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MEPP II COMMUNITY ACTION PROGRAM III (CAP III) INTERIM MONITORING IN BAGHDAD AND BAQUBA

FINAL REPORT

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List of Acronyms

ACV	Assisted Civilian Victim
AOTR	Agreement Officer's Technical Representative
API	Annual Implementation Plan
BOQ	Bill of Quantity
CAP III	Community Action Program, Phase III
CbPA	Community-based Action Plan
CERP	Commander's Emergency Response Program
CM	Community Mobilizer
CoAg	Cooperative Agreement
COTR	Contracting Officer's Technical Representative
DC	District Council (Qada/district)
DGO	Democracy and Governance Office
DQA	Data Quality Assessment
ePRT	Embedded Provincial Reconstruction Team
EU	Engineering Unit
GOI	Government of Iraq
HQ	Headquarters
IBTCI	International Business & Technical Consultants, Inc.
iCAG	issue specific Community Action Group
IRD	International Relief and Development
LC	Local Council (same as Neighborhood Council (NC))
LG	Local Government
M&E	Monitoring and Evaluation
MCI	Ministerial Capital Investment (budget)
MEPP II	Monitoring and Evaluation Performance Program, Phase II
NC	Neighborhood Council (Nahia/sub-district)
PC	Provincial Council
PCD	Provincial Capital Development (budget)
PDP	Provincial Development Plan
PDT	Performance Data Table
PERFORM	Performance Evaluation and Reporting for Results Management
PMP	Performance Management Plan
PRT	Provincial Reconstruction Team
QRF	Quick Reaction Force
SOW	Scope of Work
USAID	United States Agency for International Development
USG	United States Government

EXECUTIVE SUMMARY

This report presents the findings and recommendations of an interim monitoring of the Community Action Program, Phase III (CAP III) implemented by International Relief and Development (IRD) in Baghdad and Baquba. The purpose of the monitoring is to analyze the progress made in Year 1 (Y1) in activities under the following objectives:

Objective 1. Improved capacity of communities to better identify their needs, articulate their role, and mobilize resources

Objective 2. Improved capacity of district and sub-district councils to meet the articulated needs of the community and mobilize resources

Objective 3. Increased assistance to civilian victims of conflict.

The SOW required the study to answer a variety of questions related to: the status of IRD's activities in Baghdad and Baquba; the processes IRD is following to engage the community and local government (LG); how IRD is monitoring the program; how IRD is interacting with Embedded Provincial Reconstruction Teams (ePRTs); how IRD is assisting victims of conflict; and what contributions have been secured from the local communities, Local Governments (LGs) and Government of Iraq (GOI) for projects. The specific areas of focus under each question were negotiated in a series of meetings with DGO staff.

Findings

The status of IRD activities in Baghdad and Baqubah: IRD has met many of its Y1 targets. 120 Community Action Groups (CAGs) have been formed (115 in Baghdad and 5 in Baquba) (Y1 Target 115) and the program is now in the process of forming up to 15 new issue-specific iCAGs. 884 CAG members from 103 CAGs have completed Community-based Planning Action (CbPA) workshops (Y1 Targets 240 CAG members and 45 CAGs). IRD has met its Y1 training targets for Local Governments (LGs). 586 LG members (Y1 Target 210) representing 135 LGs have received core training. 123 LGs have "completed" core training (50%+ of members have received core training) (Y1 Target 70).

The program has fallen short of its Y1 target for completed CAP III projects, having completed only 13 projects (Y1 Target 140). This was due to delays caused by: (1) the need to reconstitute CAGs so that each CAG's membership is drawn from one of the officially recognized neighborhoods in Baghdad; and, (2) difficulties in getting projects through the GOI approvals process. As the above paragraph illustrates, the first of these two causes was dealt with by IRD in Y1. IRD has initiated several actions to speed-up the GOI approvals process and in late-November was implementing ca.25 projects per week. As a result, Y1's shortfall is being redressed in Q1 of Y2 and the program is confident it will meet or exceed its Length of Program (LOP) completed projects target. As of the beginning December 1, 2009 IRD had implemented (tendered, contracted and completed) 131 CAP III projects. Another 73 projects had been approved and 151 identified.

IRD has fallen short of its Y1 target for the number of civilian victims of conflict receiving assistance. 79 civilian victims have received assistance (Y1 Target 108). This shortfall should be redressed in Y2 as IRD identifies and assists civilian victims in Baquba.

Since IRD revised its Cooperative Agreement (CoAg) to include the value of contributed land in its cost-share the program has achieved its Y1 targets for community, LG and GOI cost-share contributions.

The processes IRD uses to engage communities and local governments: IRD has reconstituted its CAGs so that their geographic areas are consistent with Baghdad's 121 officially recognized neighborhoods. In each neighborhood the Nahia Council (NC) is approached by IRD's Community Mobilizers (CMs) and asked to appoint two CAG members from its membership. A town-hall meeting is then organized by the NC, at which the program is introduced to the community and the remaining 9-17 CAG members appointed. CAG members undertake a three-day CbPA to assess the needs of their communities and come up with a Community Work Plan (CWP) that lists a number of prioritized community projects. Several projects are submitted to IRD's Program Identification Committee (PIC) for formal identification. Projects are then worked into proposals by CAGs and IRD personnel, who finalize the Bills of Quantity (BOQs) and obtain approvals and cost-share contributions from community, LG and GOI sources. IRD's CAG Training Department schedules training workshops for CAG members at two locations in Baghdad. CAG members are asked to attend four workshops covering different topics.

IRD CMs approach the NCs to introduce the program and seek their assistance in creating CAGs. NC members are invited to attend the CbPA workshops and asked to support proposed projects by submitting them to the District Councils with requests that they seek project approvals and cost-share contributions from the GOI. NC members receive core training and are in the process of receiving intermediate training by IRD's LG Trainers.

IRD's monitoring of their program: IRD's M&E Department checks the information presented in proposals before they go to their internal identification and approval committees. M&E does not perform regular site visits to monitor work progress but relies on CM and IRD Engineer site visit reports to determine the progress of projects. Once a contractor has finished work on a site M&E independently visits the site to confirm work is completed to the BOQ's specifications and verify that contributions have been made. It then compiles a project evaluation that is reviewed by IRD before the project is signed-off as completed and final payment made to the contractor.

M&E attends and evaluates all CbPA workshops and CAG Trainings. They do not attend LG trainings, however, the LG Training Department does have its own M&E Officer who reports directly to the Director of the LG Training Department.

A new QA/QC Department has been established to verify compliance with USAID regulations and requirements. The new QA/QC Department has not clarified what its responsibilities and tasks are and has not completed any work other than to review a number of randomly selected BOQs for compliance with USAID requirements.

