review activities (Baghdad, Erbil, Basra, Amman). Developing capacity of project management team on the ground	UNDP			
6	Shortage of funding	19 Dec 2011	Financial	I = 4 P= 2	Mobilizing additional funding from donors, design of project around donor funded components	UNDP			