**PROJECT DOCUMENT**

**UNDP IRAQ**

**Project Title**: Support to Security and Justice Sector Governance in Post- Conflict Iraq

**Project Number:** TBC

**Implementing Partner:** United Nations Development Programme -UNDP, Iraq.

**Start Date:** 1 January 2019[[1]](#footnote-1) **End Date:** 31 December 2021 **PAC Meeting date:** 23/10/2018

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| **Brief Description** |
| For the past three years, the majority of Iraqi citizens were subject to daily personal insecurity, threat to life and destruction of property, seriously impeding their ability to live a decent life. Restoring their confidence in security arrangements is a top priority for regained towns and villages post-ISIL. The stability of post-ISIL Iraq will depend a great deal on generating a real sense of safety and security among all citizens, individually or as groups, and in all parts of the country. With the end of the major military actions against ISIL, this work has just begun. Additionally, a substantial number of armed groups fought along state security forces to liberate areas previously occupied by the insurgency. The fate of these groups and their role in future Iraqi security arrangements is also under discussion.  Peace, stability, accountable governance and respect for rule of law are essential pre- requisites for sustainable development. The 2030 Agenda for Sustainable Development therefore re-affirms that 'sustainable development cannot be realized without peace and security' and *Goal 16* is dedicated to *fostering peaceful and inclusive societies, the provision of access to justice and, building effective and accountable institutions for all*. In outline, improving state security and justice provision together with reasonable delivery of these services to returnee populations and, the rest of Iraq will be a key determiner to the country's transition to recovery and stability. As a necessary element for Iraqi's long-term stability and the prevention of the recurrence of conflict, the overall project strategy therefore, stems from the assumption that security is a pre- condition for sustainable development. As a crucial complement to a functioning security and justice sector, citizens need to regain their faith that access to security and justice going forward will be speedy, transparent, meeting international standards of due process and aligned with human rights and, in full compliance with the rule of law. In outline restoring security and public trust in state security and justice provision will remain essential foundations for Iraq's sustainable peace and development in months and years to come.  As such security and justice sector reform is essential to make the transition from a state engaged in long-time conflict to post-liberation era of stability and recovery. The project strategy acts as a key enabler to move from immediate humanitarian and stabilization activities to a longer-term approach of sustained security, appropriate security and justice sector governance and, lasting stability. Taking a common approach, UNDP will support coordination and implementation with its partners to facilitate the Government's implementation of reform at national and local levels. The combined local and national methodology will include advice and assistance, training, mentoring and investment in infrastructure where necessary. These efforts will build on UNDP's on- going support to security sector reform, up-skilling security and justice service providers including the police, judges and related professionals and, promoting high standards of human rights in a transparent and non-biased manner with full accountability to democratically elected institutions. |

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| **Total resources required (USD)**  **Contributing Outcome (UNDAF/CPD, RPD or GPD):**  *Reformed legal and law enforcement institutions that are more transparent and accountable.*  **Project Outcome:** *Security and justice sector institutions are better able to provide a safe and secure environment for the people of Iraq.*  **Indicative Output(s) with gender marker2:**  **Output 1**  Strategic advisory, coordination and capacity development support provided to strengthen security sector governance. (GEN 2)  **Output 2**  Law enforcement and criminal justice capacities of targeted institutions in Iraq strengthened. (GEN 2)  **Output 3**  Community Security and Integration Process (CSIP) designed for Iraq. (GEN 2)  **Output 4**  Iraq's National Strategy for Critical Infrastructure Protection (CIP) developed and operationalized.  (GEN 2) | Estimated 127,972,717 | |
| **Total resources allocated:** |  | |
| **UNDP TRAC:** |  |
| **Donor:** |  |
| **Government:** |  |
| **In-Kind:** |  |
| **Unfunded:** |  | |

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| Agreed by (signatures)Government | UNDP | Implementing Partner |
| Print Name: | Print Name: | Print Name: |
| Date: | Date: | Date: |

# Development Challenge (1/4 page – 2 pages recommended)

As the threat from the Islamic State of Iraq and the Levant (ISIL) declines and the military offensive against the 'common' enemy comes to an end, a range of older tensions are likely to surface in post-ISIL Iraq. Among these are the re-emergence of sectarian tensions between Sunni and Shia sects; intra Shia and Sunni politics; fallout from the Kurdish referendum and tensed relations between the Federal and Regional Governments in Baghdad and Erbil; potential Sunni demand for autonomy or independence in the Sunni majority areas in Ninewa, Anbar, Diyala Salah-al-Din and the Baghdad Belt; uncertainty over the role of the armed groups who fought against ISIL[[2]](#footnote-2); right sizing the Iraqi Security Forces (ISF)[[3]](#footnote-3); and the power struggle between national and sub-national levels including control over disputed areas such as Kirkuk. Similarly, the post 2018 Parliamentary Election could compound these conflict dynamics by manipulation of intra Sunni, Shia and Kurdish politics, sectarianism and the post-ISIL security organization, particularly with reference to command and control of the armed groups which fought along-side the ISF within one unified state structure and right sizing the resultant ISF. Further, as evident during the recent years, there exist potential risks, both from natural and man-made hazards, and security threats to the critical infrastructure in Iraq. In this regard the key risk drivers include poor level of preparedness, weak oversight and maintenance and, the likelihood of terrorist attacks to destabilize the country.

Furthermore women, girls and, youth continue to bear a significant and disproportionate burden from the effects of the conflict and, the range of issues referred to above. There was widespread conflict related sexual violence and, thousands of women and girls were subject to unspeakable brutality at the hands of their ISIL captures. Iraqi youth face a very uncertain future with challenges to accessing education, poor prospects for gainful employment and, remain vulnerable to being manipulated by radical groups. Allowing opportunities for social and economic advancement and, safety and security of women, girls and youth therefore must be central to Iraq's recovery, stability and reconstruction efforts.

While the decline of ISIL control is a cause for celebration, stability in post-war Iraq will remain elusive in the months ahead. However, it should be noted that in 2018, Iraq continues to be in transition and the course of these conflict dynamics remains uncertain. However, there are a number of potential opportunities to guide these dynamics in more positive directions and, avoid further conflict and instability. Post-ISIL recovery and reconstruction responses therefore, must focus on both the immediate and, medium to long-term priorities. For example, while rebuilding ISIL destroyed infrastructure and economic recovery are immediate priorities, restoring security, justice and basic service delivery remain a necessary pre-condition for the safe return of the people and overall stability. Similarly, without careful management, short-term attempts to stabilize liberated areas could compound Iraq's post-ISIL challenges with long-term negative consequences.

Peace, stability, accountable governance and respect for rule of law are essential pre- requisites for sustainable development. The 2030 Agenda for Sustainable Development therefore re-affirms that 'sustainable development cannot be realized without peace and security' and *Goal 16* is dedicated to *fostering peaceful and inclusive societies, the provision of access to justice and, building effective and accountable institutions for all*. In outline, improving state security and justice provision together with reasonable delivery of these services to returnee populations and, the rest of Iraq will be a key determiner to the country's transition from crisis to stability and recovery. More broadly restoring security and, public trust in state security and justice provision will remain essential foundations for Iraq's sustainable peace and development in months and years to come.

Security and justice sector transformation therefore, remains a pre-requisite for Iraq's long-term stability, economic recovery and development. Restoring reasonable security and justice services in the newly liberated and, other areas will be a challenge, but is a necessity. While significant progress has been made in rebuilding liberated areas, these efforts are often undermined by lack of reasonable security and justice services for returnees and, those who remained in these areas.

Within this context, the question of *how to provide security* is ultimately connected with questions of whose security is being prioritized and protected, who provides it and how/which stakeholders (internal and external) support its development or transformation? It is therefore important that the on-going Security Sector Reform (SSR) efforts of the Government of Iraq (GoI) are targeting not only technical reforms, but are also empowering the citizenry (men and women, including youth) to play an active role in shaping more responsive and accountable security and justice institutions and service delivery. In outline a significant investment must be made to put in place a comprehensive and, nuanced policy and practice to security sector transformation in Iraq. It involves efforts to improve state security and justice provision (i.e. policy) and to transform policy into tangible action on the ground to restore services (i.e. practice) to the local population.

To achieve secure and stable conditions, the GoI also recognizes the important and necessary requirement to protect the critical infrastructure and installations from all forms of disaster risks and security threats. This includes nationally important installations, facilities and assets such as dams, major power plants, oil refineries and pipelines, nuclear material and chemical storage facilities, water treatment plants and, information, communication and data centers. Critical infrastructure protection and safe management is recognized as central to people’s safety, livelihoods and economic well-being in Iraq.

Overall the best safeguard of Iraq's future stability is its ability to guarantee the rule of law through reasonable access to security and justice services. Some possibilities for genuine progress remain as a result of the positive steps taken by the Government. Notably these steps include, regaining ISIL controlled territory; on-going stabilization and reconstruction efforts in the newly liberated areas and, Government’s SSR efforts with emphasis on restoring security and justice services and the protection of critical infrastructure. If these efforts are successful they can significantly change the way in which Iraq makes progress in its post-conflict transition to long-term stability, recovery and, sustainable peace and development.