IRD's interaction with ePRTs: IRD sends weekly reports and Project Status Sheets to the PRTs and ePRTs in their area of operations. IRD also timely responds to requests for information and meets intermittently with PRT and ePRT reps to clarify areas of confusion regarding CAP III's purpose, scope of work and processes.

Assistance to civilian victims of conflict: IRD receives the majority of its Assisted Civilian Victims (ACV) through referrals by the CAGs. Some referrals are made by LGs, PRT/ePRTs and the US military. Some victims contact the program directly through its hotline or email address. ACV considers applicants for one of three types of assistance: direct assistance (e.g., medical operation, device or treatment); income generation assistance to establish the victim in a business; or, reconstruction of damaged or destroyed houses and buildings.

The level of GOI commitment and contributions to project support: The level of GOI commitment to project support involves the granting of contributions and approvals. The granting of timely approvals has been problematic. This has caused delays in project implementation. IRD is now addressing this problem by hiring an Approvals Manager to follow-

up on approval requests with the relevant GOI authorities and direct approaches by IRDs CMs to GOI officials. IRD is also increasing advocacy training for CAG and LG members. CAP III came into operation too late for IRD to submit a list of community-based projects to the GOI in time to be considered for funding through the 2010 Provincial Capital Development (PCD) and Ministerial Capital Investment (MCI) budgets.

Recommendations

- IRD/USAID should revise Sub-IR 9.2.2 indicator targets so that they take into account the limited authority CAGs and LGs have to access GOI funding sources and provide input into Provincial Development Plans (PDPs) and the Provincial Capital Development (PCD) and Ministerial Capital Investment (MCI) budgets. IRD should consider employing a Funding Manager to determine realistic new LOP targets under Sub-IR 9.2.2. The Funding Manager should also ensure that joint projects by CAGs and NCs are submitted through the DCs in time to be considered in the 2011 PDPs, and PCD and MCI budget cycles. This effort should be coordinated with the LGP III and Tatweer programs.
- IRD should formally revise its reported YI scores for indicators 9.2.1.1, 9.2.1.2 and 9.2.2.4 to reflect the value of contributed land and determine how it is going to measure indicators 9.3.2.4 (Public Outreach) and 9.3.2.5 (Advocacy) in Y2.
- IRD should consider training CMs in project management, advocacy and other skills related to the performance of their work.
- IRD's M&E department should perform site visits to a number of randomly selected project sites to verify the progress data being reported in CMs' and Engineers' site visit reports. The LG Training Department's M&E Officer should be moved over to the M&E Department and required to report directly through the M&E Department Manager to the COP.
- IRD should clearly delineate the responsibilities and tasks of the new QA/QC Department and differentiate them from those of M&E, CM, Engineering and Tendering.
- IRD should agree with other CAP III implementing partners a uniform way to measure the number of direct and indirect Marla beneficiaries by program activity and project type.
- This report's findings should be verified by fieldwork that targets IRD's field staff and CAP III and Marla beneficiaries including CMs, Trainers (CAG and LG Trainers), ACV Officers, CAG members, NC members, CAP III project beneficiaries and ACVs. The fieldwork should also: perform site visits to a number of randomly selected completed CAP III and Marla assistance projects to verify what is reported in M&E's completed project evaluations; and, monitor the responsibilities and tasks performed by QA/QC and how this has changed the responsibilities and tasks performed by M&E, CM, Engineering and Tendering.

Conclusion

While IRD achieved or exceeded its Y1 targets in creating CAGs and training of CAG and LG members, it fell short of Y1 targets in CAP III project completion and the number of ACV's assisted. Difficulties in obtaining GOI approvals have caused delays in processing projects through to implementation and completion. This issue is now being addressed by IRD through various actions designed to support the passage of approvals through the appropriate provincial and ministerial authorities.

An area of continuing concern is the lack of clarity regarding the responsibilities and tasks of the new QA/QC Department, and how these will affect the responsibilities and tasks of other departments including M&E, CM, Engineering and Tendering.

I. INTRODUCTION and BACKGROUND

The primary objective of CAP III is to empower local councils and citizens to jointly participate in a more effective, responsive and transparent community development process that meets communities' articulated needs and begins to mobilize Iraqi resources to fulfill local government (LG) responsibilities. CAP III falls within USAID/Iraq's Mission Strategic Objective 9 "Effective Local Government Strengthened."

CAP I & II used Community Actions Groups (CAGs) as vehicles for the prioritization, implementation, and oversight of development projects. This left a relatively minor role to LGs whose capacity at that time was extremely limited. Through a targeted set of trainings and hands-on experience, CAP III partners are expected to support empowered local councils and engaged citizens jointly addressing community needs, thus strengthening the role and legitimacy of LGs throughout Iraq.

The CAP III project is based on the premise that local community needs are best met by ensuring the active partnership of all community groups: citizens, LG, and business and social leaders, in identifying priorities and designing interventions. CAP I and II focused on building the capacity of community action groups (CAGs) to fill the gap of LG and exercise true grassroots democracy by implementing projects on their own where necessary and in partnership with LG where possible to meet community needs. CAP III will focus on furthering the evolution of community-centered development by building the capacity of LG to take on its proper governance role as the locus of community needs assessment, prioritization, project design, funding and implementation.

CAP III's three program objectives are:

1. ***Improved capacity of communities to better identify their needs, articulate their role, and mobilize resources***
2. ***Improved capacity of district and sub-district councils to meet the articulated needs of the community and mobilize resources; and***
3. ***Increased assistance to civilian victims of conflict.***

CAP III partners are expected to deliver the program's objectives by providing high-quality technical assistance, training, and targeted funding with both CAGs and LG. By doing so successfully, CAP III is bringing much needed local development to Iraq's citizenry.

This monitoring study focuses on the program's objectives. The assessment is specifically concerned with the progress IRD has made towards meeting its Year 1 (Y1) program goals under these three objectives and the management processes it is applying to deliver the program results.

II. PURPOSE OF THIS STUDY

The purpose of this report is to present the findings and recommendations of an interim monitoring of the CAP III program implemented by IRD in Baghdad and Baquba. The monitoring study analyzed the progress made in activities under the following objectives:

1. ***Improved capacity of communities to better identify their needs, articulate their role, and mobilize resources***
2. ***Improved capacity of district and sub-district councils to meet the articulated needs of the community and mobilize resources; and***
3. ***Increased assistance to civilian victims of conflict.***

The SOW required the study to answer a variety of questions related to: the status of IRD's activities in Baghdad and Baquba; the processes IRD is following to engage the community and local government (LG); how IRD is monitoring the program; how IRD is interacting with Embedded Provincial Reconstruction Teams (ePRTs); how IRD is assisting victims of conflict; and what contributions have been secured from the GOI for projects. The specific areas of focus under each question were negotiated in a series of meetings with DGO staff.

