



USAID | **IRAQ**
FROM THE AMERICAN PEOPLE

IRAQ ADMINISTRATIVE REFORM QUARTERLY REPORT

I OCTOBER – 31 DECEMBER, 2011

FIRST QUARTER – FY 2012

This publication was produced for review by the United States Agency for International Development. It was prepared by Management Systems International.

IRAQ ADMINISTRATIVE REFORM QUARTERLY REPORT

OCTOBER 1 – DECEMBER 31, 2011

Contracted: AID-267-C-11-00005
Iraq Administrative Reform Project



600 Water Street, SW, Washington, DC 20024, USA
Tel: +1.202.484.7170 | Fax: +1.202.488.0754
www.msiworldwide.com



Contracted under [AID-267-C-11-00005 Iraq Administrative Reform Project]

Please do not circulate this report without due consideration of security issues in Iraq.

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the US Agency for International Development or the United States Government.

TABLE OF CONTENTS

ACRONYMS	2
EXECUTIVE SUMMARY	4
COMPONENT1: CIVIL SERVICE REFORM	6
Section1. Highlights of the quarter.....	6
Section2. Challenges encountered.....	7
Section3. Plan for next Quarter	7
Section 4: Activities as per the Work plan	7
Section 5. Tracking PMP Deliverables.....	15
COMPONENT 2: NATIONAL POLICY MANAGEMENT	17
Section 1. Highlights	17
Section 2. Challenges encountered.....	17
Section 3. Plan for next Quarter	17
Section 4. Activities as per the Workplan	18
Section 5. Tracking PMP Deliverables.....	24
COMPONENT 3: ADMINISTRATIVE DECENRALIZATION.....	24
Section 1. Highlights	24
Section 2. Challenges Encountered	27
Section 3. Plan for Next Quarter	27
Section 4: Activities as per the Workplan	27
Section 5. Tracking PMP Deliverables.....	35

TABLES

Table 1: Civil Service Reform Workshop Participants by Organization (October-December) 2011	13
Table 2: Sub-IR 1.1: Comprehensive Civil Service Legislation Enacted	15
Table 3: Sub-IR 1.2: Federal Civil Service Commission Fully Operational.....	15
Table 4: Sub-IR 1.3: Provincial Civil Service Commissions Established and Functioning.....	16
Table 5: USAID Standard Indicators (F-Indicators).....	16
Table 6: National Policy Management Workshop Participants by Organization and Subject (October-December) 2011.....	23
Table 7: Sub-IR 2.2: National Policy Development and Management Mechanisms Established.....	24
Table 8: USAID Standard Indicators (F-Indicators).....	25
Table 9: Administration Decentralization IDMS Workshop Participants by Organization (October-December) 2011.....	34
Table 10: Sub-IR 3.1: Regulations and Administrative Supports Necessary for Effective Decentralization Implemented.....	35
Table 11: Sub-IR 3.2: Provincial Resource Management and Service Delivery Strengthened.....	35
Table 12: USAID Standard Indicators (F-Indicators).....	36

ACRONYMS

AD	Administrative Decentralization Component
BPP	Bureau of Public Policy (Presidency)
CBO	Capacity Building Office (USAID)
COM	Council of Ministers
COMSEC	Council of Ministers' Secretariat
CoS	Chief of Staff
COTR	Contracting Officer's Technical Representative
CSR	Civil Service Reform Component
DG	Director General
FCSC	Federal Civil Service Commission
FCSI	Federal Civil Service Institute
FM	Financial Management
GO	Governor's Office
GoI	Government of Iraq
GSP	Governance Support Project (USAID)
HC	High Committee for Civil Service Reform
HR	Human Resources
HRD	Human Resources Division
HRM	Human Resources Management
HRMIS	Human Resources Management Information System
IDMS	Iraqi Development Management System
INMS	Iraqi National Monitoring System
IPRU	Industrial Planning and Reconstruction Unit
ISRAR	Iraqi Solutions for Regulatory and Administrative Reform
IZ	International Zone (See GZ)
MoA	Ministry of Agriculture
MoC	Ministry of Communications
MoCH	Ministry of Construction & Housing
MoCu	Ministry of Culture
MoEl	Ministry of Electricity
MoEn	Ministry of Environment
MoF	Ministry of Finance
MoH	Ministry of Health
MoHE	Ministry of Higher Education

MoHR	Ministry of Human Rights
MoI&M	Ministry of Industry & Minerals
MoJ	Ministry of Justice
MoLSA	Ministry of Labor & Social Affairs
MoMD	Ministry of Migrants & Displaced
MoMPW	Ministry of Municipalities & Public Works
MoO	Ministry of Oil
MoP	Ministry of Planning
MoS&T	Ministry of Science & Technology
MoT	Ministry of Trade
MoT&A	Ministry of Tourism & Antiquities
MoTr	Ministry of Transport
MoWR	Ministry of Water Resources
MoYS	Ministry of Youth & Sport
MSI	Management Systems International
NCCMD	National Center for Consultancy and Management Development
NDP	National Development Plan
NIC	National Investment Council
NPM	National Policy Management Component
OD	Organizational Development
OPD	Office of Policy Development (Prime Minister's Office)
PAR	Public Administrative Reform Committee (See PSM)
PC	Provincial Council
PCSC	Provincial Civil Service Commission
PM	Project Management
PMAC	Prime Minister's Advisory Council
PMO	Prime Minister's Office
PSM	Public Sector Management Committee (See PAR)
RFP	Request for Proposal
RG	Regulatory Guillotine TM
SES	Senior Executive Service
SoW	Scope of Work
SOP	Standard Operating Procedures
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

This quarter, the first quarter of FY2012, is the second quarter of the USAID-*Tarabot* Project. With the start-up phase now behind us, this quarter witnessed an exponential expansion and deepening of USAID-*Tarabot*'s engagement with the Government of Iraq at the national executive, ministerial, and provincial levels.

Building Sustainability

The 300 meetings, workshops, and joint assessments that were held by USAID-*Tarabot* this quarter have as their main goal to build, right from the start, the foundations for sustainability. Every element of our engagement with government institutions is prefaced and defined by multi-step processes of dialogue to create trust, understanding, and agreement on the unique program of opportunities for each institution.

The Administrative Decentralization component begins with introductory meetings to present an overview of possible programs in the broad areas of (a) service delivery improvement, (b) capital investment management, and (c) decentralization. For the areas in which the ministry leadership expresses strong interest, a follow-up meeting presents, for each of these areas, a menu of services for the ministry to consider. Once the "menu selection" is agreed upon, the USAID-*Tarabot* advisors carry out joint assessments of the ministry's current capacity. Based on this assessment, and assuming the assessment indicates a real need for the program, it is presented to the minister for approval. Following this, *Tarabot* and the appropriate ministry personnel prepare "Action Plans" that, once approved, becomes the basis for on-going technical cooperation and development.

The National Policy Management component also works through a series of steps, each refining the mutual agreement and understanding of the *Tarabot* assistance while deepening the commitment of all parties to the program. The mechanisms for achieving policy development and regulatory reform require broad stakeholder participation, commitment and understanding. Key events this quarter include large conferences with attendance from all segments of government, as well as inputs from academia, the private sector, and civil society.

The Civil Service Reform component, among other responsibilities, is responsible for assisting the government to "roll out" new human resources management systems and structures to the entire national government and to all provinces. This also requires an extensive retail outreach to build a universal support for innovations in public administration. Similarly, in regards to sustainability, the new draft of the Civil Service Law was drafted through a series of weekly meetings of the High Committee on Civil Service so that there is unanimous agreement among the committee members on the language of each article, providing real and complete ownership on the part of the committee that needs to promote the bill to a wider government and parliamentary audience in order to secure passage.

A critical element of establishing sustainability is cost sharing and signed agreements. During this quarter, MSI has reorganized and disaggregated its contract budget to reflect the programmatic structure of project activities in order to be able to match the USAID costs with specific programs and recipient GoI entities. At the same time, the Government of Iraq has been actively working to establish the mechanisms of a large cost sharing fund. USAID-*Tarabot* worked with the Prime Minister's Office and the Ministry of Labor & Social Affairs to produce two Memoranda of Understanding (MOU) for the policy development work and the regulatory reform program at the PMO and a Letter of Understanding (LOU) for the social safety net (SSN) program at MoLSA. These documents will also serve as a model for similar signed agreements with all of the government entities with whom USAID works.

Throughout this report, the reader will find all these processes detailed and documented. We maintain that the major accomplishment during this quarter is the establishment of this firm foundation of ownership and sustainability.

Political Neutrality

We have expanded our engagement into over 20 ministries and all provinces “not incorporated into regions”, establishing a ubiquitous presence throughout the government of Iraq. Despite the challenging period of increased tensions and constitutional crisis among the major political/sectarian parties that comprise this coalition government, USAID-*Tarabot* has proven its ability to work in and with ministries and provinces of all political stripes. Neither the *Sadr* affiliation of the ministries of Planning, Labor & Social Affairs, Municipalities and Public Works, Tourism, and Construction & Housing; nor the *Iraqia* affiliation of the ministries of Agriculture, Industry & Minerals, Water Resources, Education, Finance, and Electricity, have prevented USAID-*Tarabot* from establishing offices, embedding staff, and developing promising programs of meaningful cooperation.

Similarly in the provinces, through the same step-by-step process, this quarter has witnessed the development of support from provinces whose leadership represents the full spectrum of Iraqi affiliations.

The establishment of this neutrality is particularly necessary and important during this time of transition, with the departure of the US military, and the subsequent shifting tremors of Iraqi political alliances.

Impact and Outreach

USAID-*Tarabot* was designed to be a “whole of government” approach, concerned with strengthening the horizontal and vertical linkages among government organizations (and to some extent beyond government) rather than focus solely on the capacities of individual ministries and offices. It is this principle that pushes the project to reach out so broadly and so quickly at the beginning of the project period. Discussions are still on-going as to how broad or how focused the *Tarabot* work will be with each ministry, office, province, or agency. Whatever priorities develop for different ministries, *Tarabot*, by design, will have some relationship—policy, civil service, and administrative—with almost every government institution in the country. This network of relationships (“linkages”) has been successfully established this quarter. This broad engagement enables the possibility that USAID-*Tarabot* will have a lasting overall benefit to Iraq’s public administration, rather than leaving behind merely successful pilot projects and favored ministries as “patches of green” in the desert.