# Strategy (1/2 page - 3 pages recommended)

Since 2015 UNDP has established a progressive partnership with the Office of the National Security Advisor (ONSA) to promote and support a more balanced and complementary approach to security and justice sector transformation in Iraq. Emphasis is on supporting the Government to improve state security and justice provision for better security and stronger public trust in its capacity to maintain security from day-to-day public safety to combating serious crime. Similarly, efforts were also made to enhance the role of civil society in security sector governance by providing a supporting environment to engage with national policy makers. Overall, the programme of work facilitated an environment of trust and collaboration among national policy makers; between policy makers and Iraqi civil society; and between national policy makers and international partners, to make a meaningful contribution to the development of a Government endorsed and led Security Sector Reform Programme (SSRP).

Looking forward, the proposed action will allow UNDP to continue its assistance to GoI in translating the SSRP into action. The project seeks to extend a comprehensive package of technical advisory support and assistance to the Government and, relevant security and justice institutions/agencies to implement the SSRP under one central government framework i.e. ONSA. The action is also designed to maximize international partner support to accelerate government's SSR efforts.

**Assumption:**

Security is an essential pre-condition for sustainable peace and development, and security and justice sector reform is integral to make the transition from a state engaged long-time conflict, to a post-war era of long-term stability and recovery.

**Image 1: Summary of the Theory of Change**

As a necessary element for Iraqi's long-term stability and the prevention of the recurrence of conflict, the overall engagement strategy stems from the ***assumption*** that security is a pre-condition for sustainable peace and development. Security Sector Reform (SSR) is essential to make the transition from a state engaged in long-time conflict to post-war era of stability and recovery. The ***strategy*** acts as a key enabler to move from immediate humanitarian and stabilization activities to a longer-term approach of sustained public security, appropriate security and justice sector governance and lasting stability. Taking a common approach, UNDP will ***support coordination and implementation*** with its partners to facilitate the Government’s implementation of reform at ***national and local levels***. Recognizing Government's policy to focus 'nationally' in post- war Iraq, the overall geographic coverage of the programme will include both liberated and other areas. The emphasis will be on liberated areas such as Mosul/ Ninewa, Anbar and Sala- Al- Din provinces complementing and, aiming to build upon the stabilization gains supported through the Funding Facility for Stabilization (FFS). Furthermore activities will also extend to provinces of Baghdad, Basra, Karbala and Diyala complementing the Government's 'national' focus. This combined geographical coverage will include a package of support involving advice and assistance, training, mentoring and, investment in priority infrastructure where necessary.

The project design is also a direct response to the ONSA request for UNDP to maintain its leading role in supporting the GoI SSR efforts during this critical stage of the country context. The project will therefore, allow UNDP engagement and contribution to assist ONSA in the effective implementation of SSRP across relevant security and justice institutions[[4]](#footnote-4) and the '7 systems'[[5]](#footnote-5), as well as international partner coordination. UNDP will also extend its advice and assistance to SSRP on Monitoring and Evaluation (M&E) and progress reporting. Additionally, on the request of ONSA, UNDP will also lead the international partner coordination of and advice and assistance to three 'systems': Criminal Justice Systems and Law Enforcement (with specific focus on improving civilian/local police service and criminal investigations); Democratic /Institutional Oversight and Accountability; and Critical Infrastructure Protection.

The project will therefore include a multi-pronged approach.

***Firstly,*** it will involve providing on-going advice and assistance to ONSA and relevant institutions to transform SSRP from policy into action with a view to improving security and justice service delivery in post conflict-Iraq.

***Secondly****,* the initiative will also assist ONSA and aligned 'institutions', such as the Ministry of Interior (MoI), Higher Judicial Council (HJC), Ministry of Justice (MoJ) and the Parliamentary Security and Defence Committee (SDC) to undertake relevant 'system' level activities both at national and local levels to demonstrate Government's reform intentions on the ground. This work will build on from UNDP's advice and assistance to MoI to develop a Local Police Service Road Map[[6]](#footnote-6), MoI, HJC and MoJ to develop unified Standard Operating Procedures on Criminal Investigations (SoP)[[7]](#footnote-7) and SDC bylaws[[8]](#footnote-8) on SSR oversight.

***Thirdly****,* the project will contribute in developing collaborative partnerships between the Government and civil society (including women and youth groups) as well between and among like-minded projects and international partners to improve security and justice service delivery at local level. Furthermore, in-line with the *UN Security* *Council Resolution 1325 on Women, Peace and Security*, the project will also aim to promote as much participation of women as possible. Women's participation in the Iraqi security sector is often constraint by cultural/tribal norms and practices. For example, engagement of female police officers is often limited to Baghdad Training Centres and, there remains an overall lack of female police in the operational context at provincial level.

***Fourthly****,* the project will contribute by putting in place capacities, systems and measures for the protection of critical infrastructure following a comprehensive risk analysis for systematic mapping, classification and risk mitigation for protection of major facilities, installations and, infrastructure based on international best-practice models.

**Image 2: Summary of the Project Approach**

The overall project approach is informed by lessons learned and good practices from UNDP’s work in this sphere in Iraq from 2015 to 2018 (to-date) and, it will ensure a comprehensive approach to security and justice sector transformation in post - war Iraq. All levels, from the central policy level to communities, will be incorporated through an integrated ***bottom-up and top-down approach***. This approach is designed to achieve durable solutions to realize long-term peace and sustainable development for the people of Iraq.

It is deemed that the multi-pronged approach described above will allow a reasonable balance between short-term stability requirements and, medium to long- term needs for restoring security and justice services in post- conflict Iraq. For example, the project's practical initiatives at national and local levels with a contrasting geographical focus (i.e. liberated and other areas) will help to respond to more immediate needs while the policy level engagement will support medium to long-term priorities. The proposed initiative will therefore serve as a critical enabler for a smooth transition from the SSRP elaboration phase to its implementation and, up-scale UNDP support to the Government in this important reform process.

***Guiding Principles***

Every stage of the project will be guided by the following programming principles, which aim to enhance the Project’s quality.

**Image 3: Summary of the Guiding Principles**

Gender equality, women and youth empowerment considerations will cut across all areas of the project intervention. Evidence suggests that often it is not gender inequality itself that fuels insecurity, injustice and conflict but the underlying norms that form the basis for gender inequality. For example, norms of what it means to be a man or women, promote behaviour and practices that might encourage the use of discrimination and, violence to resolve issues.Every step of the project therefore will seek to reduce and mitigate grievances and drivers of insecurity and injustice that cause tensions and divisions between men, women, boys and girls at local and national levels. In this regard specific emphasis will be made on grievances stemming from Conflict Related Sexual Violence (CRSV) and Sexual and Gender Based Violence (SGBV) committed during and aftermath of the conflict. Furthermore, through technical advisory support that will be provided, will include a focus on relevant gender considerations and, the partnerships with civil society will require securing the engagement and voice of men, women, boys and girls. Selection of beneficiary groups for project activities such as trainings, small grants and pilots will be based on a carefully developed selection criteria through detailed planning and consultations with implementing partners.

Additionally, resulting from decades of violent conflict and instability, young people in Iraq are generally an under-engaged resource for positive change – an estimated 20 per cent of the population is under 25 years old and, youth dependency rate is 70 per cent.[[9]](#footnote-9) Many young people in Iraq feel excluded from politics and, in the decision-making processes at both local and national levels. Therefore the intervention strategy will work on the assumption that Iraqi youth are well placed, willing and, capable of contributing to a stable and peaceful Iraq if provided with opportunities and a supporting environment. To this end, the project will aim to support creating the opportunities for youth engagement in advancing security sector governance in Iraq.

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# Results and Partnerships (1.5 - 5 pages recommended)

***Expected Results***

The project aims to achieve the result of ***security and justice sector institutions being better able to provide a safer and secure environment for the people of Iraq***.

To this end the project will work to ensure:

* Targeted government institution capacities are strengthened for accountability, transparency and provision of equitable and responsive services.
* Citizens’ expectations to have their voice heard in Government to inform sustainable development, the rule of law and, accountability are met through stronger and accountable systems of security and justice sector governance.
* Systems and capacities are put in place for the protection of major installations and vital infrastructure from all forms of external shocks and terrorist attacks.

The Government's overall vision is to have *a competent and professional security sector that ensures Iraq's security interests and safety of its citizens*[[10]](#footnote-10). In view of this the Government has prioritized sustainable reform that contributes to restoring reasonable security and justice service delivery to its citizens under the Security Sector Reform Programme (SSRP) endorsed by the Government of Iraq on 16 July 2017.

Accordingly, the project presents the following summary of expected results and, planned intervention summary.

**Output 2**

Law enforcement and criminal justice capacities of targeted institutions in Iraq strengthened.