III. MONITORING METHODS

Fieldwork

The monitoring involved collecting data from the following sources: 1) desk review of USAID and IRD documents and reports, and 2) key informant interviews (KIIs). In order to preserve the proximity to the subject required in a monitoring exercise, all KIIs were performed in the field at the interviewees' places of work. IBTCI would like to acknowledge IRD's outstanding assistance and cooperation in the scheduling of KIIs, arranging KII venues, and organizing interviewee attendance.

Desk Review of USAID and IRD Documents and Reports: MEPP II staff requested and reviewed all relevant documents and reports from USAID and IRD. A list of the documents reviewed for this study is included in this report as Annex II.

Key Informant Interviews (KIIs): KIIs were semi-structured and based on questions developed for the SOW in a series of meetings with DGO. KIIs took place between November 10th and 12th, 2009. IBTCI expatriate staff conducted nine KIIs at IRD's compound in Karada, Baghdad with IRD's expatriate and local national managers. The Interview Schedule is included in this report as Annex III.

Data Analysis

Data reduction and synthesis: IBTCI compressed the analysis process into three steps.

1. MEPP II staff prepared notes from the taped KIIs. These notes reduced responses for each question into summaries.

2. Staff brainstormed to review and transform the data systematically so that it answered the SOW's research questions.
3. Staff synthesized the answers with the relevant desk research to arrive at the report's findings and recommendations.

IV. DEFINITIONS

The following are the definitions IRD uses to describe the five stages of CAP III project development. The tendering stage corresponds with "implemented" projects as described by USAID.

Identified: The project concept has been reviewed and identified as a CAP III project by IRD's Project Identification Committee (PIC). Following a Community-based Planning Action (CbPA) performed by a CAG with assistance from IRD's CMs and Engineers, concept projects containing preliminary designs and cost estimates are submitted to IRD's Project Identification Committee (PIC). The PIC reviews concept projects to decide whether to formally identify them as CAP III projects.

Approved: The project has been approved by IRD's Project Approval Committee (PAC). Once a CAP III project is identified it is worked-up by IRD staff and CAG into a full proposal containing a comprehensive Bill of Quantity (BOQ), written GOI approvals, and cost-share commitments from the community, LG and GOI. The written approvals must include a letter of project support from the relevant GOI authority, a letter documenting the required cost-share (25% is the average target), and a GOI stamp on the final BOQ so the authority cannot later claim it was expecting something different from what is stipulated in the BOQ. Once all of these things have been obtained the proposal is presented to the PAC that reviews them and decides whether or not to approve the project and send it to tendering.

Tendered (Implemented): A contractor has been selected and the project is passed to contracting or to USAID for further approval. Projects are bid via IRD's website. After bids are submitted, CAP III convenes a Tendering Review Group (TRG) to deliberate on the choice of a winning contractor. The result is a tentative award. USAID requires approval for projects where the contractor has been awarded combined work in excess of 100K over the life of CAP's three program iterations or if there is an individual item of equipment worth >\$5K.

Contracted: A contract with the contractor is signed and the work site handed over for work to begin. If USAID approval is not required, IRD proceeds within several days to signing a contract with the winning contractor who then has a limited number of days to start the work. Work formally starts when the site is handed over by an IRD CM to the contractor. If USAID approval is required IRD waits for the approval and then proceeds to signing a contract with the winning contractor.

Completed: The work is finished, verified by M&E, signed off as completed by the beneficiary, and final payment made to the contractor.

V. FINDINGS

This section describes the study's findings in the four main areas of inquiry listed in the SOW. It also addresses two other areas that are not specifically listed but that this monitoring considers important in understanding how IRD is implementing its program in Baghdad and Baquba. The

first of these two areas concerns assistance to civilian victims of violence and how this program is being administered by IRD. The second area addresses the new QA/QC Department: How its responsibilities and tasks are understood; and, how these might affect the responsibilities and tasks of other departments within the organization.

1. Program Status, Progress Towards Targets, and Reasons for Delays

Program Status:

IRD has successfully created 113 CAGs. The membership of each CAG is drawn from within one of the officially recognized neighborhoods in Baghdad and Baquba. CAG members and LG members have received the training required by Y1 targets and have started to receive the intermediate training required in Y2. Since a modification to IRD's Cooperative Agreement (CoAg) was made -- allowing for the inclusion of the value of contributed land in its cost-share analysis -- the program has met and exceeded its Y1 cost-share targets.

The program has not met its Y1 targets in terms of the number of CAP III projects completed or the number of assisted civilian victims of violence. The CAP III project shortfall has been caused by delays resulting from the time it has taken to recreate the Baghdad CAGs, conduct community-based Planning Action (CbPA) workshops, and obtain the GOI approvals required for the PAC to approve projects through to implementation. IRD has taken steps to address these shortfalls (described below) and is confident it will meet its Length of Project (LOP) targets.

Progress Towards Y1 Targets:

- 120 CAGs (115 in Baghdad, 5 in Baquba) (Y1 Target 113) have been formed and the program is now in the process of forming up to 15 new issue-specific iCAGs.
- 884 CAG members from 103 CAGs have completed Community-based Planning Action (CbPA) workshops (Y1 Targets 240 CAG members and 45 CAGs).
- 586 LG members (Y1 Target 210) representing 135 LGs have received core training. 123 LGs have "completed" core training (50%+ of a LG's members have received core training) (Y1 Target 70).
- IRD completed 13 CAP III projects (Y1 Target 140).
- 79 ACVs have received assistance (Y1 Target 108).
- \$865,971 of community cost-share contributions achieved (Y1 target \$296,080).
- \$5,308,190 of LG cost-share contributions achieved (Y1 target \$1,628,441).
- \$3,014,070 of GOI cost-share contributions achieved (Y1 target \$1,406,381).