Synergy among Project Components

The quarterly report focuses on tracking performance component by component, each of which has its own workplan activities and targets to be met. However, the three components are closely entwined in terms of the final results of the project. For instance, improved national policy development requires an enhanced participation of provincial level entities in the policy development process. Improved service delivery and administrative performance at the provincial level requires a decentralized civil service system and the establishment of Provincial Civil Service Commissions. Although we track these by components, the synergies are evident throughout the report.

Vulnerable Populations

Although USAID-*Tarabot* is a public administration project it will have an impact on citizens’ experiences in their interactions with government, and an impact on the quality of the services they receive. *Tarabot* reached to ministries whose responsibilities are for vulnerable populations—Youth and Sports, Women’s Affairs, Migrants and Displaced. The policy component is assuring women’s issues, organizations, and concerns a place at the table

for national policy development and input into the decisions as to which regulations should be eliminated. The Civil Service Component is likewise working to assure that women have increased rights and protections as civil servants under the law. During this quarter, USAID-*Tarabot* held multiple meetings with women's organizations, laying the groundwork for their participation. Discussions with the ministries of Youth & Sports, Human Rights, and Migration and Displacement have begun exploring cooperation that is directly aimed at improving their delivery of services to their special constituents.

Structure of the Quarterly Report

The report closely follows the requirements in the contract scope of work. For each component, we present five sections: 1) highlights of the quarter's achievements, 2) challenges encountered and addressed, 3) plans for next quarter, 4) accounting for this quarter's Workplan activities, and 5) an accounting of this quarter's progress toward achieving the PMP deliverable targets (most of which are annual targets). Finally we present general project administration issues regarding security, staffing, facilities, and logistics.

COMPONENT I: CIVIL SERVICE REFORM

SECTION I. HIGHLIGHTS OF THE QUARTER

The Civil Service Reform component of USAID-*Tarabot* project supports the government of Iraq to build a modern public administration capable of delivering services to the people and implementing government policies and programs.

Faced with a dysfunctional civil service system which suffers from lack of transparent procedures, absence of human resources management, and excessive staffing combined with a shortage of skilled people as a result of patronage-based appointments. The government of Iraq requested USAID assistance and gave the USAID-*Tarabot* program the responsibility of assisting in the reform the system. USAID-*Tarabot's* Civil service program has built a partnership with the High Committee (HC), which is tasked with leading Iraq's national and sub-national entities develop the civil service, and especially the human resources management structures and capabilities.

During this quarter, the CSR team worked closely with the Iraqi government on different levels simultaneously to expedite the pace of the reform. The Government of Iraq also requested further assistance from USAID-*Tarabot* to finalize the draft Civil Service Law, including drafting a new Senior Executive Service chapter with a performance management component. Additionally, USAID-*Tarabot* is assisting in harmonizing the 2008 Provincial Powers Law (2008) with the Federal Civil Service Commission Law (2009), and the proposed new Civil Service Law in an integrated approach to strengthen the local governance and civil service.

The CSR team led the implementation of the new human resources management structures and capabilities in ministries and governors' offices—setting up human resources departments, introducing new HR business processes, and conducting training and workshops to the HR managers and staff. Encouraged by the CSR team outcomes, the GoI requested *Tarabot* to extend its work to another five additional ministries including the Ministry of Oil (MoO) and the Ministry of Finance (MoF).

The work on establishing the federal civil service commission continued with the preparations of staffing plans and organizational structures. The CSR team also continued preparatory work on establishing provincial civil service commissions. USAID-*Tarabot* is placing one advisor in each province.

During the quarter, the *Tarabot* team assisted GoI officials, specifically the High Committee, in terms of including the training and development activities in the civil service draft law. The USAID-*Tarabot* advisors are also working toward the establishment of a Federal Civil Service Institute as specified in the 2009 Federal Civil Service Commission Law.

SECTION 2. CHALLENGES ENCOUNTERED

The major challenge this quarter was the increasing difficulty of entering the International Zone for our ongoing work with the High Committee. Several high level meetings were cancelled at the last minute due to such problems. The slow issuance of IZ badges for expatriates and Iraqi staff is also a problem related to the difficulties of entering the IZ. Visas are also a problem for expatriates, with one of the international civil service advisors being refused his visa to return, due to his citizenship. The security situation was a further challenge to our team as several ministries locations were considered off limits.

SECTION 3. PLAN FOR NEXT QUARTER

The civil service program will continue to work with the High Committee on all aspects of the civil service reform. The CSR team will finalize the draft civil service law in its new version and have it presented to the Council of Ministers and Shura Council for review and approval. The implementation of the human resources management and the establishment of the Human Resources departments in ministries and provinces is another major activity that the team will continue to focus its efforts on, with more ministries and provinces added as requested by the Government of Iraq. The team will stress to the GoI the importance of appointing the FCSC commissioners in order to continue our work on the establishment of the commission. We will be working closely with the HRMIS subcommittee to advise on the establishment of an HRMIS in all ministries and provinces as mandated by the government.

Establishing and operating a comprehensive civil service training system is an essential part of civil service reform. USAID-*Tarabot* will continue to assist the government to establish the Federal Civil Service Institute and training centers in ministries according to FCSC Law. Towards this end, the project hired a senior Training and Development advisor who will join the team in January.

Public outreach and education interventions are planned so that the public sector and the Iraqi public at large will have a greater appreciation of the importance of civil service reform.

SECTION 4: ACTIVITIES AS PER THE WORK PLAN

Work with the high committee and the public sector management committee on civil service overhaul, cooperation

- **Activity 1. Work with the Civil Service Reform High Committee on all aspects of the civil service reform and HRM until the establishment of the FCSC.**
 - Prepare workplan for the HC

During the quarter, the HC adopted the USAID-*Tarabot* CSR work plan and has been implementing it successfully.

Media outlets covered key HC activities and the USAID civil service programs.

- Prepare monthly HC reviews of ministries progress reports.

Ministries report to the HC on progress and difficulties in the implementation of the new Human Resources management and structure. The HC reviews the ministries' performance and suggest adjustments/corrections with USAID-CSR program advice and support.

The CSR program developed the standard reporting form to be used by ministries when reporting to the HC.

- **Activity 2. Public Sector Management (PSM) Coordination**
 - Conduct quarterly coordination and update meeting with PSM and relevant subcommittees.

USAID is leading on this activity. The coordination task has been left to donors and the Iraqi head of PSM.

- Present CSR component workplan to PSM committee and receive feedback.

The CSR team presented the work plan and description of the CSR program to PSM directly and through the HC as the chairman and other members of the HC sit on PSM.

CSR advisors advocated the role and achievements of the CSR program through the HC, and had the PSM recognize the HC as the only unit tasked with civil service reform in Iraq, confirming the previous legal and administrative decisions issued by the government to this effect.

The CSR team proposed that the HC chairman is appointed as a regular member of PSM.

- **Activity 3. General joint meetings with the HC and ministries to follow up on the implementation of the HRD, SOPs, and change management: Hold one general meeting with ministries HR directors general.**

The CSR team held a general joint meeting with 10 ministries' HR DGs in December. The meeting followed up on HRM implementation, SOPs, and change management. Systematic coordination between the federal ministries and CSR experts will continue to develop up-to-date HRM.

The joint DGs meeting was greatly publicized by the media and other institutions at the highest level of government.

- **Activity 4. Joint provincial conference with the representatives of all provinces to follow up on the implementation of the HRD, SOPs, and change management and PCSCs: Hold provincial conference with representatives of the provinces.**

A joint meeting with three pilot provinces was held in Baghdad in December to follow up on the implementation of the HRD, HRM, and PCSCs.

The CSR team and the HC are considering expanding the effort to other provinces.

Media and executive offices reported this event as an important for decentralization and building the capacity of the provinces.

Civil service reform

- **Activity 5. Draft Civil Service Law finalized: Support the HC and Shura Council to review and finalize three chapters of the Federal Civil Service Law.**

Most chapters of the draft law have been revised and, in some cases, redrafted in addition to a new chapter on Senior Executive Service including a performance management system. There was also work on harmonizing certain provisions of Law 21 (2008) with the Federal Civil Service Commission law (2009) and with the new draft civil service law.

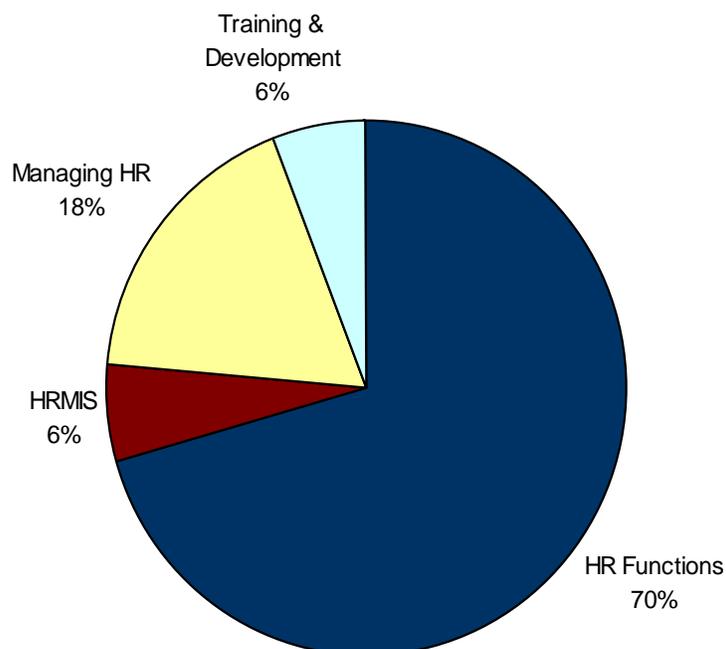
Human resources management

- **Activity 8. Establish and operationalize Human Resources Departments (HRDs) in ministries:**

- Perform initial assessment of HR policies, systems, and procedures in five pilot ministries to continue the structuring and organization of their HRDs and group all HR functions under the HRD.

The CSR team performed the assessment of Human Resources policies, systems, and procedures to continue the re-structuring and organization of their HRDs and group all HR functions under the HRDs in five pilot ministries. Results of these assessments enable the CSR team to support HRDs through workshops and facilitation, during the time span of *Tarabot* program. The chart below shows the workshops delivered by the CSR advisors per subjects.

Chart 1: Civil Service Reform Workshops by (October-December) 2011



Number of workshops: 17

- **Activity 9. Develop and introduce HR manual into the five ministries:**

- Review job descriptions and produce standards for job descriptions and personnel specifications.