**UNDP Iraq UNDAF/ CPD (2016-2020)**

**Outcome 1**

Reformed legal and law enforcement institutions that are more transparent and accountable

**UNDP Strategic Plan Output 2.2.3**

Capacities, functions and financing of rule of law and national human rights institutions and systems strengthened to expand access to justice and combat discrimination, with a focus on women and other marginalized groups.

**UNDP Strategic Plan (2018-2022)**

**Outcome 2**

Accelerate structural transformations for sustainable development

**CPD Output 1.6**

Technical support in place for the preparation of a detailed national security strategy implementation plan.

**Project Outcome (2018-2020)**

Security and justice sector institutions are better able to provide a safe and secure environment for the people of Iraq

**Output 4**

Iraq's National Strategy for Critical Infrastructure Protection (CIP) developed and operationalized.

**Output 3**

Community Security and Integration Process (CSIP) designed for Iraq.

**Output 1**

Strategic advisory, coordination and capacity development support provided to strengthen security sector governance.

**Hierarchy of Expected Results**

**Image 4: Summary of the Results Chain**

In order to achieve the above-mentioned Outputs, the planned interventions of the project will include the following:

* On-going technical advisory support and assistance for SSRP implementation and international partner coordination under one central framework led by ONSA.
* Technical advice assistance to implement the Local Police Service Road Map, including prioritized police training and mentoring and international partner coordination under one central framework led by MoI's Police Affairs Agency.
* Rebuild destroyed police stations in priority locations through a 'model police station rebuilding initiative' in collaboration with the Ministry of Interior (MoI).
* Specialized training for law enforcement officials and the judiciary on criminal investigations and operationalize unified Standard Operating Procedures in Criminal Investigations (SoP) and international partner coordination under one central framework led by the GoI appointed Criminal Justice Working Group - CJWG (the working group is composed of senior officials from the MoI, HJC and MoJ) .
* A Community Security and Integration Process (CSIP) or similar plan, including pilots in a selected number of liberated areas to provide a national structure for a series of district level community development initiatives which aim to improve security and socio-economic conditions at the local level. This will be implemented also with the engagement of civil society organizations.
* Training and small grant support to improve democratic governance and oversight by augmenting the civil society and Parliamentary Security and Defence Committee (SDC) initiatives at national and local levels.
* Assistance to ONSA and Civil Defence to map, categorize and prioritize Iraq’s installations and assets based on risks and people's safety and economic importance.
* Assistance and advice to the Government to develop and operationalize Iraq's National Strategy for Critical Infrastructure Protection (CIP). Among others specific activities will include targeted policy and technical services rendered to develop and operationalize business continuity plans for country’s vital infrastructures to ensure people’s safety, security and wellbeing.

***Resources Required to Achieve the Expected Results***

The project is estimated to require USD 127.9 million over a period of three years to achieve its results. The Project will be managed as one comprehensive project with multiple sub-components. Donor contributions will be channeled through and managed by UNDP as one project. While the project proposes and encourages non-earmarking of financial resources, to better enable the project to be responsive and flexible in its approach, donors that seek to earmark contributions to specific sub-components/actions of the project, may do so.

The project will be managed and implemented by a high caliber team that will include national and international staff and, Independent Consultants (IC). A dedicated operations team will help with project's human resources, procurement, logistics, financial management and, administration. All project personnel will be based in Iraq and, this is essential for the project's successful implementation.

(Also see Project Budget in Section VII- Multi Year Work Plan)

***Partnerships***

UNDP teamwill hold regular project meetings with the project partners to review activity plans and take all possible efforts to ensure timely implementation, while remaining flexible to adapt to emerging priorities and needs where appropriate. UNDP and project partners will closely monitor changes in the political environment in order to foresee changes in advance and, adjust project activities where necessary. Project partners will also provide UNDP with updates on the operating environment throughout project implementation. UNDP will also seek advice and guidance from the project donors where appropriate.

UNDP will ensure that the project works with other stakeholders and, remain cognizant of other on-going initiatives to address the development challenge both with regard to SSR and in the field of broader stabilization and reconstruction.

As such, in order to ensure active coordination in the field of SSR with likeminded partners and projects ONSA and UNDP will co-chair quarterly SSR coordination meetings with a wide range of Baghdad-based stakeholders. Among others they will include the SSR Support Committee, Governments of Australia, Canada, Denmark, France, Germany, Italy, Netherlands, the UK, and the US, the International Organization for Migration (IoM), Combined Joint Task Force - Operation Inherent Resolve (CJTF-OIR), EU Delegation (EU Del.), EU Assistant Mission (EUAM), ICRC and NATO. The coordination meetings will focus on ensuring coherence and collective donor engagement within one central framework led by the ONSA. Furthermore, UNDP work will also lead International Partner (IP) support coordination of the Security Sector Reform Programme's '7 systems'. It will allow another important forum for UNDP to actively and regularly engage and coordinate with likeminded partners. All ‘7 systems’ are currently operating with an assigned IP for coordination with relevant Government 'institutions': National Security Architecture (UK and ONSA); National Security Legislation (EUAM and the State or Shura Council); Democratic / Institutional Oversight and Accountability (UNDP and Parliamentary Security and Defence Committee and Integrity Committee); Critical Infrastructure Protection (UNDP and MoI); Criminal Justice and Law Enforcement (UNDP and MoI, HJC and MoJ); Intelligence Community (Germany and Iraqi Intelligence Community); Defense and Internal Security Strategy (USA/EUAM and MoD/ MoI, CTS, PMC and possibly MoPA). Furthermore UNDP also intends to initiate quarterly Police Working Group meetings that will be co- chaired by MoI and UNDP with a specific focus on coordinating International Partner (IP) support in the implementation of Government's recently endorsed Local Police Service Road Map. It will allow another important avenue for active coordination of projects and initiatives by IP who are specifically focused on supporting local police in Iraq such as IoM and Police Task Force (formerly referred to as Task Force CarabinierI) under one central government endorsed framework - Local Police Service Road Map, of which directly corresponds to one or more of the identifed police core functions in the Road Map - i.e. Crime Management, Criminal Investigations, Traffic Police, Improving Effectiveness of Local Police ( IELP) and Community Policing.

The project will also continue the on going close collaboration with UNDP's Stabilization Programme (FFS) to ensure active coordination among and between actors in the broader stabilisation and reconstruction field. Similarly, through United Nations Country Programme's (UNCT) 'Recovery and Resillance Programme' where UNDP plays an active coordination role across number of thematic areas will also allow active coordination with broader stablization and reconstrcution projects/ partners in Iraq. As such there are number of valuable avenues that the the proposed project will actively coordinate with partners and projects in the SSR and broder stablization and reconstruction fields to maximise and muliply project's overall engagement and also avoid overlaps and duplication.

Furthermore given UNDP has uniquely positioned itself as a bridge between IP and relevant GoI officials/ ministries at the highest level the above coordination efforts will also allow other partners to maximize the opportunity to improve their own coordination with and among likeminded IP and relevant government counter parts both in the SSR and broader stabilization and reconstruction fields.

***Risks and Assumptions***

The project is designed based on the following key assumptions:

* Sufficient levels of security and political stability exists, enabling the implementation of project activities.
* Sufficient resources for the project are available on time.
* Policy makers/ key government officials and institutions continue to show willingness to engage and, are receptive and responsive to reforms.
* Project's target groups would benefit from enhancing their expertise and, are interested in receiving it.
* New/additional staff recruitments are completed on time.
* Key stakeholders continue to show willingness to engage and, are receptive and responsive to the project.
* Access to target locations outside Baghdad exists.

Changes in social and political situation both at national and local levels is a key anticipated risk. Among others this may include post parliamentry elections results being contested and protracted delays in the formation of the new government. and renewed violence / conflict that will restrict timely implementation of the project. In order to mitigate these risks UNDP will continue to conduct regular analysis of the context and, undertake regular consultations with project partners both at national and local levels to review implementation plans, identify potential/ emerging challenges and, measures to minimize these risks. Similarly, through regular consultations with key stakeholders and, the project's donors UNDP will also maintain a level of flexibility to adapt the project design and activities to best respond to emerging changes in the operational context. UNDP will also use lessons learned and best practice from its previous phase of work through the *Support Security Sector Reform Progamme (2015-2018),* where dispite its highly political and demanding nature and, the challenging operational environrment activities were implemented on time and targets were achieved.

(Also see Risk Log Annex 3- and the Social and Environmental Screening)

***Stakeholder Engagement***

The project will engage with the following key stakeholders / target groups:

Office of the National Security Advisor, SSR Support Committee and the High Committee, SSR 'system level' Sub-Committees, Ministry of Interior (including Local Police at National and local level in the liberated and other areas), Higher Judicial Council, Ministry of Justice, Parliamentary Security and Defence Committee, Civil Society and local populations (including women and youth) in the project's target locations and, international partners active in SSR and broader Stabilization and Reconstruction fields in Iraq.