Reasons for Delays and What IRD has Done/is Doing to Address Them:

IRD was unable to take advantage of legacy CAGs from CAPs I and II. CAP III required IRD to recreate all its Baghdad CAGs from scratch so that they represented the officially recognized neighborhoods delineated by MNFI in 2004 and 2005. Each neighborhood contained an appointed Nahia Council (NC) and it was felt that reconstituting CAGs along neighborhood lines would facilitate better integration of community-based initiatives with their respective NCs. Once CAGs were created they then had to undertake CbPA workshops to perform community needs assessments and develop Community Work Plans (CWPs) with lists of prioritized

projects. These projects then had to be worked into CAP III project concepts that were then submitted to IRD for formal identification by the PIC. Once identified, the CAGs and IRD's Community Mobilizers (CMs), Engineers and Quantity Surveyors had to develop Bills of Quantity (BOQs), secure NC and District Council (DC) support, obtain the needed permits and approvals from provincial and ministerial authorities, and secure cost-share commitments in writing from the community, LG and GOI. Only once all these things had been obtained could projects be submitted to the PAC for approval. This process is lengthy. Moreover, it experienced delays due to provincial and ministerial offices' reluctance to sign-off approval on projects that were not part of their Provincial Development Plans or budgeted for in their Provincial Capital Development (PCD) or Ministerial Capital Investment (MCI) budgets. Also, NCs lacked legitimacy with the District Councils (DCs), ministries and provincial authorities, having been appointed by MNFI and not elected in public elections. Also, there is no formal/legal requirement for DCs, provincial or ministerial authorities to accept community-based initiatives submitted for their consideration, such as the CAP III projects being proposed by the NCs. And even when they are prepared to accept community-based project proposals, the fact that CAP III operations began too late for the current project proposals to be considered in the 2010 Provincial Development Plans (PDPs) or PCD and MCI budget cycles means that there is little incentive for ministerial and provincial authorities to consider their requests for approvals and cost-share contributions.

IRD has initiated several actions to speed-up the GOI approvals process. These include hiring a Approvals Manager to help steward proposals through the approvals process with the ministries and provincial authorities. IRD has also increased its advocacy training for CAG and NC members, and approached officials in the Amanat, Provincial Council (PC) and ministries to garner their support and assistance in facilitating the approval of CAP III projects. These initiatives have been meeting with some success. As a result, by late-November IRD was implementing (tendered) ca.25 projects per week and was confident of meeting or exceeding its Length of Program (LOP) project completion targets. As of the beginning of December 2009 IRD had implemented (tendered, contracted and completed) 131 CAP III projects, approved a further 73, and identified another 151.

The low number of assisted civilian victims of violence has been due to the fact that this activity has been in operation in Baghdad's urban areas for several years now and most of the civilian victims of Multinational Forces (MNFI) and Iraqi Security Forces (ISF) violence from those areas have already been identified and assisted by the program in CAP I and CAP II. Over the last 12 months there have been relatively few civilian victims of MNFI and ISF violence in Baghdad's urban areas and, as a result, only a small number of victims are being identified. As IRD moves into the rural qada (districts) of Baghdad and into Baquba it is seeing an increase of applications for assistance and believes that these new areas of operation will identify sufficient numbers of assisted civilian victims (ACV's) for the program to meet its Length of Program (LOP) target by the end of Year 2 (Y2).

2. The process IRD is following to engage the community and local government

The Engagement of Local Communities:

Selection of Target Communities: IRD has divided the 16 districts of Baghdad and Baquba into 121 neighborhoods, each of which constitutes a collection of several mahallah. The geographic delineation of each neighborhood is based on the Amanat classifications determined by MNFI in

2004 and 2005. Prior to CAP III several CAGs may have represented a neighborhood but now just one CAG represents each neighborhood.

IRD is currently in the process of determining the issues that will be addressed by up to 15 issue-specific CAGs (iCAGs). Several issue-areas related to health, education and youth are currently being considered.

Identification of New CAG Members: In each target community IRD CMs approach the NC to introduce the program. At that time the NC is asked to nominate two of its members to be CAG members and to assist with the organization and promotion of a town-hall meeting for the appointment of 9-17 other CAG's members. The NC is asked to organize the time and venue and to invite 30-100 members of the community -- though any community member is welcome to attend and participate. At the meeting a CM introduces the program to attendees and asks them to nominate persons to be CAG members. Discussion ensues and then the meeting votes to approve/disapprove the nominees. Approved members are placed on a list compiled by the CM. The list is then stamped and signed by the CM and a representative of the NC.

Capacity Building and Training of IRD Community Mobilizers: CMs received training in the CbPA process by the program's former DCOP. No other training has been provided. The CM Manager stated that CMs are educated and selected because they have the sort of personality that enables them to work collaboratively with a wide range of persons. He stated that CMs should receive more training and that this had been asked for on several occasions. Project Management and advocacy were a couple of areas where he felt further training would be useful.

Training of CAGs: IRD took a demand-driven participatory approach to Phase 1 Core Training of CAG members. CAG members were surveyed to determine the skills and areas in which they were most interested in receiving training. 24 training areas were identified and trainings developed to address each one. IRD then circulated a catalog listing the 24 training areas and asking CAG members to each select four that they would like to attend. Once the catalogs were collected, IRD's CAG Training Manager developed a schedule of 1 or 2-day workshops. Two halls in Baghdad were hired for the trainings. The courses were open to participants from LG, GOI and elsewhere.

For Phase 2 (Advanced CAG Training), IRD is using the same demand-driven process to develop a catalog of 20 workshops that will provide more advanced training. Some of the courses will be conducted in conjunction with other international NGOs operating in the area, e.g., US Institute of Peace. The training will also provide courses on how to establish and administer an NGO and how to run for office and represent a constituency. These courses reflect the fact that several Phase 1 trainees appeared on the ballot in this year's provincial elections and several others have created local NGOs.

IRD will also prepare specific training courses for members of the iCAGs currently under development.

Selection and Training of Trainers: For Phase 1 IRD did not perform a training of trainers. IRD advertised at local universities and colleges for qualified people interested in becoming trainers. They received 60 applications and assessed the applicants' abilities. Through this process eleven candidates were selected to become trainers. These trainers have been evaluated over

the course of Phase 1 and will be supplemented in Phase 2. Trainers will receive training for Phase 2 in February/March 2010.

How Often CAGs Meet: The frequency of CAG meetings varies widely depending on the motivation of CAG members and the level of activity of the CAG. CAGs engaged in actual projects may meet as often as two to three times a week. Less active CAGs may meet less than once per week. In some CAGs the bulk of the work will be performed by two or three dedicated members, while in others the work will be more equitably spread across the membership.

Local Project Selection: Following the appointment of a CAG's members IRD's CMs organize a three-day CbPA workshop at which the community's problems and possible solutions are discussed. NC members and officials from the Amanat, Beladiyah and various GOI offices (e.g., Ministry of Health and Ministry of Education) are invited to attend and participate in the CbPA. IRD's CMs use an 8-step process to assist the workshop to put together a Community Work Plan (CWP) that contains a needs assessment. Once the CWP is completed the CAG formulates a number of conceptual projects that contain preliminary designs and cost estimates and sends them to IRD's PIC to be considered for identification as CAP III projects.