Standard procedures for compilation of job descriptions and personnel specification for all jobs in the ministries have been designed and developed based on modern HR management practices, including merit based recruitment, transfer, promotion, performance management, job-grading and, training and development. The proposed job description will be used, together with a standard format personal specification, in training workshops for Ministries and Provincial Governorates.

- **Activity 10. Assess and advise HRD management about staffing skilled employees:**

- Assess HRDs' staffing needs and develop job descriptions for HRD staff in order to perform their duties.

The CSR team reviewed the approved organization structure for the Human Resources departments of ministries. Functions of the HR sections were defined, in accordance with the

best HR practice and the job descriptions for HRD staff are prepared, in order to perform their duties.

- **Activity 11 Conduct competency-based workshops to meet required skills gap of HRD employees at each level:**

- Conduct three workshops on merit hiring and basic HRM

The workshops were held for HRDs staff to develop their knowledge and skills in merit based recruitment, transfer, promotion and basic HRM. The workshops consisted of learning sessions, sharing of experience and practical aids to managing and delivering effective HR services. Some of the training workshops were hosted by the Civil Service Reform High Committee at COMSEC conference centre, and attended by 54 Managers and Staff of Human Resources divisions in the federal ministries and provinces.

More frequent visits to ministries and provinces has been suggested by the High Committee

Workshops in COMSEC were covered by the TV and other media outlets.

- **Activity 12. Conduct workshops for HRD directors on the new civil service legislation and HR policy and management:**

- Develop and conduct three workshops on HR policy and management for HR directors.

The CSR team conducted three workshops on the Civil Service Legislation and the Human Resource Policy and Management for senior officials from ten federal ministries. These workshops provided opportunities to the senior managers to discuss different aspects of human resource policy and management and, training & development, and the new civil service legislation in order to explore opportunities and issues relating to the Iraqi civil service.



These workshops were reported by Media as an indication of USAID and the government of Iraq cooperation on civil service reform.

- **Activity 13. Assist in the design of automated National Human Resources Management Information Systems (HRMIS).**

- Help Gol develop action plan to design the national HRMIS.

The CSR team facilitated a seminar, held at the COMSEC conference centre, to discuss the modalities of designing and implementing an action plan to establish a government-wide HRMIS. The HR managers and information technologists from 31 ministries and 25 government agencies were invited to participate in the seminar. It was hosted by the Civil Service Reform High Committee and was attended by 63 delegates, including 24 women.

The CSR team plans to coordinate CSR, High Committee, the HRMIS Committee, ministries and provinces action on the implementation of HRMIS all over government institutions.

Reported by the media and attracted the attention of the President's office and the Prime Minister's Office, which asked for more details.

- Conduct survey of current status and needs for national HRMIS.

As a follow up of the High Committee's HRMIS Sub-Committee meeting for development of a nation-wide action plan for HRMIS, the CSR team started an initial assessment to review progress in several ministries to implement HRMIS.

- **Activity 14. Establish and operationalize HRDs in provinces:**
 - Perform initial assessment of HR policies, systems, and procedures in three pilot provinces to continue the structuring and organizing of their HRDs and group all HR functions under the HRD.

The CSR team visited the three pilot provinces of Baghdad, Basrah and Ninawa to perform initial assessment of HR policies, systems, and procedures to continue structuring and organizing of their HRDs and group all HR functions under the HRD. The CSR team met the Deputy Governors, HR managers and the HR staff and introduced them to the *Tarabot*-CSR component.

- **Activity 15. Develop and introduce HR manual into three provinces:**
 - Review job descriptions and produce standards for job descriptions and personnel specifications.

The CSR team reviewed the job descriptions and designed and developed a standard procedure for compilation of job descriptions and personnel specification for all jobs on the provincial level. The job descriptions will be used as the basis for implementing many aspects of modern HR management practices, including merit based recruitment, transfer, promotion, performance management, job-grading and, training and development. This task is part of drafting an HR manual for the HR managers, their staff and line managers.

- **Activity 16. Assess and advise HRD management about staffing skilled employees:**
 - Assess HRDs' staffing needs and develop job descriptions for HRD positions.

The CSR team reviewed the approved organization structure for the Human Resource Management divisions of governorates. The team adapted the standard organization structure for HR departments in provinces, which will be used as a basis for the capacity development of HR managers and staff. It defined the functions of the component HR sections, in accordance with the best HR practices and prepared the job descriptions for the HRD positions.

- **Activity 17. Conduct competency-based workshops to meet required skills gap of HRD employees at each level in three provinces:**
 - Conduct three workshops on merit hiring and basic HRM in three provinces.

The CSR team conducted workshops for HRD managers as well as HRD staff of the provinces of Baghdad, Basrah and, Ninawa. Separate workshops were held for the HR staff of these provinces, to develop their knowledge and skills in merit based recruitment, transfer, promotion and basic HRM. The workshops consisted of learning sessions, sharing of experience and practical aids to managing and delivering effective HR services.

- **Activity 18. Conduct workshops for HRD directors on the new civil service legislation and HR policy and management in the provinces:**
 - Develop and conduct three workshops on HR policy and management for provincial HR directors.

The CSR team conducted workshops on the Civil Service Legislation and the Human Resource Policy and Management for senior officials from the provinces of Baghdad, Basrah and Ninawa. The workshops provided opportunities for the Deputy Governors (Admin. & Finance), and the HR Directors, to discuss various aspects of the human resource policy and management and training & development, in order to explore opportunities and issues relating to the Iraqi civil service.

- **Activity 19. Assist in design of automated National HRMIS.**
 - Help Gol develop action plan to design a provincial HRMIS, linked to the national HRMIS.

The HC HRMIS subcommittee was set up to work closely with *Tarabot* CSR team, ministries and provinces. The subcommittee reports to the High Committee.

- Conduct survey of current status and needs for provincial HRMIS.

An HRMIS advisor was hired in December and will join the team in January to conduct the survey and lead our activities on HRMIS.

Federal Civil Service Commission (FCSC)

- **Activity 20. Establish and operationalize the FCSC.**
 - Departmental organization chart, roles and responsibilities, and staffing requirements drafted.

The CSR team drafted a paper on Federal Civil Service Commission (FCSC), which addresses the priority needs for its establishment and operationalization. Based on the provisions of Iraqi Constitution as well as FCSC Law (Law#4 of 2009), the mandate, functions and organization structure of FCSC were identified and the roles and responsibilities of its six departments and 15 divisions have been defined in this document.

- Draft an implementation plan for establishing and operationalizing the FCSC.

An implementation plan for establishing and operationalizing the Federal Civil Service Commission (FCSC), in accordance with FCSC Law (#4 of 2009), has been drafted. The implementation plan guides the national counterparts in explaining step-by-step activities involved in making the FCSC functional, in terms of its functions, organization structure, systems, procedures, staffing, strategy, work plans and staff-skills.

- **Activity 22. Define FCSC links to executive and reporting relationship to Parliament.**
 - Define FCSC links to parliament, the Council of Ministers, and provinces.

The FCSC links to the Parliament, Council of Ministers and provinces have been defined and documented. Accountability is central to ensuring that FCSC performs its functions effectively, efficiently, ethically and in the best interest of Iraqi citizens. Various obligations apply to FCSC to ensure that it is accountable to public institutions for the way in which its policies and services are delivered.

Provincial Civil Service Commissions (PCSCs)

- **Activity 24. Assist in defining the mandate and jurisdiction of PCSCs:**
 - Identify responsible provincial leadership to represent viewpoint of provincial government for purpose of setting up provincial civil service system

The provincial leadership has been identified by the CSR team, to represent the viewpoint of the provincial government. To accomplish this objective, the CSR team visited three pilot provinces of Basrah, Baghdad and Ninawa, to initiate collaborative relationship with the leadership of these governorates as well as their respective Provincial Councils, to define a framework for their provincial civil service system.

- **Activity 25. Establish PCSC as mandated by FCSC Law**
 - Identify provincial counterparts

The initial steps in establishing and operationalizing the provincial civil service commissions (PCSCs) would be to define a framework for their mandate, jurisdiction, line of authority and, functions. For this purpose, a communication has been drafted to identify provincial

counterparts and initiate collaborative relationships with them to define a framework for establishing PCSCs. This draft communication has been submitted to the High Committee for approval.

Federal Civil Service Institutes (FCSI) and Training Centers

- **Activity 26. Establish the FCSI: Collect and write report on feedback from stakeholders to establish a consensus on the mandate, role, and functions of the national civil service institute.**

Various stakeholders have been contacted including the National Center for Consultancies & Management Development (NCCMD), training centers, the High Committee to this effect. A report on the mandate, role, and functions of the Federal Civil Service Institute (FCSI) has been drafted.

New articles have been included in the draft civil service law to emphasize the role of the FCSI civil service Institute in training and developing civil servants. A major role has been attributed to the FCSI regarding the Senior Executive Service.

- **Activity 27. Establish training centers in five ministries and three provinces.**
 - Develop the functions and structure for ministry and provincial training centers.

An initial function and structure have been prepared. A new Training & Development advisor was hired to support the team on this activity.

- Identify staffing needs for training centers in five ministries and three provinces.

A new Training & Development advisor was hired to support the team on this activity and more work with ministries and provinces on the ground has been scheduled.

- **Activity 28. Survey needs and recommend specifications for Training Management Information System: Survey of training and HR development providers designed.**

The survey was designed. Survey administered and report prepared on training providers in Iraq.