To ensure that the target groups are engaged throughout the project implementation and, to strengthen national ownership the project will conduct regular meetings with them to allow meaningful opportunities for those involved to comment on progress; raise questions and issues for clarification; help to identify solutions to address challenges; and, identify lessons to be learned for the future. As such it will also help to review and amend future activities to address unforeseen challenges and emerging opportunities were necessary.

***South-South and Triangular Cooperation (SSC/TrC)***

While scoping work undertaken during the project design stage did not indicate potential for SSC/TrC, corresponding to the requirements of the unique context in Iraq, the project proposes to continue exploring possibilities during implementation.

***Knowledge***

Given the nature of the project, and the unique political, social and operational context in Iraq, by way of design the project proposes to develop a lessons learned brief on Iraq’s pilot CISP and, a dissemination strategy to ensure outreach to Government stakeholders and, local and international partners. The lessons learned brief would enable the project and the Government to take-stock of the need for potential changes to the CISP and, evidence the rationale for scaling-up. The brief will also serve as a useful knowledge tool for similar country contexts, which may seek to learn from Iraq’s experience.

***Sustainability and Scaling Up***

The overall aim of the project strategy is to bring about changes that are sustainable, through Iraqi leadership, empowerment, development of project partner capacity and, creating durable links between all the stakeholders involved. The overall project strategy stems from the assumption that security is a pre-condition for sustainable development. UNDP believes that in order to bring about this development change requires the involvement and, participation of a wide range of stakeholders. Therefore, in pursuit of the project's intended Outcome, it will utilize the following national systems, partnerships and arrangements:

* Developing the project’s strategy based on Government endorsed National Security Strategy (2016) Security Sector Reform Programme (2017) and the Local Police Service Road Map ( 2018).
* Advise and assist national and local level authorities/ government officials/ parliamentary committees so they are effective, responsive and accountable to people's needs and, their actions help to improve delivery and access to reasonable security and justice services in Iraq.
* Supportcivil society and populations in project's target locations so they have a favourable environment to influence effective responses to improve delivery and access to reasonable security and justice services at local level.
* Coordinate the engagement of international partnersso they operate in a way that supports project's development change.
* Undertake pilot initiatives with plans to scale-up based on lessons learned and best practice.
* Transferrable skills learned and acquired by project partners will increase learning between and amongst them and, like-minded institutions/agencies. It will also provide a replicable model more widely within Iraq.
* The training and mentoring methodology will allow learning and impact to be had beyond the direct target groups. The target groups will share/ impart their knowledge with peers in the target locations and, the methodology itself will serve as an on-going resource for future initiatives.
* Improved relationships developed and trust built between and among project partners will promote collaboration to enhance security and justice service delivery beyond this project.
* Advocacy and awareness raising will enhance knowledge and, may trigger new undertakings by key stakeholders including gathering donor support within and beyond this project.
* The approach and methodology of the project promotes participatory approaches, inclusivity and, accountability that are by extension replicable more widely, not simply in the security and justice sector.
* The Critical Infrastructure Protection (CIP) support will up- skill Iraqi capacity through a process that will help to institutionalize transferable skills. It will also allow putting in place scalable and, resilient models of infrastructure protection. The overall approach promotes sustainability of targeted results and allows opportunities to up- scale Government efforts in implementing the CIP Strategy within and beyond this project.
* Protection and safe management of Iraq’s vital infrastructure is a necessity for Iraq’s on-going efforts to promote peace, security, stability and sustainable development against all forms of external shocks. Activities to advance CIP therefore will help to advance and sustain services in this sphere.
* The CIP output will support the National Security Council to establish a public - private multi-stakeholder coordination framework to lead early warning information dissemination/ sharing on potential risks and threats to vital facilities/ installations in Iraq. Hence activities under this Output will further advance vital installation protection and resource investment not only by the Government but by the Private Sector as well.

The project will develop a detailed exist strategy for each focus area and, it will be subject to periodic review and revision throughout the project cycle.

# Project Management (1/2 pages - 2 pages recommended)

***Cost Efficiency and Effectiveness***

The project will come within a portfolio management approach, which will help to improve cost effectiveness by leveraging operational support processes and partnerships with other on- going UNDP projects such as the Funding Facility for Stabilization (FFS) and the Iraq Crisis Response and Resilience Programme. The overall Project management approach places priority to ensure UNDP's organisational Value For Money criteria (VFM) - economy, efficiency and, cost- effectiveness.

1. This project builds on a vital capacity foundation laid by the current phase of SSR support to Iraq initiated in 2015. The required commitment and ownership from national partners to achieve the Outputs highlighted in the Project Results Framework.
2. Overall project budget costs are estimated under each Output and, to corresponding activities with itemized costing to ensure economy, efficiency, effectiveness and cost- effectiveness.
3. Knowledge and skill transfer will be strengthened/ further facilitated, through investments in nationally recruited UNDP staff, in partner state and non-state institutions, through a combination of providing advisory support, conducting trainings and workshops, provision of inputs and, issuing grants for activity implementation.
4. There is a shortage of national level expertise relating to security sector reform, criminal justice and critical infrastructure protection in Iraq. This requires relying on high quality international technical expertise and, as such investments will be made in the recruitment of international technical staff and consultants on the key subject areas. While this is one of the main drivers of costs for the project, it is a strategic investment that is fundamental to achieving the Project Outputs. Where ever possible the project will also work with Donor countries to secure in-kind technical deployments to advance project implementation.
5. Construction/rehabilitation activities in the Iraqi context require ensuring stringent quality assurance and having in place appropriate monitoring systems (i.e. investment in engineering teams). This in turn will warrant effective use of resources and quality completion of work.
6. Competitive procurement processes will be relied upon to ensure equity and, draw in competitive offers. Competitive processes also enable to assess the range, quality and, pricing available in the market.
7. To provide time sensitive responses with the provision of goods and services, the project will rely on UNDP’s Express Roster of pre-vetted technical experts/consultants and, on long-term agreements established with companies across a range of different sectors and services.
8. Procurement of goods and equipment will be undertaken following a strategic planning exercise to consolidate procurement actions. For example with regard to workshops, conferences and external travel (flights) UNDP procurement regulations require at least three itemized quotations from UNDP approved vendors and, to rank selection based on the following VFM criteria: economy, efficiency and cost- effectiveness. Furthermore when hiring consultants the detailed price -list and the deliverable methodology is an essential evaluation criteria in the selection process.
9. Consolidated operations and administration support teams working across the portfolio will help consistency in processes, save time and resources.

The project proposes to undertake a VFM analysis, at-least annually.

***Project Management***

The project will be implemented through the Direct Implementation Modality (DIM) by UNDP Iraq, which will be accountable for the overall management of the project and, achievement of results described in this Project Document.

UNDP will enter into agreements with qualified entities (e.g. government and non-government, including academic institutions, research organizations and civil society organizations) as Responsible Parties (RPs) to assist in effectively delivering project Outputs. Responsible Parties will be directly accountable to UNDP in accordance with the terms of the agreements signed. Responsible Parties will be selected in keeping with UNDP’s established Rules and Regulations, to take advantage of their specialized skills, to achieve high quality results, to mitigate risks and, to strengthen administrative efficiencies.

The project will be managed and coordinated from the two main UNDP Offices in Iraq, located in Baghdad and Erbil. Activity implementation will focus both at the National/Policy level, and take place across Iraq, with emphasis on liberated areas in the provinces of Anbar, Ninewa and Salah-Al-Din and other areas in Karbala, Basra, Dyala and Baghdad as the security situation permits.

The project team will be integrated within UNDP Iraq’s Rule of Law/SSR Programme, while operationally supported by a team of Finance, Administration, Human Resources and Procurement, while also benefiting from Country Office shared services such as IT, Communications and Security. A dedicated team of Programme Management Specialists/Programme Analysts will provide overall programme quality assurance, working collaboratively with the UNDP Iraq Country Office Programme Unit.

Direct Project costing will be applied to the Project for the support services provided by the UNDP Iraq Country Office. The Direct Project Costs (DPC) are organizational costs incurred in implementation of project activities or/ and services that can be directly traced and, attributed to that activity and/ or service. These costs therefore are included in the project budget and charged directly to the project budget. The objective of DPC is to reflect in the appropriate project budget the true direct costs of achieving the relevant project results and objectives funded from regular (core) and other (non- core) progarmme resources.

DPC costs are charged under the following budget lines: common premises (fixed annual cost per UNDP project personnel), security (4%), communication (2.5%), monitoring and evaluation (3.5%). DPC together with the minimum General Management Support (8%)-GMS (indirect cost) which covers the organization’s costs in support of corporate structures, enables full implementation of costs to be reflected and, fully costed to projects by UNDP for implementation of its project activities and services.

As a DIM Project, the project will be audited as determined by UNDP’s Office of Audit and Investigations (OAI).