Local Project Approval: If the PIC identifies a project concept it is then sent to the CM and Engineering Department to develop a BOQ and work with the CAG and NC to obtain the needed approvals and cost-share contributions. The NC stamps the BOQ and project proposal and sends it to the DC. CMs and CAGs advocate for the DC's support. The DC then stamps the proposal and prepares a letter of interest to the relevant GOI authorities (Amanat, PC, Government Ministries) requesting the required approvals and cost-share contributions. It is at this point that projects have encountered the greatest obstacles in the approval process. There are several reasons for this:

NC/DCs have no ability to approve or fund their own capital projects and no formal role in the capital budget planning process that is undertaken at the ministerial (MCI) and PC (PCD) levels.

Proposed projects may be approved by PCs however they are rarely funded. Projects covered by the PCD are only those included in the PDP. There is little if any discretionary money available for community-based initiatives. CAP III's project pipeline did not allow for current projects to be submitted in time for inclusion in the 2010 PDP and PCD budget planning cycles.

Proposed projects may be approved and funded by federal ministries, whether or not they are supported by the PC or even by the NC/DCs. However, funds are allocated for specific purposes in the MCI and what discretionary funds may have been available for this year have been spent as ministries have identified capital needs in excess of their resources. CAP III's project pipeline did not allow for current projects to be submitted in time for inclusion in the 2010 MCI planning cycle.

In order to overcome these obstacles IRD has obtained approval to have land included in its GOI cost-share analysis and appointed an Approvals Manager to its Office of Compliance and Coordination. The Approvals Manager will work with the CMs and CAGs to advocate for approvals and contributions by the various authorities. Some CAGs are very active in this process while others (ca.1/3) have done very little and have relied on the CMs to perform advocacy. It is hoped the Approvals Manager may be able to coax greater activity out of the more passive CAGs.

Once all approvals and contributions have been obtained, CMs compile a project proposal with final BOQ for consideration by IRD's PAC. The proposal will also contain written cost share commitments from the community, LG and GOI, and all the needed approvals. The PAC reviews the proposal and decides whether to approve the project. If approved, the project either proceeds to tendering or to USAID for further review and approval.

Projects Meet Community Needs: Since project concepts are derived and prioritized by the community through the CbPA process it is assumed that they meet the community's needs. This requires verification by fieldwork that targets, among others, community members and project beneficiaries.

The Engagement of Local Communities:

LG Engagement Process: IRD's CMs approach NCs to introduce the program and request NCs' active support in establishing CAGs in their communities. NCs are asked to provide two CAG members and to organize the meeting at which the remaining members are appointed. They are also asked to directly invite between 30 and 100 members of the local community to attend the CAG formation meeting. Through their involvement in CAG formation NCs are highly integrated into the whole CbPA process and are usually quite happy to stamp the proposed projects that come before them and then send them up to the DC. Once at the DC, most of the advocacy for projects is conducted by the CMs and CAGs. NCs have taken a minimal role in advocating for projects.

LG Knowledge about the Program: Due to the LG engagement process described above it is assumed that LG members have a good knowledge of the program and its activities. Program fidelity requires verification by fieldwork that targets LG members.

Training of Local Government Members: IRD has completed the core training of NCs and began Intermediate Training in Karada at the end of August. The Intermediate Training curriculum is currently being revised to focus on the four key areas identified in the recent mini-RFA. The LG Manager indicated that this would not involve many changes to the existing program as the current Intermediate Training curriculum already focuses largely on those areas. IRD anticipates finishing Intermediate Training around the end of Y2 Q1. Training thereafter will involve two formats. The first will be a series of joint events (conferences/seminars) designed to integrate CAGs and LGs. The second will be to develop two CAP III technical advisory teams to provide LGs with advice on how to better represent their communities through obtaining approvals, sourcing project funding, and implementing projects. One team will focus on citizen input/output while the other will focus on project formation and advocacy.

Training of Trainers: Trainers will receive training in January 2010 on their technical advisory roles.

LG Support and the Extent of LG Participation in the Program: IRD has been very successful in securing contributions from NCs. Much of the contributions have come in the form of land, though labor, equipment and materials also contribute towards cost-share. NCs have generally been very willing to provide what support they can. They have stamped BOQs and sent proposals up to the DC for their support. Beyond these administrative tasks they have only rarely taken an active role in implementing or advocating for projects. DC's have also supported projects and sent them on to the relevant GOI authorities with letters requesting the required

approvals and cost-share contributions. Beyond submitting letters DC's rarely advocate for project approvals and cost-share contributions from the provincial or ministerial authorities.

Ensuring GOI Contribution:

The Level of LG Commitment to Project Support: NCs have stamped BOQs and contributed towards project cost-share in the form of land, labor, equipment and materials. They have also sent proposals up to the DC with requests for their support in obtaining GOI approvals and contributions. DCs send project proposals to the relevant GOI authorities with letters requesting the required approvals and GOI cost-share contributions.

The Process CAG Members and IRD Staff Use to Solicit LG Contributions: CAGs and IRD staff attempt to secure 25% of the project value in cost-share contributions from the NC. Once projects have been identified they are presented together with a written request for the NC's support and cost-share contribution. The NC is generally well aware of the project and proposal before the request is received as at least two of its members are also members of the CAG. Contributions can be in the form of

How the latest changes introduced by IRD in the solicitation process have affected LG commitment and contributions: Other than the ability to include land in cost-share contributions IRD has not introduced any late changes in the solicitation process designed to affect LG commitment and contributions. The inclusion of land has resulted in a huge increase in the value of LG contributions in Y1 from just over \$53,000 to over \$5,300,000, a 10,000% increase.

How Successful IRD has been in Securing LG Contributions: As reported above, since IRD's CoAg was modified to include the value of contributed land, IRD has been very successful in securing LG contributions.

The Process Local Councils Use to Secure Funding for Projects from the Provincial Councils and Ministries: Neither NCs nor DCs have the authority or ability to approve capital projects or to formally contribute to the PDP or participate in the PCD and MCI budget planning processes. Beyond stamping proposals and processing them on up to the relevant provincial and ministerial authorities with letters requesting the required approvals and cost-share contributions, NCs and DCs do not actively advocate for projects at the provincial and ministerial levels. IRD staff, supported by the more active CAG members, is primarily responsible for advocating for projects.

The Level of Interactions between NC Members and DC Members, PC Members, Ministries, and CAGs: NC members have frequent interaction with CAG members as all CAGs have at least two NC members among their membership. NCs and CAGs are increasingly coordinating training programs and collaborating on the design of projects. NC members have less interaction with DC Members though they do have the right to be present at DC meetings to represent the interests of their sub-districts. In some instances a NC member will have good relations with one or several prominent DC members and this will facilitate greater interaction. NCs have no real authority to interact with provincial or ministerial officials and hardly ever do so unless they have a personal connection that can be leveraged.