Table I: Civil Service Reform Workshop Participants by Organization (October-December) 2011

Organizations	HR Functions	HRMIS	Managing HR	Training & Development
Baghdad Governorate Office	10			
Baghdad Provincial Council	7			
Basrah Governorate Office	11		6	
Basrah Provincial Council	4		1	
Central Bank of Iraq		1		
Commission of Integrity		1		
Communications and Media Commission		1		
Council of Ministers		2		
Council of Ministries Secretariat	10	2		

Dhi Qar Governorate Office			9	
The Independent High Electoral Commission		1		
Federal Supreme Court		1		
House of Wisdom		1		
Iraq Intelligence Service		1		
Iraq Stock Exchange		1		
Iraqi Academy of Sciences		1		
Kirkuk Governorate Office	2			
Ministry of Agriculture	6	1		
Ministry of Communications	30	1	2	5
Ministry of Construction and Housing		2		
Ministry of Defense		6		
Ministry of Education	6	1		
Ministry of Electricity		3		
Ministry of Environment		1		
Ministry of Finance	6	1		
Ministry of Health	5			
Ministry of Human Rights		1		
Ministry of Industry and Minerals	7	2		
Ministry of Justice		1		
Ministry of Labor Social Affairs		1		
Ministry of Municipalities and Public Works		2		
Ministry of Oil	6	1		
Ministry of Planning	8	3		
Ministry of Science & Technology		1		
Ministry of Trade		2		
Ministry of Transportations		1		
Ministry of Water Resources		1		
Ministry of Youth and Sports		1		
Ninawa Governorate Office	24			
Ninawa Provincial Council	3			
Board of Supreme Audit		1		
Prime Minister Office		3		
Property Claims Commission		1		
Sunni Endowment		1		
Total	145	52	18	5

SECTION 5. TRACKING PMP DELIVERABLES

Table 2: Sub-IR 1.1: Comprehensive Civil Service Legislation Enacted

Indicator #	Indicator Name	Annual Target	Qtr 1 (Oct-Dec) 2011	Status
1.1.1	Draft Federal Civil Service Law completed, reviewed and finalized by High Committee and Shura council	1	N/A	<i>Tarabot</i> is currently assisting the High Committee in reviewing and revising chapters of the law in addition to including new chapters for the Senior Executive Service, performance management system, and provisions regarding Law # 21
1.1.2	Introduction of draft Federal Civil Service Law to Council of Representatives	1	N/A	Once the new version of the law is drafted, it will be presented to the CoM and Shura Council for approval before submission to the CoR

Table 3: Sub-IR 1.2: Federal Civil Service Commission Fully Operational

Indicator #	Indicator Name	Annual Target	Qtr 1 (Oct-Dec) 2011	Status
1.2.1	Number of curricula offered by Civil Service Institute	0	N/A	<i>Tarabot</i> is assisting the Gol in establishing a consensus on the mandate, role, and functions of the national civil service institute. The establishment of the institute is a target for FY 2013 as described in the PMP.
1.2.2	Number of Gol staff trained on Human Resource development processes and Human Resource Management Information System	50	215	133 Male and 82 Female were trained on HR development process and HRMIS
1.2.3	Number of functions implemented by Federal Civil Service Commission	0	N/A	<i>Tarabot</i> is assisting the Gol in establishing the FCSC through drafting departmental organization charts, defining the roles and responsibilities for each department, identifying staffing requirements and developing an implementation plan for establishing and operationalizing the FCSC. The establishment of an operational FCSC is a PMP target for FY 2013.
1.2.4	Number of Human Resource Departments with functioning Human Resource Management	0	N/A	<i>Tarabot</i> is assisting the Gol in developing an action plan to design the national HRMIS. The establishment of HRMIS

	Information System			is a PMP target for FY.
--	--------------------	--	--	-------------------------

Table 4: Sub-IR 1.3: Provincial Civil Service Commissions Established and Functioning

Indicator #	Indicator Name	Annual Target	Qtr 1 (Oct-Dec) 2011	Status
I.3.1	Number of Provincial Civil Service Commissions established	0	N/A	<i>Tarabot</i> is assisting the Gol in defining a framework for the mandate, jurisdiction, line of authority and functions of the PCSCs. The establishment of PCSCs is a target for FY 2013 as described in the PMP.
I.3.2	Number of functions implemented by the Provincial Civil Service Commission	0	N/A	The PCSCs have not been established yet. Their establishment and operation are a target for FY 2013 as described in the PMP.

Table 5: USAID Standard Indicators (F-Indicators)

Indicator #	Indicator Name	Annual Target	Qtr 1 (Oct-Dec) 2011
F 1.1	# of USG-supported public sessions held regarding proposed changes to the country's legal framework	12	17
F 1.2	# of training days provided to executive branch personnel with USG assistance	12	19
F 1.3	# of Sub-national entities receiving USG assistance that improve their performance	15	10

Notes:

1-After completion of quarter one activities and reviewing actual figures generated for the indicators, we recommend revising the annual target for the following indicators (1.2.2, F 1.1, and F 1.2).

2- For the remaining indicators, *Tarabot* is progressing towards achieving the annual targets.

COMPONENT 2: NATIONAL POLICY MANAGEMENT

SECTION I. HIGHLIGHTS

The USAID-*Tarabot* National Policy Management (NPM) component works with the Prime Minister's Office of Policy Development and the President's Bureau of Public Policy in the fields of capacity building and legal reform. This quarter witnessed major achievements toward the participation of a wide array of actors in public policy processes, including federal ministries, private sector entities, Provincial Councils (PC) and universities. NPM advisors worked with four ministries to set up public policy units. With the private sector, the NPM advisors organized workshops and roundtables on the public policy process for two universities and a number of NGO's, business organizations and media outlets to strengthen the consultative role of these bodies in policy making.

Similarly, for the provinces of Babil, Baghdad and Ninawa, the NPM team organized and led workshops on public policy, working closely with the Minister of State for Provincial Affairs.

On the legal reform front, the NPM team initiated and made significant progress in the Regulatory Guillotine[™] legal reform initiative. The RG application has a proven track record globally for successfully eliminating outdated laws and regulations which impede economic progress. The NPM advisors introduced and established buy-in for the RG methodology from all of the key stakeholders including the Government of Iraq (GoI) Executive Offices, the Council of Ministers (CoM), the Council of Representatives (CoR), line ministries and Governors Offices (GO), private sector and academic institutions, as well as USAID, the US Embassy, and other international donors. The RG initiative was officially approved by the Prime Minister's Office (PMO) which sponsored a workshop to present the RG application to all the ministries and some PCs at *Al Nahrain* University in Baghdad. It was decided to name the project: 'Iraq Solutions for Regulatory and Administrative Reform' (*ISRAR* – "Determination"). The ISRAR center will be equipped and staffed to serve Iraq's regulatory reform. A Regulatory Steering Committee will be established to provide political guidance for sustaining the effective functioning of the RG working committees.

The NPM team submitted two draft MOUs, with Arabic language translations, to OPM for final approval, one for the PM's Office of Policy Development, and the other for ISRAR.

SECTION 2. CHALLENGES ENCOUNTERED

As always, there have been security and travel impediments to planning and holding scheduled events with counterparts, especially in the IZ. In terms of policy, there have been delayed decisions on website location and control, due to delayed GoI institutional decisions. As for the ISRAR methodology, lengthy procedures are adopted by the GoI to designate a manager for the ISRAR Central Unit and to allocate offices. There is a need for ongoing consultation with the CoR to ensure its continuing buy-in for approval of ISRAR proposed legal changes.

SECTION 3. PLAN FOR NEXT QUARTER

During the second quarter, the NPM team will sustain and enhance its public policy activities and develop strategies with the PMO, the Presidency's Bureau of Public Policy, selected ministries, and, through its outreach, with a full range of stakeholders -- the provinces and the private sector, including universities, NGOs, media organizations, and businesses. Consultations will continue with senior PMO counterparts on the structure and content of a developed model for a PMO website. The team will deliver weekly workshops to teach skills for policy implementation and will customize additional workshops with the strategic

planning tools to meet priority needs. The NPM team will also organize and lead roundtable policy formulation discussions for official policy drafters in PMO, and with non-official actors.

For the Regulatory Guillotine™ application, identification of membership of institutions will be undertaken, workshops will be delivered on the aims, criteria, and process of ISRAR, the e-Guillotine software will be customized, selection of the central unit head and the Central Unit's location will be pursued, and an operational plan will be agreed upon, including the scope of the activity and its budget and financing. ISRAR quarterly activities are to be highlighted in March, when ISRAR is planned to be officially launched, beginning with the roll-out of an inventory of laws and regulations to be reviewed for deletion, modification, or maintenance in place.

For each of the two NPM activities, policy and ISRAR, a Prime Ministerial Decree is to be advanced and a MoU is to be negotiated.

SECTION 4. ACTIVITIES AS PER THE WORKPLAN

- **Activity 1. Regulatory Reform**

Following the workshop at *Al Nahrain* University in September, roundtables were conducted for the federal and provincial legal committees to identify legal instruments to be delivered during the RG upcoming activities. Individual briefing sessions were also held with senior government officials, including the Prime Minister's Chief of Staff, the Secretary General of COMSEC, and the Chairman of the Prime Minister's Advisory Council (PMAC). Iraq has more than 27,000 laws and regulations that need to be reviewed. Officials were briefed about other nations' experiences in applying the Regulatory Guillotine™ system to promote their economic policies and provide jobs for their citizens.

The NPM team is working closely with its government counterparts to expedite the MoU approval of the ISRAR program.

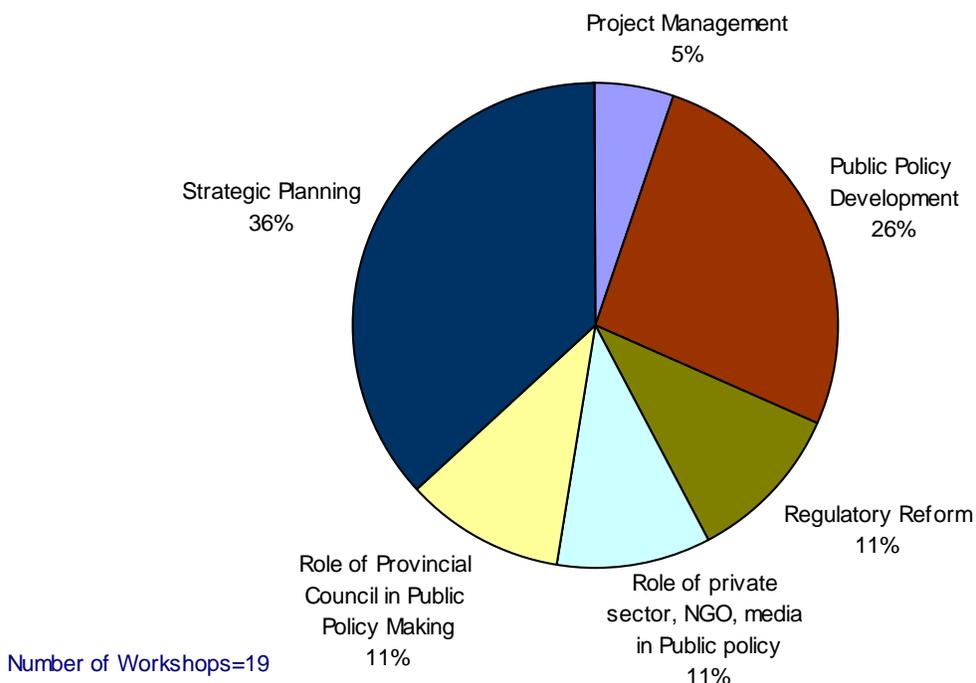
- **Activity 2. Policy Development in PMO and Ministries**

In terms of identifying staff and basic functions, the NPM advisors have met with GoI leadership and key staff members from the PMO, COMSEC and PMAC to decide upon general guidelines to promote Iraq's public policy mechanisms. It was agreed to designate a number of the PMO/PMAC advisors to form a unit, currently operating as a virtual office, inside the PMO. The unit receives technical assistance from the NPM team in terms of strategic planning and formulation to assist the Prime Minister's Office to meet public policy constitutional requirements. Dedicated work sessions were conducted for the PMO Office of Policy Development members to support buy-in and to provide needed tools.