# Results Framework[[11]](#footnote-11)

| **Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:[[12]](#footnote-12)**  *Reformed legal and law enforcement institutions that are more transparent and accountable.* | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:[[13]](#footnote-13)**  *National security strategy/programme successfully implemented.* | | | | | | | | | | |
| **Project Outcome:**  - *Security and justice sector institutions are better able to provide a safe and secure environment for the people of Iraq.* | | | | | | | | | | |
| **Outcome Indicator:**   * *Proportion of population satisfied with their last experience of public services (disaggregated by services from the security and criminal justice sector) – this is an Indicator for SDG16. (Indicator 16.6.2)* * *% Community members which report an improvement in the quality of services provided by the Police; OR* * *% Community members reporting an increased sense of security in their communities; OR* * *Stakeholder feedback on the improved capacity/efficiency/service delivery of the targeted institutions in the security and justice sector.* | | | | | | | | | | |
| **Applicable Output(s) from the UNDP 2018-2021 Strategic Plan:**  *Outcome 2:* *Accelerate structural transformations for sustainable development.*  *Output 2.2.3* *Capacities, functions and financing of rule of law and national human rights institutions and systems strengthened to expand access to justice and combat discrimination with a focus on women and other marginalised groups.*  *Output Indicator: Existence of governance and oversight of rule of law institutions with strengthened capacities.*  *Baseline (2017): Yes*  *Target (2020): Yes* | | | | | | | | | | |
| **Project title and Atlas Project Number:**  Support to Security and Justice Sector Governance in Post- Conflict Iraq *(Atlas Project No TBC)* | | | | | | | | | | |
| **EXPECTED OUTPUTS** | **OUTPUT INDICATORS[[14]](#footnote-14)** | **DATA SOURCE** | **BASELINE** | | | **TARGETS**  **(by frequency of data collection)** | | | DATA COLLECTION METHODS & RISKS |
|  |  |  | **Value** | **Year** | **Year 2019** | | **Year 2020** | **Year 2021** |  | |
| **Output 1**  Strategic advisory, coordination and capacity development support provided to strengthen security sector governance. | **1.1 i)** Types of technical advisory support provided by UNDP to the Government of Iraq on Security Sector Reform Programme (SSRP) implementation; and,  **ii)** Feedback/ recommendations on the technical advisory support provided from relevant stakeholders.  (*Qualitative indicator*) | -Project quarterly reports.  -Project board meeting / stakeholder discussion minutes. | Technical Advice (TA) included the following: support for SSRP and implementation model and M&E framework formulation, training on M&E; advice and assistance on democratic oversight and accountability system[[15]](#footnote-15); technical advice to develop SDC by-laws and to draft a security partnership MoU between the legislature and the executive | 2018 | SSRP implementation mechanism is fully operational. | | SSRP priority actions for 2020 implemented. | SSRP priority actions for 2021 implemented. | -UNDP project monitoring  -Analysis of feedback within transcripts/minutes of interviews/bi-lateral discussions with stakeholders. | |
| **1.2 a)** # and type of trainings provided to each relevant Government Institution, the Judiciary and the Parliamentary Security and Defence Committee (SDC)[[16]](#footnote-16)  *(Data to be gathered separately for Government Institutions, the Judiciary and the SDC)* | -Training agendas and modules/ curricular.  -Training attendance sheets.  -Training reports. | Delivered trainings were provided on M&E methodology related to implementation of SSRP and NSS; designed and delivered trainings to judges and prosecutors on criminal case handling; designed and delivered trainings on MoI identified police core function Improving Effectiveness of Local Police (IELP); delivered trainings on democratic oversight and accountability and gender & SSR to ONSA, SSR Committee, relevant GoI Ministries/ Agencies and ANCSS & Iraqi civil society. | 2018 | At least 10 follow up trainings including Training of Trainers (TOTs) delivered to Government Institutions, the Judiciary and the Parliamentary SDC. | | At least 15 follow up trainings including TOTs delivered to Government Institutions, the Judiciary and the Parliamentary SDC. | At least 10 follow up trainings including TOTs delivered to Government Institutions, the Judiciary and the Parliamentary SDC. | -UNDP project monitoring.  - Survey among training participants. | |
| **1.2 b)** Extent to which the Government, Judiciary and, the Parliamentary Security and Defence Committee (SDC) have improved capacity to implement and monitor the Security Sector Reform Programme. | -Survey reports/ Interview/Focus Group Discussion reports  -Bilateral stakeholder meeting reports | Baseline to be set within 6 months from the start date of this activity implementation. | *2018* | To be established within 6 months from the start date of this activity implementation. | | To be established within 6 months from the start date of this activity implementation. | To be established within 6 months from the start date of this activity implementation. | - Survey among/ interviews with stakeholders and/or  Focus Group Discussions.  - Analysis of feedback within transcripts/minutes of Bilateral stakeholder meetings. | |
| **1.3** # of small grants provided to civil society organizations to undertake local level initiatives to contribute to strengthening security sector governance in Iraq. | -Grant Agreements signed.  -Progress reports submitted by the Responsible Parties (i.e.civil society organization) | 9 grants provided for civil society to implement quick impact projects, to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | 2018 | 12 grants provided for civil society to implement quick impact projects to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | | 15 grants provided for civil society to implement quick impact projects to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | 20 grants provided for civil society to implement quick impact projects to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | -UNDP project monitoring.  -Responsible Party monitoring.  -Progress review meetings with Responsible Parties. | |
| **Output 2**  Law enforcement and criminal justice capacities of targeted institutions in Iraq strengthened. | **2.1a)** Local Police Service Road Map developed and implemented. | -Project quarterly reports.  -Project Board Updates.  -The Roadmap. | Road Map developed and endorsed by the MoI Minister. | 2018 | Implementation of Road map initiated. | | The Road Map is fully operational. | The Road Map is continued to be fully operational. | -Interviews with relevant stakeholders. | |
| **2.1b)** # of Local Police Officers trained against prioritized training requirements in target locations (gender disaggregated) | -Training agendas and modules.  -Training attendance sheets.  -Training reports. | 170 Local Police Officers trained and mentored on Improving effectiveness of Local Police (IELP) basic and TOT trainings and Police Mid Level Management Course. | 2018 | 500 local police officers trained and mentored on Improving Effectiveness of Local Police (IELP) and Police Mid Level Management Course. | | 700 local police officers trained and mentored on Improving Effectiveness of Local Police (IELP) and Police Mid Level Management Course. | 1000 local police officers trained and mentored on Improving Effectiveness of Local Police (IELP) and Police Mid Level Management Course. | -UNDP project monitoring.  -Survey among training participants. | |
| **2.1c)** # of small grants provided to civil society organizations to undertake local level initiatives to improve public-police collaboration. | -Grant Agreements signed.  -Progress reports submitted by the Responsible Party (i.e. civil society organizations) | *9* grants provided for civil society to implement quick impact projects to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | 2018 | 12 grants provided for civil society to implement quick impact projects to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | | 15 grants provided for civil society to implement quick impact projects to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | 20 grants provided for civil society to implement quick impact projects to develop and strengthen collaborative partnerships between public/ police and other security and justice service providers at local level. | -UNDP project monitoring  -Responsible Party monitoring. | |
| **2.2** # of prioritized/critical local police stations rehabilitated in target locations (as part of a “model police station” rebuilding initiative) | -Project quarterly reports.  -Work completion reports | 5 prioritised police stations (in Ramadi, Fallujah, Karma and Heet) are being rehabilitated through the Funding Facility for Stabilization. | 2018 | 8 in target locations. | | 15 in target locations. | 9 in target locations. | -UNDP project monitoring. | |
| **2.3 a)** Standard Operating Procedures (SOPs) on Criminal Investigations available for implementation. | -Project quarterly reports.  -The Standard Operating Procedures (SoP). | SOPs developed and final itegration tabled for MoI review endorsement. | 2018 | SOP endorsed. approved by MoI and implementation framework/ model is developed and operationalized. | | SOPs fully operational. | SOPs continue to be operational at provincial level. | -UNDP project monitoring. | |
| **2.3 b)** # of law enforcement and criminal justice sector officials trained on criminal investigations (disaggregated by gender and area of sector expertise) | -Training agendas and modules.  -Training attendance sheets.  -Training reports. | No trainings on criminal investigations conducted. | 2018 | 100 officials trained. | | 200 officials trained. | 300 officials trained. | -UNDP project monitoring  -Survey among training participants | |
| **2.4** Policy paper to establish a Central Directorate for Criminal Investigations developed. | - Policy paper.  -Interview reports. | A Policy paper for the establishment of a Central Directorate for Criminal Investigations not developed. | 2018 | A draft of the policy paper developed. | | Policy paper finalized/ approved by the Higher Judicial Council. | Higher Judicial Council takes appropriate action to establish the Directorate | - Analysis of feedback within transcripts/minutes of interview with representatives from the Higher Judicial Council. | |
| **Output 3**  Community Security and Integration process (CSIP) designed for Iraq. | **3.1a)** Community Security and Integration pilot Programme (CSIP) implemented[[17]](#footnote-17). | -Project quarterly reports  -CSIP Framework. | A CSIP is not designed.  . | 2018 | CSIP pilot initiative is designed and approved for implementation and CSIP pilot implemented in 5 priority pilot locations. | | CSIP pilot is rolled out across additional priority target locations. (Exact number TBC) | CSIP pilot is rolled out across additional priority target locations. (Exact number TBC) | -UNDP project monitoring. | |
| **3.1b)** Standard Operating Procedures (SOPs) developed to guide the CSIP pilot implementation. | -The Standard Operating Procedures (SOPs).  -Discussion minutes. | SOPs developed and pending MoI approval/ endorsement. | 2018 | SOPs approved and applied. | | SOPs fully operational. | SOPs continue to be fully operational at provincial level. | - Analysis of feedback within transcripts/minutes of discussion with the relevant government officials on the level of application of the SOPs. | |
| **3.1c)** # Community members from target locations that receive support from the CSIP initiative (gender disaggregated) | -Project progress reports.  -Beneficiary tracking document. | 0 community members receive support as CSIP initiative not in place. | 2018 | 1000  (at-least 30% female) | | 5000  (at-least 30% female) | 5000  (at-least 30% female) | -UNDP project monitoring. | |
| **3.1d)** Level of community engagement in the CSIP process as assessed/observed by relevant proxy indicators, including:  *- Number of participants.*  *-Ideas provided at meetings by members of the community.*  *-An analysis of speakers at the meetings, including offers support, or volunteers in the process.*  (*Qualitative indicator*. Gender dimensions to be noted in the analysis) | -Survey report/interview/Focus Group Discussion reports.  -Responsible Party monitoring reports (i.e. civil society organization) | No community engagement, and the CSIP not in place. | 2018 | To be established once project is initiated. | | To be established once project is initiated. | To be established once project is initiated. | -Survey among/ interviews with representatives of the target communities and/or  Focus Group Discussions.  -Responsible Party/civil society organization monitoring. | |
| **3.1 a)** Perceptions relating to satisfaction of the former fighters on the package of support provided.  (*Qualitative indicator-*gender dimensions to be noted)  *Targets set on a scale of 1 to 5, with 1 being not at all satisfied, and 5 being very satisfied.* | -Project progress reports.  -Beneficiary tracking document.  -Survey/interview  reports . | No perception data available, as there is no package of support provided to former fighters. | 2018 | 3 | | 4 | 5 | -Survey among/ interviews with the former fighters capturing both quantitative and qualitative data. | |
| **3.3** Lessons learned brief on CSIP process developed and disseminated (D&D) among Government stakeholders, and local and international partners. | -Independent evaluation.  -Knowledge product. | No knowledge product in place. | 2018 | 1st year lessons learnt brief D&D. | | 2nd year lessons learnt brief D&D. | 3rd and final project lessons learnt brief D&D. | -Project review with partners/stakeholders.  -UNDP internal project monitoring.  -Independent evaluation of the CSIP component. | |
| **Output 4**  Iraq's National Strategy for Critical Infrastructure Protection (CIP) developed and operationalized. | **4.1** Iraq's National Strategy for Critical Infrastructure Protection (CIP) prepared and approved following multi-stakeholder’s consultation process. | - CIP strategy.  -Interview reports. | CIP is being updated. | 2018 | CIP Strategy approved by the Government of Iraq.  a) Multi-sectoral expert group established.  b) CIP Strategy drafted. | | Capacity of the Government Agencies and responsible authorities built to implement the CIP Strategy. | CIP Strategy reviewed by the Government (with advisory support from the project). | -UNDP project monitoring  - Analysis of feedback within transcripts/minutes of interview with relevant stakeholders. | |
| **4.2** Mapping of critical infrastructure for priority sectors (based on a criticality analysis of security and disaster threats) completed. | - Final version of themapping document provided to the Government of Iraq.  - Mapping document is referenced/ acknowledged in official Government documents/communication. | No mapping exercise undertaken. | 2018 | Methodologies for the mapping exercise developed and approved.  a) Systematic mapping of critical infrastructure completed for priority sectors.  b)10 priority critical infrastructure identified for developing protection plans. | | a) Systematic mapping of critical infrastructure completed for other relevant sectors.  b) 5 additional critical infrastructure identified to develop protection plans. | At least 20 officials trained and capacitated to operationalize the GIS based system and, to managed and update critical infrastructure mapping in Iraq. | UNDP project monitoring. | |
| **4.3** Guidelines on contingency planning and business continuity plans developedfor the sectors of social and economic importance. | -The Guidelines.  -Critical Infrastructure Protection (CIP) system committee meeting minutes. | Guidelines not developed | 2018 | Generic guidelines developed for the protection of critical infrastructure.  Sectoral guidelines finalised and business continuity plans finalised for 5 critical infrastructure | | Sectoral guidelines developed for business continuity plans finalised for remaining 5 critical infrastructure. | 4 targeted advocacy events conducted for scaling up contingency planning of CIP by Government/Public and Private Sector | -UNDP project monitoring.  - Analysis of transcripts/minutes from the CIP system committee meeting. | |