3. M&E

How IRD is Monitoring its Program in Baghdad and Baquba:

IRD employs eleven local M&E managers and staff. The entire team is based in Baghdad. Members travel to Baquba on an as-needed basis. The team checks the figures in initial concept proposals before they go before a PIC. They also check the BOQs, sources of contributions, and approvals before full proposals are sent to the PAC. The M&E Manager sits on the PIC and PAC as well as the Tender Review Group (TRG).

M&E staff does not perform regular site visits to monitor project progress. Instead they rely upon site visit reports by the CMs and Engineers who do perform regular (at least once a week) site visits while project work is in progress. The M&E Director expressed the belief that regular site visits to monitor progress would be a feature of the new QA/QC Department. Once work on a project is finished, M&E staff visits the site to verify that all work has been completed to BOQ specifications and that the community and GOI contributions have been made. Photos are taken and timesheets verified. The team then completes an inspection form and prepares a report that evaluates the entire project before the project can be signed-off as complete.

M&E attends and evaluates all CbPA workshops and CAG Trainings. A sample of training participants is surveyed three months after training to determine the effectiveness of the program and usefulness of the skills and information imparted.

The LG Department has its own dedicated M&E staffer who reports directly to the LG Director. He attends trainings and passes data to the M&E Department for inclusion in regular reports and the PDT.

Marla Projects: M&E checks that the victim contribution (e.g., victim has cleared the land or rented premises) has been made, verifies the quantity and quality of supplies/items, and that any equipment has been correctly installed. Photographs and copies of documents are used to make verifications.

Staff Performance: IRD's CAP III staff performance is not regularly monitored, though line managers do perform annual staff evaluations.

4. PRTs and ePRTs

How IRD is Interacting with ePRTs/PRTs and how their Input is Utilized in Program Implementation:

IRD sends detailed weekly reports and project status sheets to the PRTs and ePRTs in their areas of operation. Several meetings have recently taken place to explain the CAP III program to USAID reps and other members of the PRTs and ePRTs. High turnover of PRT and ePRT personnel often means that members are unfamiliar with the program, its purpose, and the processes it applies. Sometimes CAP III projects and processes have been conflated by PRT and ePRT members with the now closed-out CSP program. The recent meetings have been successful in resolving much of the confusion and securing program fidelity across the various US Government actors in the program's areas of operation. PRTs and ePRTs have no real input into how the program is implemented.

5. Assistance to Civilian Victims of Conflict

Victim Identification and Assistance Approval: Assisted Civilian Victim (ACV) Officers and CMs introduce the Marla program to CAGs and LGs. They describe who might be eligible to receive assistance and how to refer potential ACVs. The majority of ACVs are identified through referrals by CAGs. Some referrals come through LGs, ePRT/PRTs, and the US military. IRD maintains a hotline and email address that is checked each day. Sometimes victims contact the program directly through the hotline.

Once a referral or application is made, an ACV Officer performs an assessment based on a review of available documents, e.g., police reports, statements from the NC, CAG members or the referring CM, etc., and arranges a meeting with the applicant. The ACV Officer then prepares an Assessment Report that is sent to the PIC for consideration.

At the PIC meeting the M&E Manager provides his assessment of the documentation. The PIC then decides whether or not to accept the applicant as eligible to receive Marla assistance and, if so, the type of assistance. There are three types of assistance offered: direct assistance (e.g., medical operation, device or treatment); income generation assistance to establish the victim in a business; or, reconstruction of damaged or destroyed houses, buildings or infrastructure. Following acceptance by the PIC, the ACV Officers in collaboration with IRDs other departments, e.g., Engineering, develop full proposals and BOQs with the required approvals and submit them to the PAC for approval. Once Marla projects are approved they are processed in much the same way as CAP III projects. IRD's M&E Department performs a project completion visit or, in the case of income generation assistance, continues to monitor the project for another three to six months. Where issues are identified, AVC Officers work with the recipient to rectify them. Once rectified the assistance project is signed-off as completed.

6. QA/QC

The new QA/QC Department consists of a Manager and three engineers. Although established at the end of August, the department members were not hired until October. The new department is currently being integrated into IRD's CAP III system. As of mid-November they had begun to review BOQs for compliance with USAID requirements but had not yet performed any site visits, and the processes and schedules for such visits had not yet been worked out.

The QA/QC Manager reported that the department sees itself more as a "compliance department" (compliance with USAID regulations) than a QA/QC. He stated that the department would perform reviews of randomly selected BOQs for compliance with USAID requirements and advise the TRG accordingly. He did not believe it was the department's responsibility to review the BOQ for the quality, quantity and cost of materials and equipment, and the work specs stipulated. He stated QA/QC would conduct site inspections on a random sample of sites to verify the accuracy of the Engineer and CM site visit reports sent to M&E. He could not provide the percentage of sites they planned to inspect and stated that a site visit form had not yet been drafted. Marla reconstruction projects would be included in the sample but not income generation projects. The QA/QC Manager also stated that the Engineering Department would continue to test the quality of materials and workmanship. The Manager stated that it is the Engineers' and CMs' responsibility to monitor project progress and was M&E's responsibility to perform monitoring (though he could not be specific as to what that involved). QA/QC's responsibility was to provide a "double check". There was no suggestion that the responsibilities of each department should involve distinct tasks.

Training: QA/QC staff has received no training from CAP III though most worked for and received training on CSP¹.

VI. RECOMMENDATIONS

- IRD/USAID should revise Sub-IR 9.2.2 indicator targets so that they take into account the limited authority CAGs and LGs have to access GOI funding sources and provide input into PDPs and the PCD and MCI budget planning processes. To facilitate this, IRD should consider employing a Funding Manager to determine realistic new LOP targets under Sub-IR 9.2.2.
- The Funding Manager should also ensure that joint projects by CAGs and NCs are submitted through the DCs in time to be considered in the 2011 PDPs, and PCD and MCI budget cycles. This effort should be coordinated with the LGP III and Tatweer programs.
- IRD should formally revise its reported YI scores for indicators 9.2.1.1, 9.2.1.2 and 9.2.2.4 to reflect the value of contributed land.
- IRD should determine how it is going to measure indicators 9.3.2.4 (Public Outreach) and 9.3.2.5 (Advocacy) in Y2.
- IRD should consider training CMs in project management, advocacy and other skills related to the performance of their work.
- IRD's M&E department should perform site visits to a number of randomly selected project sites to verify the progress data being reported in CMs' and Engineers' site visit reports.
- The LG Training Department's M&E Officer should be moved over to the M&E Department and required to report directly through the M&E Department Manager to the COP.
- IRD should clearly delineate the responsibilities and tasks of the new QA/QC Department and differentiate them from those of M&E, CM, Engineering and Tendering.
- IRD should agree with other CAP III implementing partners a uniform way to measure the number of direct and indirect Marla beneficiaries by program activity and project type.
- This report's findings should be verified by fieldwork that targets IRD's field staff and CAP III and Marla beneficiaries including CMs, Trainers (CAG and LG Trainers), ACV Officers, CAG members, NC members, CAP III project beneficiaries and ACVs. The fieldwork should also: perform site visits to a number of randomly selected completed CAP III and Marla assistance projects to verify what is reported in M&E's completed project evaluations; and, monitor the responsibilities and tasks performed by QA/QC and how this has changed the responsibilities and tasks performed by M&E, CM, Engineering and Tendering.