Importantly, upon the recommendation of the NPM advisors, the Prime Minister's Chief of Staff extended an invitation to the PM Deputies to assign staff to participate in the Office of Policy Development. The PM Deputies have accepted this invitation to assign staff members.

The chart below shows the workshops implemented per topics.

Figure 1: National Policy Management Workshops by Subject



- **Activity 3. Establishment of OPD website in PMO: Consult with senior counterparts on website structure.**

With respect to PMO website development, the NPM advisors have been engaged in a series of consultations on website structure with the PMO senior counterparts including the PM CoS and the PMAC chair. A complete website re-structure was finalized with *Tarabot* NPM guidance. The new structure includes polling and sample data uploaded for testing. The PMAC Chairman, as he had indicated previously, expressed the preference to defer review of the website structure and functional capability until an upper level decision is made within the GoI as to where the PMO website is to be located and who is to control it. Restructuring the PMO website still needs special approvals regarding functions required to develop a reliable outreach tool. Dedicated technical assistance sessions were delivered to the PMAC IT specialists to build up a proposed website structure for the PMO, to pave the way for reviews and approvals.

- **Activity 5. Establishment of policy offices in selected ministries: Select three ministries and identify staff and functions of a policy office in each.**

The NPM advisors have been working closely with GoI officials to establish Policy Offices in selected government entities. During the quarter, the federal ministries of Trade, of Industry & Minerals, of Electricity and the NIC were selected as a pilot project. Meetings were conducted with the ministries key officials, first with the ministers, including the Ministers of Trade and of Industry & Minerals, of Electricity, and the head of the NIC.

In the Ministry of Industry & Minerals, the NPM advisors conducted a series of workshops with the designated focal points and prospective staffs. The MoI&M's Policy Unit will be part of the Industrial Planning & Restructuring Division. The NPM Team worked with Industry Policy Unit staff to define the unit's functions, detail staff job descriptions and establish terms of reference for the unit. The unit is also involved in coordinating, formulating, and implementing strategic policies.

The NPM team also conducted meetings with the MoE designated DG to arrange establishment to the public policy unit. The meetings included a number of the MoE directorates to inform them about the NPM public policy and regulatory reform work. Basic functions of the Public Policy Unit were detailed and discussed.

Following its meeting with the Minister of Trade, the NPM team held a working session with the DG for Foreign Economic Relations and four members of the team designated to participate in a policy unit for the Ministry. The NPM team also briefed the MoT line policy unit staff on unit functions and future strategies including drafting terms of reference, tools, and standard operating procedures for the public policy unit.

For the NIC, the NPM advisors met with the Chairman who introduced the two NIC attorneys who had received consultancies on international arbitration under the *Tatweer* project, to participate as members of the NIC public policy unit being established. The workshops reviewed the draft terms of reference for the policy unit, for the purpose of identifying the staff members' prospective functions in conjunction with the policy unit's strategic plan and priorities.

Office of Policy Development in the Presidential Diwan

- **Activity 6. Establishment of Policy Development Office in Presidential Diwan: Identify staff, functions and structure of the office.**

The President's Bureau of Public Policy, the first public policy office in Iraq, a USAID-*Tarabot* activity, was inaugurated in November 2011 in the Presidency Diwan. Thereafter, NPM presented to the Senior Officials on the structure, functions, management and organizational chart of the Bureau. Fourteen personnel were identified to staff the Bureau, coming from the President's Office, the Presidency Diwan, and from the Offices of the two Vice Presidents. During the quarter, the participants were introduced to the tools, criteria, and stages of strategic planning, so as to develop their own strategic plan for the Bureau.



Photo 2: Official Opening of President's Bureau of Policy Development, Nov 2011

Policy Communication & Outreach

- **Activity 7. Policy Communication & Outreach**

During the quarter, seven workshops were conducted with private sector businesses, universities, media outlets, and NGOs, and more than fourteen meetings were held with NGOs representing women's issues, business leaders, professional associations, and think tanks, (Iraqi Institute for Economic Reform, Baghdad Chamber of Commerce, Federation of Iraqi Chamber of Commerce, Women Business Association, Iraqi Al-Amal Association ...). Also, two surveys were conducted to explore participants' perceptions of their current role in the process of policy making and the role they would like to play in the future.

Universities:

The NPM team rolled out its "capacity building" program for Iraqis by delivering four workshops on the public policy making process, two at *Al Nahrain* University in September and October, and two workshops at Baghdad University in November and December. USAID-*Tarabot's* work with the universities focuses on their developing a better understanding of the process of public policy and the importance of their prospective public policy roles.

Iraqi universities can and should serve several critically important roles in the public policy process: As stakeholders, as providers of knowledge and analytical capability for policy makers, as researchers, as teachers of public policy both to their students and through outreach to the community, and as originators of policy proposals for presentation to governmental policy makers in think tank environments. *Al Nahrain* University's President subsequently wrote to NPM: "I feel that what you have generated in our campus is quite enriching".

The Private Sector:

The NPM team, this quarter, delivered two workshops tailored for NGOs, the media, and business and industrial organizations, on the role of NGOs and the private sector in policy formulation, featuring the Regulatory Guillotine as its lead topic and also addressing the public policy process. Participants included the Center of Strategic and Public Policy Studies, the Iraqi Group for Strategic Studies, human rights groups and the Female Iraqi Lawyers' Organization, university professors, and representatives of the Minister of State for Women's Affairs.

Media Outlets:

The NPM team also expanded during the quarter its public policy outreach initiative with a workshop specifically customized for the media. Thirteen representatives from television, radio and print, together with three professors from the Communication School at the University of Baghdad discussed the mechanics of undertaking the public policy process and the role of media as stakeholders in that process.

Outreach with Private Sector, Universities and NGOs/Think Tanks - Individual Working Sessions:

NPM team worked individually with a wide range of stakeholders regarding policy development and regulatory reform processes, with executive offices, ministries and NGOs representing women's issues, business leaders, professional associations and think tanks NGOs. What follows is a selection of the complete list of individual working sessions which laid the foundations of the network required to establish the broad consultative process that is the hallmark of effective policy development:

The NPM team held a series of working sessions, both on public policy and on regulatory reform, with the Iraq Institute for Economic Reform (IIER), a prominent NGO with an extensive network of established activities and working relationships in Iraq.

Also, the NPM team met with the Iraqi Al-Amal Association, an NGO with chapters in Baghdad, Kirkuk, Karbala, Najaf, Basrah and Mosul. Al-Amal is dedicated to promoting human rights and enhancing women's conditions in education, business, industries, health and government.

Another session was held with the Iraqi Businessmen Union, an important stakeholder in economic policy and legal reform. IBU members represent several sectors including industries, hotel, tourism and banking.

The NPM team this quarter met with the President of *Al Nahrain* University and his senior colleagues, and with the Administration of the University of Baghdad to explain the Tarabot components and discuss the participation of the university as a significant stakeholder in the process of policy development and the Regulatory Guillotine program.

The NPM team also met with the Iraqi Business Women's Association to explore with them the possibilities for their enhanced participation in both the future policy development process and the regulatory reform mechanism.

The NPM team met this quarter with members of a recently established NGO think tank, Public Policies Forum (PPF). The Team briefed the group about NPM activities, while PPF discussed its work in public policy through delivery of seminars, workshops and lectures to different audiences such as the Council of Representatives, university students and government officials. In response to PPF's request for assistance in building their human and institutional capacity, NPM agreed to deliver a workshop in January to five NGOs and think tanks and to establish a "Public Policy NGOs Network".

The NPM team also met with the President of the "Organization for the Advancement of Women" together with one of her active colleagues, to review their current and prospective initiatives as they relate to the NPM's dual activities of regulatory reform and public policy.

The NPM team met in November with six representatives of the "Iraqi Group for Strategic Studies". The organization, which began this year and includes university professors and media consultants with backgrounds in political science, generates independent strategic studies to address political issues to contribute to the unity, stability, and prosperity of the Iraqi nation. As the organization was planning a two-day conference for November, the NPM team took the opportunity to explain the role played by the private sector in the public policy making process.

Private Sector Surveys

A series of short surveys were designed and used in a private sector workshop to explore participant's perceptions of their current role in the process of policy making and the role they would like to play in the future. The surveys also touch on the different ways in which the participants think best to be engaged, in addition to related issues. A survey questionnaire that consists of nine questions was handed out at the end of the workshop. Three of the questions are open-ended, two of them are answerable using a five-point scale, known as Likert scale, and the remaining four questions require simple yes/no answers.

Surveys are currently being planned for use at future workshops, seminars and conferences.

- **2. Conduct two workshops with three provinces regarding their role in policy formulation**

Two workshops were conducted for three provinces (Baghdad, Ninawa and Babil), and seven meetings were held, five with the Minister of State for Provincial Affairs and two with the Minister of State for Women Affairs.

Ministries:

During the quarter, the NPM team held five working sessions with the Minister of State for Provincial Affairs. The Minister requested that the NPM team expand its cooperation with his offices in building the capacity of provinces in the area of public policy making. He expressed his deep appreciation to the Team for delivering workshops on the role of provinces in the process of public policy, to the Baghdad, Ninawa and Babil Provincial Councils. The Minister also reiterated his invitation to NPM to address all the provincial councils when they meet in Baghdad in February on the topic of "The Provinces as Stakeholders in the Process of Policy Making".

Continuing the dialogue begun in mid-August, the NPM team met again with the Minister of State for Women Affairs, who expressed her desire to continue to be engaged with the NPM, particularly about formulation of policy for women's issues.