# Monitoring And Evaluation

In accordance with UNDP’s programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans. The monitoring plan will be annually reviewed as part of Project Management.

**Monitoring Plan**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Monitoring Activity** | **Purpose** | **Frequency** | **Expected Action** | **Partners**  **(if joint)** | **Cost**  **(if any)** |
| **Track results progress** | Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs. | A minimum,  quarterly and, where relevant in keeping with the frequency required for each indicator. | Slower than expected progress will be addressed by project management. |  |  |
| **Monitor and Manage Risks** | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP’s Social and Environmental Standards. Audits will be conducted in accordance with UNDP’s audit policy to manage financial risk. | Quarterly | Risks are identified by project management and, actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. |  |  |
| **Knowledge Management** | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | At least annually | Relevant lessons are captured by the project team and, used to inform management decisions. |  |  |
| **Project Review to Make Course Corrections** | Internal review of data and evidence from all monitoring actions undertaken by the Project Team to inform decision making by the Project Board. This internal review will also include taking stock of exit/phase-out strategies adopted by the Project. | At least Annually | Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections. |  | USD 5000 (per year) |
| **Annual Project Quality Assurance** | The quality of the project will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project. | Annually (mid-year) | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. |  |  |
| **Project Report** | A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. | While a quarterly summary of Progress will be prepared, a Project Report will be prepared Annually, and a Final Report at the end of the Project. |  |  |  |
| **Project Review by the Project Board** | The Project Board will hold regular project reviews (a minimum annually) to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project’s final year, the Project Board will hold an end-of project review to capture lessons learned and, discuss opportunities for scaling up and to publicise project results and lessons learned with relevant audiences. | At-least Annually | The Project Board will discuss any quality concerns or slower than expected progress and agree on management actions to address the issues identified. |  | USD 1000 (per Board Meeting) |
| **Project Evaluation** | To determine the failures and successes of project activities to strengthen the implementation process. | Mid-Term and/or Final Evaluation | The Project Management Team and Project Board will review the findings of the Evaluation to identify ways to strengthen the implementation process, and determine the need for and nature of a further phase of support. |  | USD 100,000  Per evaluation |
| **Project Audit** | To ensure the project is implemented in keeping with UNDP’s Financial Rules and Regulations. This may be undertaken through the UNDP Office of Audit and Investigation, or be commissioned directly by UNDP Iraq. | Mid-Term | The Project Management Team will review the findings of the Audit to identify what corrective management measures (if any) are required. |  | USD 50,000 |
| **Project Closure Quality Assurance** | The quality of the closure process of the project will be assessed against UNDP’s quality standards to identify strengths and weaknesses and to inform management decision making to improve the process. | In the lead up to Closure of the Project | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. |  |  |