VII. CONCLUSION

¹ The CSP program had great difficulty differentiating the responsibilities and tasks of M&E and QA/QC, especially in Baghdad.

While IRD achieved or exceeded its Y1 targets in creating CAGs and the training of CAG and LG members, it fell short of Y1 targets in CAP III project completion and the number of ACV's assisted. Difficulties in obtaining GOI approvals caused delays in processing projects through to implementation and completion. This issue is now being addressed by IRD through various actions designed to support the passage of approvals through the appropriate provincial and ministerial authorities.

An area of continuing concern is the lack of clarity regarding the responsibilities and tasks of the new QA/QC Department, and how these will affect the responsibilities and tasks of other departments including M&E, CM, Engineering and Tendering.

Annex I. Scope of Work for Interim Monitoring of IRD CAP III in Baghdad and Baquba, October 29, 2009

I. Background

CAP III is a USAID-supported program that is implemented by four implementing partners, namely, MercyCorps, IRD, CHF and ACDI/VOCA. The goal of CAP III is to empower local councils and citizens to jointly participate in a more effective, responsive and transparent community development process that meets articulated needs and begins to mobilize Iraqi resources to fulfill local government responsibilities. CAP I & II used Community Actions Groups (CAGs) as the vehicle for the prioritization, implementation, and oversight of development projects, leaving a relatively limited role to local government whose capacity at that time was extremely limited. Through a targeted set of trainings and rigorous hands-on experience gained through working with existing CAGs, CAP III partners are expected to support processes that create empowered local councils (LGs) and engaged citizens jointly addressing community needs, thus strengthening the role and the legitimacy of local governments throughout Iraq.

To accomplish this goal, CAP III focuses on the following objectives:

1. ***Improved capacity of communities to better identify their needs, articulate their role, and mobilize resources***
2. ***Improved capacity of district and sub-district councils to meet the articulated needs of the community and mobilize resources; and***
3. ***Increased assistance to civilian victims of conflict.***

II. Purpose

The purpose of this SOW is to conduct monitoring of the CAP III program implemented by IRD in Baghdad and Baquba. IBTCI shall analyze the progress made in the activities under all of the three objectives identified above.

1. More specifically, IBTCI should analyze the status of each of the IRD activities under each of these objectives by responding to the following questions:

- Are activities being conducted as per the identified timeframe? If there are delays, what are the reasons behind the delays?
- What is the progress towards annual and program targets?

2. What is the process IRD is following to engage the community and local government?

Community Engagement

- How are CAGs members identified?
- What training have CAGs received?
- How many meetings have they had as a group?

- What is the process for project selection and are the projects meeting community needs?
- How successful are CAGs in advocating for community needs?

Local Government Engagement

- How well do the local councils know the program?
- How supportive are local councils of the program?
- What is the process of LG engagement?
- What is the extent of LG participation in the program at sub-district, district and provincial level?
- What training has LG received so far?

Ensuring GOI Contribution

- What is the level of LG commitment to project support?
- What is the process to solicit LG contributions by both CAG members and IRD program staff?
- How have the latest changes introduced by IRD in the solicitation process affected LG commitment and contributions?
- How successful has IRD been in securing those contributions?
- What process are local councils are using to secure funding for the projects from provincial councils and relevant ministries? What is IRD's and CAGs' involvement in this process, if any? What is the intensity, frequency, or strength of interactions between local council members and members of district councils, provincial councils, ministries, and CAGs? How active is IRD staff in the process?

3. How is IRD monitoring their program in Baghdad and Baquba? This should include such issues as quality controls, frequency of site visits, channels of communication with local staff, professionalism of local staff and mentoring, etc.

4. How is IRD interacting with ePRTs and how is their input utilized in program implementation?

Methodology

The monitoring should include, but not be limited to:

1. A review of IRD documents and files including: CAP III project targets and tracking forms; internal IRD M&E and quality assurance policies and directives; internal IRD cost sharing policies and directives; completed (closed-out) CAP III project files; Marla tracking forms; internal IRD Marla policies and directives; and completed Marla assistance grants files.

2. A series of key informant interviews by IBTCI M&E Specialists with:

- IRD CAP III's national managers including but not limited to the COP, Admin. & Finance Director, and M&E Director
- IRD's local CAP III Project Managers
- CAG and LG Training Manager/s
- Key LN Managers (Office Director, M&E Manager)
- PRT and ePRT members responsible for interacting with CAP III, and
- Military Civil Affairs Officers responsible for interacting with CAP III.

3. Analysis of the data using data reduction techniques to answer the research questions.

VII. Reports

A full briefing and written draft report on findings and recommendations will be provided no later than November 30, 2009. The draft report will be in the following format:

1. One page summary of report findings and recommendations
2. Executive summary of no more than 3 pages.
3. Main body of the report findings and recommendations of not more than 20 pages.
4. The report will be formatted in accordance with USAID publication, "Constructing an Evaluation Report" dated April 14, 2006.

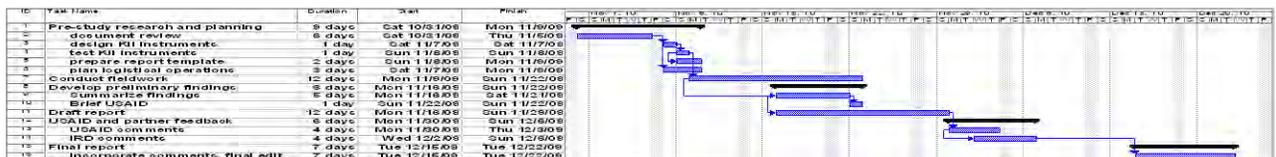
The final report will be provided to USAID no later than seven working days after receipt of comments from USAID on the draft report. It is anticipated that USAID's review of the draft may require up to two weeks, with comments to be returned to the team for final editing of the report.