Provincial Councils:

The NPM team held a series of workshops for Iraq's Provincial Councils, beginning with Baghdad in November. Seventy Provincial Council members, together with a representative

of the State Ministry for Provincial Affairs, participated in discussions about the mechanics of undertaking the public policy process and the role of provinces as stakeholders.

The second workshop was with Ninawa and Babil Provincial Council members in December. Ten members, including three women, traveled to Baghdad, to join four representatives from of the Federal Ministry of State for Women’s Affairs and the Ministry of State for Provincial Affairs, to participate in this workshop’s discussions about the mechanics of undertaking the public policy process and the role of provinces as stakeholders participating in that process. During the proceedings, the Minister of State for Provincial Affairs emphasized the importance of these discussions for provincial council representatives, to enable them to undertake their huge responsibility as representatives of their people to participate effectively as stakeholders in the public policy process.

Public Sector Management Committee on Public Policy:

- **Activity 8. Conduct quarterly coordination meeting with PSM and present NPM component workplan to PSM committee.**

NPM advisors participated in one meeting of the PSM, on October 16. During the meeting, NPM handed its work plan to PSM members and explained its activities. Also, on a regular basis during this quarter, NPM team held meetings with the chairman and the executive secretary of PSM committee to coordinate its policy activities and the launching of ISRAR, the Regulatory Guillotine™.

Table 6: National Policy Management Workshop Participants by Organization and Subject (October-December) 2011

Executive offices	Regulatory Reform	Public Policy Development	Role of private sector, NGO and media in Public Policy	Role of PCs in Public Policy Making	Strategic Planning	Project Management
President Office					4	
Vice President Offices					4	
Presidency Diwan		1			16	
Prime Minister Office		13			36	10
Deputy Prime Minister Office for Economic Affairs					1	
Deputy Prime Minister Office for Service Affairs		1			1	
Ministry of Electricity		6				
Ministry of Health		8				
Ministry of Higher Education & Scientific Research	2	152	5			
Ministry of Industry and Minerals					3	
Ministry of Interior		1				
Ministry of Oil		19				
Ministry of State for Women's Affairs	2		4	3		
Babil Provincial Council				4		

Baghdad Provincial Council				17		
Ninawa Provincial Council				5		
NGOs	6		8	1		
Private Sector	22		14	1		
Media	1		6			
Total	33	201	37	31	65	10

SECTION 5. TRACKING PMP DELIVERABLES

Indicator #	Indicator Name	Annual Target	Qtr I (Oct-Dec) 2011	Status
2.1.1	Number of growth-impairing regulatory burdens identified and reduced	N/A	N/A	PMO is in the process of committing to the RG process (issuance of a ministerial decree and signing of an MOU). Consultation with CoRs is required to ensure buy-in for approval of RG proposed legal changes. An RG unit will then be established to begin inventory of laws and regulations for deletion or modification.
2.1.2	Number of institutional staff: public, private, and Gol (PMO) stakeholders instructed on the Iraq Solutions for Regulatory and Administrative Reform (ISRAR)	N/A	33	24 Male and 9 Female were instructed on the RG process
2.1.3	Estimated annual cost saving to participants in the Iraqi economy	N/A	N/A	This is an annual indicator. Collection of data will begin at the end of FY 2012 and beginning of FY 2013

Table 7: Sub-IR 2.2: National Policy Development and Management Mechanisms Established

Indicator #	Indicator Name	Annual Target	Qtr I (Oct-Dec) 2011	Status
2.2.1	Number of policies developed by Office of Policy Development (OPD) at the Prime Minister Office (PMO) and adopted by Gol	N/A	N/A	PMO policy advisors are currently learning about the process of policy making and therefore have not begun developing actual policies.
2.2.2	Number of Office of Policy Development staff at the PMO trained in policy development process	15	13	12 Male and 1 Female were trained on policy development process

2.2.3	Number of public policy offices established and functional	5	N/A	The President's Bureau of Public Policy was established as the first public policy office in Iraq. A strategic plan is currently being developed. PMO has set-up a unit for policy development. Three ministries (MoI&M, MoE, and MoT) in addition to the NIC have established a policy unit.
-------	--	---	-----	---

Table 8: USAID Standard Indicators (F-Indicators)

Indicator #	Indicator Name	Annual Target	Qtr I (Oct-Dec) 2011
F 2.1	# of USG-supported public sessions held regarding proposed changes to the country's legal framework	10	19
F 2.2	# of training days provided to executive branch personnel with USG assistance	12	20

Notes:

1-After completion of quarter one activities and reviewing actual figures generated for the indicators, we recommend revising the annual target for the following indicators (2.2.2, F 2.1, and F 2.2).

2- For the remaining indicators, *Tarabot* is progressing towards achieving the annual targets.

COMPONENT 3: ADMINISTRATIVE DECENRALIZATION

SECTION I. HIGHLIGHTS

Engagement Phase Success:

Perhaps the most impressive highlight for the AD component this quarter was the broad engagement with the GoI. By the end of December, the AD component had conducted large introductory presentations for 15 different ministries, the Baghdad *Amanat*, COMSEC, and the Presidency Diwan. Similar full-scale AD presentations were conducted for 12 provincial governments. The AD component is comprised of 10 “Consulting Units” operating in different fields, including procurement, project management, organizational development, and the implementation of service centers. Each of the consulting units gave an overview of their objectives and the services they can offer to help GoI counterparts reach those objectives. After the presentations, the project was able to determine which areas the various prospective partners were most interested. The progress of the engagement process is shown below.

Tarabot - Administrative Decentralization Component Engagement Tracker

GOI Offices	Introductory Letter	Introductory Meeting	Official Presentation	Assessment Phase	Action plan	Office Space	MOU	Technical Assistance
Ministries and Central Entities								
Ministry of Agriculture	☑	☑	⌚	☐	☐	☐	☐	☐
Ministry of Communications	☐	☐	☐	☐	☐	☐	☐	☐
Ministry of Construction & Housing	☑	☑	☑	⇄	☐	☑	☐	☐
Ministry of Culture	☑	☑	☑	☐	☐	⇄	☐	☐
Ministry of Displaced & Migrants	☑	☑	☑	⇄	⇄	☑	☐	☐
Ministry of Education	☑	☑	☐	☐	☐	☐	☐	☐
Ministry of Electricity	☑	☐	☐	☐	☐	☐	☐	☐
Ministry of Environment	☑	☑	☑	⇄	⇄	⇄	☐	☐
Ministry of Finance	☑	☑	☐	☐	☐	☐	☐	☐
Ministry of Higher Education	☑	☑	☑	⇄	⇄	☑	☐	☐
Ministry of Human Rights	☑	☑	☑	⇄	⇄	☑	☐	☐
Ministry of Industry & Minerals	☑	☑	☐	☐	☐	☐	☐	☐
Ministry of Justice	☑	☑	☑	⇄	☐	☑	☐	☐
Ministry of Labor & Social Affairs	☑	☑	☑	⇄	☐	☑	☐	☐
Ministry of Municipalities & Public Works	☑	☑	☑	⇄	⇄	☑	☐	☐
Ministry of Oil	☑	☐	☐	☐	☐	☐	☐	☐
Ministry of Planning	☑	☑	☑	⇄	⇄	☑	☐	⇄
Ministry of Science & Technology	☐	☐	☐	☐	☐	☐	☐	☐
Ministry of Tourism and Antiquities	☑	☑	⌚	☐	☐	☐	☐	☐
Ministry of Trade	☐	☐	☐	☐	☐	☐	☐	☐
Ministry of Transportation	☑	☑	⌚	☐	☐	☐	☐	☐
Ministry of Water Resources	☑	☐	☐	☐	☐	☐	☐	☐
Ministry of Youth and Sports	☑	☑	☐	☐	☐	☐	☐	☐
Non Ministerial Entities								
Amanat Baghdad	☑	☑	☐	☐	☐	☐	☐	☐
Divan	☑	☑	☐	☐	☐	☐	☐	☐
Council of Ministers Secretariat	☑	☑	☑	☐	☐	☐	☐	☐
Provinces								
Anbar	☑	☑	☑	⇄	⇄	⇄	☐	☐
Babil	☑	☑	☑	⇄	⇄	⇄	☐	☐
Baghdad	☑	☐	☐	☐	☐	☐	☐	☐
Basrah	☑	☑	☑	⇄	☐	⇄	☐	☐
Diyala	☑	☑	☑	⇄	☐	☑	☐	☐
Diwaniyah	☑	☑	☑	⇄	⇄	☐	☐	☐
Dhi Qar	☑	☑	☑	⇄	⇄	☐	☐	☐
Karbala	☑	☑	☑	⇄	☐	☑	☐	☐
Kirkuk	☑	☑	⌚	☐	☐	⌚	☐	☐
Maysan	☑	☑	☑	⇄	⇄	☑	☐	☐
Muthana	☑	☑	☑	⇄	⇄	⇄	☐	☐
Najaf	☑	☑	☑	⇄	⇄	☑	☐	☐
Ninawa	☑	☑	☑	⇄	⇄	☑	☐	☐
Salah ad Din	☑	☑	☑	☐	☐	☐	☐	☐
Wasit	☑	☑	☑	☐	☐	☐	☐	☐

☑	Completed
⇄	Ongoing
⌚	Scheduled
☐	Pending

Assessment Phase Progress:

This quarter, the AD Consulting Units made significant progress in their respective assessments with many of the GoI counterparts. Each core area unit crafted a specialized assessment to determine the effectiveness of the systems in place and the capacity of the GoI entity in that field overall. The results of these assessments were then analyzed and used to generate a comprehensive action plan for that GoI entity to reach its specific objectives. For example, the project management unit completed its assessment in five ministries and nine provinces. During this quarter, the MoHED, MoMPW, MoCH, MoHR, and MoMD were been the most exemplary partners in completing the assessment phase, while Babil, Diyala, and Najaf have made the most progress so far among the provinces.

Action Planning Phase Initiated:

The next step in the AD assistance cycle, after the engagement and initial assessment, is the action plan phase. This is the final step before the actual implementation of technical assistance; new systems, revised procedures, improved processes, and capacity-building activities. Using results from the completed assessments, each AD core area unit develops a tailored action plan for the respective GoI partner entity. This process is very important because as it is discussed, negotiated, and ultimately approved, it secures the required buy-in from the officials of the partner entity on the proposed system changes and capacity-building activities. These types of changes are often sensitive. The Procurement Consulting Unit developed comprehensive action plans for 10 provinces and three ministries this past quarter, a total of six of which have received formal approval from the counterpart.