# Multi-Year Work Plan [[18]](#footnote-18)[[19]](#footnote-19) (SUMMARY PROVIDED FOR CONSULTATIONS ON PRO-DOC)

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **EXPECTED OUTPUTS** | **INDICATIVE ACTIVITIES** | **Estimated Budget by Year (USD)[[20]](#footnote-20)** | | | | | **RESPONSIBLE PARTY** | | |
| **Budget Categories** | **2019** | **2020** | **2021** | |  | | |
| **Output 1:**  Strategic advisory, coordination and capacity development support provided to strengthen security sector governance  *Gender marker: 2* | * 1. Support coordination of SSRP High Committee and Support Committee Meetings and provide technical advisory support. | International and national Technical Experts (Staff & Consultants),  Training and Workshops, Grants, Transport, Daily Subsistence Allowance, Materials & Supplies, Printing & Publications. | 4,932,904 | 4,726,712 | 4,720,920 | |  | | UNDP |
| * 1. Conduct a series of workshops/ trainings/ study visits to build Government of Iraq capacity to manage and implement the SSRP with specific emphasis on monitoring and progress reporting. | UNDP |
| 1.3 Support SDC to play and active role in SSR oversight in the SSRP- implementation and in-line with SDC by laws. | UNDP |
| 1.4 Provide small grants to civil society organizations (CSOs) to undertake local level initiatives which strengthen security sector governance. | UNDP & CSOs |
| MONITORING (including evaluation) | UNDP & Third Party |
|  | | | | | | | | | |
| **Output 2:**  Law enforcement and criminal justice capacities of targeted institutions in Iraq strengthened.  *Gender marker:* 2 | 2.1 Provide technical support to develop and implement the Civilian and Local Police Road Map. | International and national Technical Experts (Staff & Consultants),  Training and Workshops, Grants, Civil Works, Transport, Daily Subsistence Allowance, Materials & Supplies, Printing & Publications. | 22,207,588 | 28,158,444 | 21,717,252 |  | | UNDP | |
| 2.2 Design and deliver a series of tailored IELP trainings, mentoring and TOT workshops. | UNDP | |
| 2.3 Provide advisory and capacity support to implement the Criminal Investigation Standard Operating Procedures (SoPs). | UNDP | |
| 2.4 Establish 'model police stations' through rebuilding and rehabilitating prioritized police stations in the target locations. | UNDP | |
| 2.5 Support civil society initiatives to advance collaborative community-police partnerships in target locations | UNDP & CSOs | |
| MONITORING (including evaluation) | UNDP & Third Party | |
|  | | | | | | | | | |
| **Output 3:**  Community Security and Integration process (CSIP) designed for Iraq.  *Gender marker:* 2 | 3.1. Design and implement a pilot community security and integration programme (CSIP). | International and National Technical Experts (Staff & Consultants),  Training and Workshops, Grants, Transport, Daily Subsistence Allowance, Materials & Supplies, Printing & Publications. | 2,281,140 | 2,287,536 | 2,303,832 |  | | UNDP&  Identified Partners | |
| 3.2 Develop and disseminate a lesson learned document on the pilot programme  . | UNDP | |
| MONITORING (including evaluation) | UNDP & Third Party | |
|  | | | | | | | | | |  |
| **Output 4:**  Iraq's National Strategy for Critical Infrastructure Protection (CIP) developed and operationalized .  *Gender marker:* 2 | 4.1 Develop Iraq’s National Strategy for CIP following a multi-stakeholder consultation process. | International and National Technical Experts (Staff & Consultants),  Training and Workshops, Grants, Transport, Daily Subsistence Allowance, Materials & Supplies, Printing & Publications. | 2,367,125 | 2,776,948 | 2,812,876 | |  | | UNDP |
| 4.2 Mapping of critical infrastructure (based on a criticality analysis of security and disaster threats) undertaken for prioritized sectors. | UNDP |
| 4.3 Guidelines for contingency planning and business continuity plans developed for the prioritized social and economic sectors. | UNDP |
| MONITORING (including evaluation) | UNDP & Third Party |
| **Sub-Total Programme** |  |  | **31,788,831** | **37,949,640** | **31,554,880** | |  | | |
| **Administration and Operations Support** |  | Human resources, Equipment (including ICT) and Furniture, Transportation equipment, Daily subsistence Allowance, Materials & Supplies, Printing & Publications. | 3,398,831 | 2,875,780 | 3,014,065 | | UNDP | | |
| **Direct Project Costs (DPC)** | Support services provided by the UNDP Iraq Country Office (i.e. common premises, security, M&E and Communications) |  | 339.883 | 4,095,840 | 3,475,580 | | UNDP | | |
| **Sub-Total Direct Costs** |  |  | **35,527,471** | **44,921,260** | **38,044,525** | |  | | |
| **General Management Support (8%)** |  |  | 2,842,198 | 3,593,701 | 3,043,562 | | UNDP | | |
| **TOTAL** |  |  | **38,369,669** | **48,514,961** | **41,088,087** | |  | | |
| **GRANT TOTAL** |  | **127,972,717** |  | | | |  | | |

# Governance and Management Arrangements

The project will be governed by a Project Board co -chaired by UNDP and Iraqi Counter Parts. In view, the co- chairs from Iraq will include senior official representation from Office of the National Security Advisor (ONSA), Ministry of Interior (MoI) and Higher Judicial Council (HJC). The project board will also consist of donors and other members approved by the Local Project Appraisal Committee. The Project Board may also invite key partners/stakeholders as “Observers” for meetings, as and when necessary. These may include *inter alia* line Ministries and Departments, civil society organizations and United Nations agencies.

The **Project Board** is the highest-level project management and oversight body. It will provide policy guidance, review progress against target results, support the identification of solutions to challenges faced by the project, and review risks and lessons learned. The Board will also provide guidance needed to strengthen coordination and collaboration among other relevant projects and with other national initiatives and development projects. The Project Board will **meet at least twice a year** and, should the need arise the Board will also meet on an ad-hoc basis, in the event for example there is a significant change in context. The Board will receive Summary Progress Reports on a quarterly basis, and an Annual Report from the Project.

The *main responsibilities* of the Project Board will be to:

* Ensure that identified results and associated actions in the annual work plans comply with the strategies and principles outlined in the project document.
* Review and endorse annual work plans (including budgets) provided by the project.
* Review reports which indicate progress against target results and provide strategic guidance and policy direction.
* Provide oversight, and assess the quality of project implementation, including through review of the Quality Assessment by UNDP’s Programme Assurance function.
* Review assessments, evaluations and recommendations in respect of the project and provide strategic guidance, as required.
* Assess and decide on substantive changes (such as project strategy, principles, outputs and activity results).
* Recommend new or revised policy directions in the planning and implementation of the project in light of new national planning strategies/documents.
* Establish levels of tolerance (on time and budget) for the Project, and provide guidance when tolerance levels have been exceeded.
* Ensure that the resources made available are committed and expended in a timely manner.

To ensure UNDP’s ultimate accountability, the Project Board’s decisions should be made in accordance with standards[[21]](#footnote-21) that shall ensure best value for money, fairness, integrity, transparency and effective international/national competition.

## From UNDP the Board will comprise of the UNDP Country Director as the Co- Chair of the Board, and UNDP’s Deputy Country Director as the Senior Supplier.

## The Co- Chairs of the Board will have ultimate responsibility for the project. As part of the responsibilities of the Board, the Co-Chairs will ensure that the project is focused throughout the project cycle on achieving its outputs and targets. Additional responsibilities include monitoring and controlling the progress of the project at a strategic level; ensuring that risks are being tracked and mitigated as effectively as possible; and chairing and ensuring that the Project Board meets in a timely manner, as stipulated in the project document. The Co-Chairs will be responsible for approving and signing the Annual Work Plan (AWP), approving and signing the Combined Delivery Report (CDR)[[22]](#footnote-22) at the end of the year, and signing budget revisions.

The **Senior Supplier** will represent the interests of those designing and developing the Project deliverables and providing complementary resources to the Project. The primary function and responsibility of the Senior Supplier is to provide guidance regarding the technical feasibility of the project. As part of the responsibilities of the Project Board, the Senior Supplier will advise on the identification of strategies, design and methods to carry out Project actions. Within the context of the Project Board, the Senior Supplier is also responsible for ensuring that progress towards outputs remains consistent; contributing the supplier’s perspective and opinions on implementing any proposed changes; and arbitrating on and ensuring resolution of input/resource related priorities or conflicts.

The **Project Assurance** role will be delegated by the Project Board to Programme Unit. Project Assurance has to be independent of the Programme Manager. The Project Assurance role 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. The Project Assurance role needs to be engaged throughout the project as part of ensuring that it remains relevant, follows the approved plans and continues to meet the planned targets with quality. Project Assurance is required to ensure Beneficiary needs and expectations are being met or managed; risks are being controlled; adherence to the project justification (business case); the right people are being involved; an acceptable solution is being developed; the project remains viable; applicable UNDP rules and regulations are being observed; adherence to monitoring and reporting requirements and standards of the donor ; quality management procedures are properly followed; and the Project Board’s decisions are followed and revisions are managed in line with the required procedures.

The **Programme Manager** (PM) is responsible for the successful management of project outputs and contribution to the achievement of project outcomes. The PM will have the responsibility to run the project on a day-to-day basis on behalf of and within the framework outlined by the Project Board. The PM is responsible for working in coordination with the respective Senior Beneficiary/ies and Responsible Parties of the project to ensure project implementation, financial management, administration, monitoring and reporting takes place in a timely manner. Under the guidance of the Co -Chairs, the PM shall ensure efficient coordination efforts between the stakeholders of the Project. The PM will be responsible for managing the realization of Project outputs and targets through actions as specified in the Annual Work Plan. This includes: planning activities/actions; preparing annual work plans; overseeing the implementation of activities/actions (including liaising with service providers to mobilize goods and services); managing financial resources and accounting to ensure accuracy and reliability of financial reports; updating the monitoring plan; managing, monitoring and updating the project risks; identifying new risks and alerting the Project Board to consider and decide on possible actions; managing issues and requests for change (including maintaining an Issues Log); and preparing the Project Quarterly Progress Report, Annual Report and Final Report for submission to the Project Board. The PM will be supported by a **Project Administration and Operations Support Team** and a **Technical Advisory Team (TAT)**, in carrying out his/her function.