VII. Deliverables

1. Mid-cycle progress update to USAID by Sunday, November 22nd. The MEPP II implementing partner is encouraged to provide additional updates as important findings come to light so that USAID/Iraq can take the appropriate measures;
2. Briefing to USAID upon issuance of draft report; and
3. Written Final Report with findings and recommendations as they pertain to the questions outlined above.

VI. Schedule and Logistics

Company	IBTCI
Current Date	10/26/2009
Title	Community Action Program III (CAP III) Interim Monitoring Report, Baghdad and Basra
Project Start	10/31/2009 8:00:00 AM
Project Finish	12/22/2009 5:00:00 PM



Annex II. List of Reviewed CAP III Documents

- IRD CAP III Annual Implementation Plan
- IRD CAP III Performance Management Plan
- Cooperative Agreement No. 267-A-00-08-00503-00 and modifications
- IRD CAP III Quarterly Reports
- IRD CAP III Weekly Reports and Project Status Sheets
- Project BOQs
- Project Proposals
- IRD CAP III CAG Training Catalog
- LG Training Materials
- Community Work Plans
- Community and GOI Contribution Forms
- Tender Review Summaries
- Project Preliminary Assessment Forms and Site Visit Reports
- Contractor Evaluation Forms
- Project Assessment Forms, Evaluation Reports and Files
- M&E CbPA Evaluations, CAG and LG Training Evaluations, Trainee Surveys

Annex III. Key Informant Interviews

Date & Time	Location	Participant	Comments
Nov 10, 09:00	IRD Karada	Ernest Leonardo	COP
Nov 10, 10:30	IRD Karada	Ammar Ali Hasan	M&E Manager
Nov 10 13:00	IRD Karada	Ramesh Navaladi	QA/QC Compliance Director
Nov 10 14:30	IRD Karada	Sara Reekoye	Admin. & Finance Director (Tendering)
Nov 11 09:30	IRD Karada	Jeremy Williammee	ACV and Reporting Director
Nov 11 11:00	IRD Karada	Scott Johnson	DCOP/LG Director
Nov 11 13:30	IRD Karada	Farooq Goriyoka	CAG Training Manager
Nov 12 11:00	IRD Karada	Faris M'Tasher	Community Mobilization Manager
Nov 12 13:00	IRD Karada	Hrant Jirair	Chief of Engineering

Annex IV. One Page Summary (Two sided)

1. *The status of IRD activities*

- 120 CAGs (115 in Baghdad, 5 in Baquba) (Y1 Target 113) have been formed and the program is now in the process of forming up to 15 new issue-specific iCAGs.
- 884 CAG members from 103 CAGs have completed Community-based Planning Action (CbPA) workshops (Y1 Targets 240 CAG members and 45 CAGs).
- 586 LG members (Y1 Target 210) representing 135 LGs have received core training. 123 LGs have “completed” core training (50%+ of a LG’s members have received core training) (Y1 Target 70).
- IRD completed 13 CAP III projects (Y1 Target 140).
- 79 ACVs have received assistance (Y1 Target 108).
- \$865,971 of community cost-share contributions achieved (Y1 target \$296,080).
- \$5,308,190 of LG cost-share contributions achieved (Y1 target \$1,628,441).
- \$3,014,070 of GOI cost-share contributions achieved (Y1 target \$1,406,381).

2. *Reasons for delays. Project activity has taken most of Y1 to ramp-up as IRD was unable to take advantage of legacy CAGs from CAPs I and II.*

Obtaining GOI approvals and cost-share contributions has been problematic. A recent modification to the CoAg to include the value of contributed land has solved the cost-share issue. Actions by IRD such as hiring an Approvals Manager to steward requests for approvals through the provincial and ministerial processes need to be monitored in early 2010 to see if they are having a positive impact.

3. *Processes IRD using to engage the communities and local governments.* Per Implementation Plan.

4. ***M&E and QA/QC.*** New QA/QC Department established to verify compliance with USAID regulations and requirements. No clear idea as to what its responsibilities and tasks are. There is confusion among the departments at IRD as to what the responsibilities and tasks of QA/QC will be and how this will impact the responsibilities and tasks of other departments including M&E, Engineering, Community Mobilization (CM) and Tendering.

5. ***IRD interaction with PRTs and ePRTs.*** IRD sends weekly reports and Project Status Sheets to the PRTs and ePRTs in their area of operations. IRD also timely responds to requests for information and meets intermittently with PRT and ePRT reps to clarify areas of confusion regarding CAP III’s purpose, scope of work and processes.

6. ***IRD assistance to victims of conflict.*** IRD receives the majority of its Assisted Civilian Victims (ACV) through referrals by the CAGs. ACV considers applicants for one of three types of assistance: direct assistance (e.g., medical operation, device or treatment); income generation assistance to establish the victim in a business; or, reconstruction of damaged or destroyed houses and buildings.

7. ***The level of GOI commitment and contributions to project support.*** The level of GOI commitment to project support involves the granting of contributions and approvals. Contributions are good. Approvals are slow but improving as IRD implements follow-up procedures and CAGs and LGs improve advocacy skills.

8. *Recommendations*

- IRD/USAID should revise Sub-IR 9.2.2 indicator targets so that they take into account the limited authority CAGs and LGs have to access GOI funding sources and provide input into PDPs and the PCD and MCI budget planning processes. To facilitate this, IRD should consider employing a Funding Manager to determine realistic new LOP targets under Sub-IR 9.2.2.
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- This report's findings should be verified by fieldwork that targets IRD's field staff and CAP III and Marla beneficiaries including CMs, Trainers (CAG and LG Trainers), ACV Officers, CAG members, NC members, CAP III project beneficiaries and ACVs. The fieldwork should also: perform site visits to a number of randomly selected completed CAP III and Marla assistance projects to verify what is reported in M&E's completed project evaluations; and, monitor the responsibilities and tasks performed by QA/QC and how this has changed the responsibilities and tasks performed by M&E, CM, Engineering and Tendering.

9. Conclusion

While IRD achieved or exceeded its Y1 targets in creating CAGs and the training of CAG and LG members, it fell short of Y1 targets in CAP III project completion and the number of ACV's assisted. Difficulties in obtaining GOI approvals caused delays in processing projects through to implementation and completion. This issue is now being addressed by IRD through various actions designed to support the passage of approvals through the appropriate provincial and ministerial authorities.

An area of continuing concern is the lack of clarity regarding the responsibilities and tasks of the new QA/QC Department, and how these will affect the responsibilities and tasks of other departments including M&E, CM, Engineering and Tendering.