Other Highlights: This quarter also witnessed a number of other notable highlights, poising the AD project to have major impact in the coming period.

Service Centers:

In the wake of extensive meetings and consultation with USAID-*Tarabot's* Service Centers Consulting Unit, the MoMPW issued a letter formally expressing their readiness to establish five "One-Stop Shop" service centers in the provinces of Basrah, Diwaniyah, Karbala, Maysan, and Salah ad Din. The MoMPW offers a number of key services to the Iraqi people, including water, sewage, and garbage removal. The MoMPW was the second ministry to formally express interest in establishing a service center. Earlier in the quarter, USAID-*Tarabot* conducted a site survey following a request by the MoHE to explore the implementation of a "One-Stop Shop" service center in a vacant area of their headquarters in Baghdad. The MoHE's services would include the valuation and recognition of academic degrees and certificates, registering complaints, administering student exchange programs, and managing other student affairs.

Administrative Decentralization:

USAID-*Tarabot's* dedicated AD consulting unit kicked off its activities this past quarter, working primarily with the provincial directorates of the MoMPW. This unit aims to assist and facilitate the de-concentration of administrative authority from the center to the provincial ministry directorates. The team met with a total of 42 MoMPW entities, including directorates for water, sewage, planning, and the inspectors general in the provinces of Babil, Diwaniyah, Diyala, Karbala, Najaf, and Maysan. During these meetings, USAID-*Tarabot* advisors began to assist the provincial directorates to determine what authorities they are interested and prepared to take on from the center. Currently, the provincial directorates must request many permits from the MoMPW central offices in Baghdad, often for straightforward yet critical service-oriented functions. The functions discussed include requesting leaves of absence for provincial staff, allocating land for projects of small sizes, and the authority to spend money on projects and maintenance. Currently, the MoMPW's provincial directorates are only permitted to spend about US\$425,000 (ID500 million) without explicit permission from the ministry in Baghdad.

Organizational Development:

The Ministry of Labor and Social Affairs issued an approval to establish a unit dedicated to Organizational Development within the ministry following presentations and consultation from the AD component OD unit. MoLSA is the first ministry to formally approve the creation of such a unit. The OD unit is slated to be

attached directly to the minister's office, and will be responsible for initiating and managing the whole slate of OD activities within the ministry. The OD team will assist the ministry to appropriately staff this team, and provide guidance throughout an OD process that begins with a self-assessment, goal-setting, action planning, and the implementation of the decided upon solutions.

Planning:

This quarter, USAID-*Tarabot* met with the MoP extensively to discuss the proposed revisions to the National Development Plan (NDP) 2010-2014. These meetings have proposed a general scope of work for the proposed revision, as well as an initial methodology with which this task can be undertaken. The methodology revolves around amending and updating the statistics used in the NDP's formulas, recalculating the projections in the plan, and re-evaluating the financial, political, and social aspects of the plan.

Fiscal Management:

USAID-*Tarabot*'s Fiscal Management Unit completed its analysis of the proposed 2012 Federal Budget Law, including its embedded opportunities for decentralization. The opportunities, found in Articles 11 and 21, were described in detail in a white paper drafted by the unit. This white paper will undergo editing and revision ahead of a conference on the same subject tentatively planned for February 2012.

Procurement:

The Procurement Unit wasted no time completing many of its comprehensive assessments and entering the action plan phase. The unit now has approved action plans in the MoMPW, the MoLSA, and the MoHD, and a number of other ministry plans still pending. These three ministries' capital budgets combine to near US\$1.7 billion of Iraq's proposed 2012 Federal Budget Law, and over 7% of the capital budget overall. In 2012, the procurement unit will work to implement the systems and build the ministry's capacity to ensure the effective expenditure of these funds.

Project Management:



Following an in-depth meeting with the USAID-*Tarabot* Project Management Consulting team, the Muthanna Governors' Office issued a formal approval to create a Project Management Office. This Project Management Office will incorporate all of the province's project management functions while employing internationally accepted standard practices and processes. Assistance to create a Project Management Office is perhaps the most significant service offered by USAID-*Tarabot*'s PM team because establishing such an office requires complete buy-in from the province. A Project Management Office encompasses every service offered in all of the technical project management areas, such as project initiation, risk management, time management, cost management, and

scope management. Accordingly, this comprehensive approach represents exponentially more for the province than a training session or the introduction of a single new procedure.

IDMS:

USAID-*Tarabot* has covered significant ground this quarter in terms of implementing the IDMS throughout the GoI. To-date, the IDMS unit conducted 13 workshops in conjunction with the MoP for representatives from a total of 34 GoI entities. The joint team also conducted site visits to the ministries of MoCH, MoCulture, MoMD, MoE, MoEn, MoHR, MoLSA, MoO, MoP, MoT, MoWR, MoH and MoT&A, during which the offline version of the IDMS was installed. Finally, the IDMS team worked extensively with the head of the MoP's NDP Monitoring Unit to implement the Iraq National Monitoring System (INMS)

module of the IDMS. Baseline data for 30 indicators present in the system was assembled over the course of the quarter, and the MoP began inputting the collected data at the end of December.

SECTION 2. CHALLENGES ENCOUNTERED

Perhaps the largest challenges facing the AD component this quarter stemmed from the overwhelming amount of coordination and logistical support required to execute so many high profile introductory events in governors' offices across the country while concurrently conducting similar events for the ministries in Baghdad. In what became the traditional schedule for these presentations, our advisors would find themselves in two ministries on a Monday and Tuesday and in two different provinces on Wednesday and Thursday. Any deviation from the schedule requested by any party made the schedules even more complicated. The logistics of operating in some of Iraq's more rural provinces also provided their own challenges, with insufficient accommodations and lack of communications connectivity.

SECTION 3. PLAN FOR NEXT QUARTER

- In the coming quarter, the AD component will maintain the established momentum. This will entail completing the assessment phases for all of the core areas with each of the partner ministries as well as selected core area services with the governors' offices.
- The eventual passage of the 2012 Federal Budget Law is certain to ease much of our unfinished business, particularly with regards to updating budget execution procedures and promoting decentralization.
- One of the main cross-cutting activities will be undertaking the negotiation and agreement upon Memorandums of Understanding between the AD component and each of its GoI counterparts. At this stage, the component has largely determined which core area services are of interest to particular GoI entities. To-date a substantial amount of time has been dedicated to determining levels of anticipated expenditure and required cost-share from GoI entities necessary in order to reach mutual objectives.
- Continue the rapid roll-out of the IDMS throughout the GoI. Additionally, the component will work with the MoP and other parties to refine the vision and scope of the IDMS for the coming years, including the proposed development of a procurement management module for the system.
- Fiscal management unit conference on Decentralization Opportunities in the 2012 Budget
- Introductory Presentations/Engagements with Wasit, Kirkuk and Baghdad as well as the following ministries: MoA, MoE, MoI&M, MoO, MoTr, and MoYS
- Initiate NDP revision in coordination with the MoP, including selecting a team to undertake this task.
- Continue implementation of the INMS system, including assisting the MoP to generate a report on the NDP's progress using data entered into the system.
- Finalize scope and staffing as well as initiate activities with the Process Development and Quality Management Units.

SECTION 4: ACTIVITIES AS PER THE WORKPLAN

I. AD COMPONENT WIDE

- **Activity 1.1 Counterpart Engagement**
 - Develop 'menus of assistance' for AD core areas.

The AD team's core area units developed polished menus of assistance in both English and Arabic for use during project presentations to our counterparts.

- Conduct presentations for ten ministries and fifteen governors' offices

On the introductory meetings part, the AD component conducted introductory meetings/presentations with 13 ministries, including the MoP, MoF, MoMPW, MoHC, MoHED, MoJ, MoLSA, MoED, MoCu, MoHR, MoMD, MoEn, and MoT&A. Additionally, the AD component conducted introductory meetings or presentations for COMSEC and the Presidency Diwan. In the provinces, the component liaised with all governors' offices, and by the end of the quarter had executed comprehensive introductory presentations for 12 of the 15 governors' offices.

The provinces of Baghdad, Kirkuk, and Wasit are scheduled to participate in full-scale AD introductory presentations in January 2012.

Nevertheless, the provinces of Baghdad and Kirkuk were slow to respond to our requests to introduce the project. The Kirkuk governor requested that we provide many credentials and a mandate from the central government prior to scheduling a meeting with us. The Wasit province simply requested a later meeting date than expected. However all provinces, including these three, expressed interest in the project when our regional managers did their preliminary, interest-gauging meetings.

The upcoming quarter shall witness introductory presentations for Wasit and Kirkuk. Work will also continue to liaise with the Baghdad GO to set up the presentation.



Photo 4: *Tarabot* advisors conduct introductory presentation to GOs

There was extensive media coverage at many of these events. A TV presence was at most provincial introductory presentations as well as many ministry events. MoLSA in particular had over 4 news stations covering their introduction event.

- **Activity 1.2 Public Sector Management (PSM) coordination**

- Conduct quarterly coordination and update meeting with PSM and relevant subcommittees : Restructuring Government, National and Provincial Services Delivery, and Public Financial Management Reform.

The AD component team leader participated in all major meetings with the PSM this past quarter, and provided regular updates on the status of component's activities.

- Present AD component workplan to PSM committee and receive feedback.

Also, the AD component team leader regularly presented the *Tarabot's* proposed activities and partner institutions in PSM committee meetings as well as with one-on-one meetings with members of the PSM committee. Opinions and feedback were provided throughout the quarter.

2. ADMINISTRATIVE DECENTRALIZATION SUPPORT

2.1 Facilitate an enabling environment for decentralization

- **Activity 2.1.1 Disseminate information about the budget law including any decentralization opportunities: Study 2012 proposed federal budget law and produce a white paper that highlights any opportunities for decentralization.**

During the quarter, USAID-*Tarabot* received copies of the then-proposed 2012 budget law as it went through numerous drafts and iterations. The AD Fiscal Management unit studied the law, paying particularly close attention to articles 11 and 21 in which the opportunity for decentralization is clearly present. The Fiscal Management unit produced a draft 25 page white paper providing an overview of the current fiscal situation in Iraq and highlighting the opportunities for decentralization that are present in the 2012 law. This paper is currently being edited and reviewed ahead of the planned conference on the corresponding topic.