**Programme Assurance**

**UNDP-**

**Programme Unit**

**Technical Advisory Team (TAT)-**

**(SSR, Criminal Justice & Police, CIP)**

**Programme Manager**

**Supplier**

**UNDP**

**Project Board**

**Senior Beneficiary**

**Office of the National Security Advisor and corresponding GoI Institutions**

**Co -Chairs**

**UNDP and GoI implementing partners**

**Project Administration & Operations Support**

**Image 5: Project Organization Structure**

# Legal Context

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date).   All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

# Risk Management

**UNDP (DIM)**

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][[23]](#footnote-23) [UNDP funds received pursuant to the Project Document][[24]](#footnote-24) 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/sc/committees/1267/aq_sanctions_list.shtml>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
   1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
      1. 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;
      2. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
   2. 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 the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
   3. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
   4. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a)UNDP Policy on Fraud and other Corrupt Practices and (b)UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
   5. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants’, subcontractors’ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
   6. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

* 1. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party’s, subcontractor’s or sub-recipient’s obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

* 1. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
  2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
  3. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

**Annex 3: Risks Analysis**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **#** | **Description** | **Date Identified** | **Type** | **Impact &**  **Probability**  scale from 1 (low) to 5 (high) | **Countermeasures / Management response** | **Owner** |
|  | Highly volatile security conditions prevail and, travel outside Baghdad is restricted due to highly volatile security conditions, delaying some project activity implementation. | September 2018 | Security | *Probability-1*  *Impact – 3* | * UNDP project team and the security team will closely monitor changes in the security environment to be able to foresee changes as best as possible and decide on how to adjust activities as appropriate. * UNDP will keep the donors informed throughout implementation. | Programme Manager |
|  | Socio-political changes, including the Post - Parliamentary Elections, and tensions between the Federal and Regional Governments may negatively impact the achievement of outputs and/or activity results. | September 2018 | Socio-political | *Probability 3*  *Impact 3* | * UNDP project team continue to monitor the political context regularly and review project/ activity plans and decide on how to adjust activities where appropriate. * The Project Board will be responsible for assessing and deciding on substantive changes (such as project principles, strategy, outputs and activity results). | Programme Manager |
|  | Coordination challenges between, UNDP and other development partners, as well as UNDP and the key Government Partners. Specifically, insufficient development partner harmonization that will result in duplication of actions. | September 2018 | Institutional/ Strategic | *Probability 3*  *Impact 3* | * UNDP will continue to play a lead role in coordinating among the relevant development partners, and other stakeholders. * Hold frequent coordination meetings with respect to specific actions. | Programme Manager |
|  | Difficulty in identifying highly qualified legal and/or technical consultants and/or service providers (organizers) on specific areas of development within the country. | September 2018 | Operational | *Probability 2*  *Impact 3* | * Ensure that recruitment processes commence well before the start of relevant actions, and procurement notices are disseminated extensively. * Secure international experts and remote assistance, as required. * Rely on the UNDP Rosters which enable quick deployment of highly qualified Technical Experts, with expertise relevant and required for Iraq. * Country Office vendors database expended to include new/additional vendors. * Long Term Agreements (LTA) in place recurring procurement priorities with multiple LTA vendors. | Operations Unit |
|  | Being unable to attract and retain high calibre national and international staff resulting in high staff turn-over and protracted delays in staff recruitments cause delays to project implementation. | September 2018 | Operational | *Probability-2*  *Impact-3* | * Competitive remuneration and overall incentive packages are in place to attract high calibre national and international staff. * Established human resources procedures and process in place to ensure good working conditions for all UNDP staff. | Operations Unit |
|  | Failure to secure adequate budgetary support to sustain the project. | September 2018 | Financial | *Probability 3*  *Impact 4* | * Continuous resource mobilization to be carried out. The project strategy and results and resources framework will be reviewed and revised accordingly. | Programme Manager |
|  | Increased internal workload on a day-to-day basis of the officials of the Government of Iraq, affects their capacity to engage in delivery of project outputs/activity results. | September 2018 | Institutional | *Probability 3*  *Impact 2* | * Frequent engagement and consultations with the Senior Government Officials to secure endorsement and commitment to ensure officials are supported to engage in the capacity development initiatives. * Identification of focal points within the relevant Institutions. | Programme Manager |
|  | The project does not adequately reach gender mainstreaming targets, mainly due to lack of interest in actions focused on increasing women’s empowerment. | September 2018 | Socio-political | *Probability 4*  *Impact 4* | * Prioritize actions aimed at gender mainstreaming in the implementation of the project. * Collaborate with relevant UN agencies and other partners (such as CSOs) to address challenges. | Programme Manager |

1. While the Project Start date 1 January 2019, It should be noted that agreements with some donor contributions to the project may follow after the Project Start Date subject specific donor consultations/ negotiations. [↑](#footnote-ref-1)
2. It is estimated that there are over 50 Shia PMF 'brigades' in Iraq with an estimated 60,000 -140,000 fighters. (UNAMI Joint Analysis Unit, May 2017). According to unverified government sources the total number of PMF fighters is approximately 175,000 or 58 PMF 'brigades'/ battalions (September 2016). They function through 8 operational centers including in Baghdad, Diyala, Ninewa and Sala-Al-Din. There is an increasing number of Sunni and Christian fighters enrolled to aligned PMF 'brigades'. Hence not all PMF fighters and 'brigades' share the same ideologies. Similarly Sunni tribal 'brigades' such as the Hashd al-Ashaari and Hashd al-Watani (Also known as Ninewa Guards) work collaboratively with the Shia PMF in many areas. [↑](#footnote-ref-2)
3. Estimated figures: Iraqi Army (Ground Force) 120,000; Counter Terrorism Service 18,000; Federal Police 21,000; Police 210,000 (UNAMI Joint Analysis Unit, May 2017). [↑](#footnote-ref-3)
4. Institutions: ONSA; Ministries of Interior, Defense and Justice; Counter Terrorism Services; National Security Services; National Intelligence Services; Popular Mobilization Commission; Higher Judicial Council; Integrity Committee; Federal Supreme Audit Board; and the Committee of Representatives including Parliamentary Security and Defense Committee. [↑](#footnote-ref-4)
5. Systems: National Security Architecture; National Security Legislation; Democratic / Institutional Oversight and Accountability; Critical Infrastructure Protection; Criminal Justice and Law Enforcement; Intelligence Community; and Defense and Internal Security Strategy. [↑](#footnote-ref-5)
6. The MoI Minister endorsed the Local Police Service Road Map and, its corresponding implementation plan in May and August 2018 respectively. [↑](#footnote-ref-6)
7. Work is in progress - the endorsement of the SoP final iteration by the MoI is expected in December 2018 latest. [↑](#footnote-ref-7)
8. The Parliament endorsed the SDC bylaws in February 2018. [↑](#footnote-ref-8)
9. http://iq.one.un.org/Facts-and-Figures [↑](#footnote-ref-9)
10. Government of Iraq's National Security Strategy (March 2016) [↑](#footnote-ref-10)
11. UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data and, avoid acronyms so that external audience clearly understand the results of the project. [↑](#footnote-ref-11)
12. *As required by the UNDP Project Document template, the Outcome statement applied here is from the UNDP Country Programme for 2016-2020. Agreed to also develop a Project Outcome and indicator (which would contribute to the Country Programme Outcome).*  [↑](#footnote-ref-12)
13. *As required by the UNDP Project Document template, the Outcome indicator applied here is from the UNDP Country Programme for 2016-2020.* [↑](#footnote-ref-13)
14. It is recommended that projects use output indicators from the Strategic Plan IRRF where relevant in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant. [↑](#footnote-ref-14)
15. Note: with specific focus on helping the Parliamentary Security and Defense Committee (SDC) and civil society to play an effective role in this sphere. [↑](#footnote-ref-15)
16. The objective is to focus on the Executive, Legislature and Judiciary in providing this support. When monitoring, the result will need to be monitored against each entity and the type of training provided. [↑](#footnote-ref-16)
17. Implementation, to be defined as applicable to this Project and indicator. [↑](#footnote-ref-17)
18. Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32 [↑](#footnote-ref-18)
19. Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years. [↑](#footnote-ref-19)
20. Budget has been rounded off. Detailed budget available upon request, following finalization of the Project Document. [↑](#footnote-ref-20)
21. UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, which of UNDP shall apply. [↑](#footnote-ref-21)
22. The Combined Delivery Report is a mandatory official report generated by UNDP’s financial system which reflects the expenses and funds utilized on a Project. [↑](#footnote-ref-22)
23. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-23)
24. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-24)