2.2 Assist the government entities to implement administrative decentralization.

- **Activity 2.2.1 Devise ministry decentralization guidelines: Conduct research and draft summary of the current system for a selected ministry to identify opportunities for decentralization within the current system.**

The USAID-*Tarabot's* team leader for the MoMPW and team leader for the Administrative Decentralization Consulting Unit developed a comprehensive document outlining the opportunities and methodologies to decentralize the MoMPW functions and responsibilities within the current system.

3. PLANNING

3.1 Improve National and Regional Planning System

- **Activity 3.1.1 NDP Revision.**
 - Agree with the MoP on the SoW for revising the NDP.

In term of improving the national and regional planning systems, the MoP team leader and Planning Advisor worked closely with the MoP Deputy Minister for Technical Affairs to develop a SoW for revising the NDP.

- Prepare methodology for revision.

The methodology was also prepared and includes amending and updating the statistics used in the NDP's formulas, recalculating the projections in the plan, and re-evaluating the financial, political, and social aspects of the plan.

- **Activity 3.1.2 Iraq National Monitoring System operationalized**

The AD team has also assisted the MoP to assemble baseline information for 30 INMS indicators.

- Coach and provide consultation to the MoP on the effective implementation of the INMS as a part of the IDMS.

The IDMS unit also conducted several training and coaching sessions for the relevant MoP staff on the usage and implementation of the INMS. These sessions have ranged from basic overall principles and usage to complex troubleshooting.

- Issue mid-term report on NDP progress using all available information.

The head of the MoP's NDP Follow-Up Unit has not completed the report and is expecting it to be done by the end of January, 2012. MoP's data entry into the INMS has gone slowly, and by December 31, 2011 information for only four indicators had been entered into the system. The USAID-*Tarabot* advisors will continue to work hand-in-hand with the MoP to implement the INMS, and will regularly follow-up on the data-entry activities as well as provide consultation and troubleshooting assistance as necessary.

- **Activity 3.1.4 Establish Provincial Projects Steering Committees: Draft summary of the obstacles facing the horizontal and vertical coordination of planning at the provincial level.**

The USAID-*Tarabot's* Planning Consulting Unit drafted a summary and accompanying presentation on the problems faced concerning vertical and horizontal plans for coordination in the provinces.

3.2 Enhance Capital Investment Projects Planning and Prioritization.

- **Activity 3.2.1 Ministry Projects Prioritization: Draft summary memo of the current five year capital investment plans for each partner ministry.**

The AD component aggregated investment plan information for partner ministries through both direct liaison and review of relevant documents. Some ministries openly shared their investment plans information while the relationship with other ministries was still in the early stages and requesting such level of information sharing was not yet feasible. AD component is currently assembling one-page fact sheets for each partner ministry containing investment planning information.

4. FISCAL MANAGEMENT

4.1 Enhance Iraq's public capital investment budgeting and execution financial system

- **Activity 4.1.1 Support the Iraqi national capital budgeting and execution financial system.**
 - Conduct analysis of the current system.

The USAID-*Tarabot's* fiscal management unit advisors aggregated information through surveys at partner ministries and governors' offices as well as a thorough document review. The outcome of this activity is largely contained in the 25 page white paper which also discusses opportunities for decentralization found in the 2012 budget law.

In the coming quarter, many more ministry and governors' office surveys are expected to be completed. The fiscal management team will update and amend the analysis as further information comes in.

The strengths and weaknesses in the fiscal system were identified and discussed in the white paper. Also, the opportunities for improvement were spotted and mentioned in the paper.

4.2 Enhance the capacity of GoI entities in capital investments budgeting and execution.

- **Activity 4.2.1 Implement budget execution roadmap: Update the Hammurabi Knowledge Base which outlines capital investment projects budgeting and execution cycle to include any revisions.**

The proposed 2012 budget law has not been formally approved by the CoR. Contained within the law, are a number of updates to capital investment budgeting and execution instructions. Advisors have gathered updates from the MoP and are prepared to research, analyze, and incorporate the changes immediately following the passage of the budget law.

- **Activity 4.2.2 Support to capital investment projects budgeting.**
 - Design assessment tool to ascertain budgeting practices and competency.

A comprehensive Fiscal Management Assessment tool was developed, in versions for both ministries and provinces. The 24 page assessment tool covers both budgeting and execution practices and competency.

- Carry out assessment with GoI entities.

In term of assessing needs, the FM team carried out the assessment with the ministries of MoMPW, MoHE, MoHR and the provinces of Babil, Najaf and Ninawa.

This assessment was not finished as quickly as other core area assessments due to its length, sensitivity of information, and need for high-level input. Several assessments were still in the hands of the GoI counterparts as of December 31, 2011, but are expected to be completed in the near term. Our advisors will continue to follow-up with counterparts in order to expedite the process. Returned assessments were analyzed for specific budget weaknesses.

- **Activity 4.2.3 Support to capital investment projects execution.**
 - Design assessment tool to ascertain execution practices and competency.

Also for this activity, the Comprehensive Fiscal Management Assessment tool discussed above covers both budgeting and execution practices and competency.

- Carry out assessment in GoI entities.

Also, the fiscal management team carried out the assessment with several ministries and provinces. Returned assessments were analyzed for specific budget execution weaknesses.

5. PROJECT MANAGEMENT

5.1 Assist to improve the National Capital Investment Project Management System in Iraq.

- **Activity 5.1.1 Support the Iraqi national investment projects management system.**
 - Support the MoP to carry out an assessment of the current system.

The USAID-*Tarabot's* Project Management Unit was unable to secure a meeting with the relevant DG at the MoP in order to formally initiate this activity. However, the PM unit began an assessment of the current system based on review of available materials and MoP regulations in-hand, and has already begun to develop recommendations to modify the system to in greater accordance with relevant international practices and standards.

The PM unit plan to schedule a meeting with the MoP DG of Construction early in the first quarter of 2012. The DG is amicable to such a meeting and the initiative overall, but has been busy with a number of pressing ministry issues as well as a full travel schedule.

- Identify obstacles and areas of weakness.

The project management unit identified a number of obstacles and areas of weakness when contrasting the national regulations for project management at the MoP with those of internationally-recognized Project Management Institute.

- Identify preliminary opportunities for improvement.

Preliminary opportunities for improvement identified.

5.2 Improve capital investment projects management at the ministerial and provincial levels.

- **Activity 5.2.1 Enhance the project management capacities of ministries.**
 - Carry out assessment of the current project management practices of ministries.

The AD advisors have delivered comprehensive PM assessment carried out in partner ministries of MoMPW, MoHE, MoCH, MoMD, MoEn.

- Identify areas of weakness and immediately develop an action plan to develop systems to support proper project management of capital investments projects in each partner ministry.



Photo 5: Project Management Assessment for MoMPW

Also during the quarter, extremely detailed action plans drafted for partner ministries with completed assessments. Each action plan addresses a number of suggested systems improvements.

- **Activity 5.2.2 Enhance the project management capacity of provincial counterparts.**
 - Carry out assessment of the current project management practices of provinces.

PM team conducted assessments for the partner provinces of Anbar, Babil, Basrah, Dhi Qar, Diwaniyah, Diyala, Karbala, Maysan, Muthanna, Najaf and Ninawa. Detailed action plans were drafted for these partner GOs. Moreover, the governors' office in Muthanna and Babil requested the creation of an entire PM unit within their organizations, representing total buy-in of all of the project management units suggested systems improvements

6. PROCUREMENT

6.1 Enhance Iraq's national public procurement system.

- **Activity 6.1.1 Improve national procurement system.**

- Identify current problems, bottlenecks, and obstacles in the procurement system with the MoP, MoF, and the PMO.

The USAID-*Tarabot's* Procurement Consulting Unit conducted a number of meetings and assessments with the MoP and MoF and identified current problems and obstacles throughout the quarter. The head of public contracts in the MoP discussed these extensively with our team as well as proposed changes to the nation's procurement law.

6.2 Improve procurement processes at the ministerial and provincial level.

- **Activity 6.2.1 Implement standard procurement process: Assess the current procurement process at counterpart GoI entities to ascertain weaknesses and bottlenecks in the system.**

Also, a comprehensive procurement assessments completed in the provinces of Anbar, Babil, Diyala, Dhi Qar, Diwaniyah, Karbala, Maysan, Muthanna, Najaf, Ninawa as well as the ministries of MoMPW, MoLSA, MoHE, MoMD, and MoHR. The unit's assessment covers all aspects of the procurement cycle including the planning and standards processes, the usage of standard bidding documents and archiving.

- **Activity 6.2.2 Assist procurement planning: Assess the current procurement process at counterpart GoI entities to ascertain weaknesses and bottlenecks in the system.**

Comprehensive procurement assessments completed in partner ministries and provinces. The unit's assessment covers all aspects of the procurement cycle.

- **Activity 6.2.3 Implement standard bidding documents: Assess the current practices at GoI entities in using bidding documents.**

Comprehensive procurement assessments completed in partner ministries and provinces. The unit's assessment covers all aspects of the procurement cycle, including the usage of standard bidding documents.

- **Activity 6.2.4 Improve procurement records management system: Assess the current procurement document archiving systems at GoI entities.**

Comprehensive procurement assessments completed in partner ministries and provinces. The unit's assessment covers all aspects of the procurement cycle, including document archiving.

- **Activity 6.2.5 Posting business opportunities on GoI entity websites: Develop standardized format for business opportunity announcements for website publication.**

The USAID-*Tarabot* assisted to develop a standardized format for announcing tenders on GoI entity websites. Additionally, the project met with the World Bank to discuss future initiatives in improving procurement practices with online resources.

7. ORGANIZATIONAL DEVELOPMENT

7.1 Enhance organizational development of key GoI entities.

The OD advisors have presented OD plans to 15 GoI ministries and provinces. OD Assessments were completed for four provinces. Provincial OD activities are to be moved to the USAID GSP program, at which time the results of the assessments will be turned over to GSP for them to advance.

8. QUALITY ASSURANCE

8.1 Improve the Quality Assurance systems of the GoI entities according to internationally recognized standards.

- **Activity 8.1.1 Introduce international standards for quality: Identify one potential GoI counterpart interested in implementing ISO 9000.**

The USAID- *Tarabot* advisors have conducted initial meetings with GoI counterparts to introduce Quality Assurance activities including the implementation of ISO 9000. Both of the MoCH and MoHE have reported interest to receive technical assistance in this regard.

9. SERVICE IMPROVEMENT

9.1 Assist to improve delivery of public services to Iraqi citizens

- **Activity 9.1.1 Enhance the quality of key services.**

- Conduct three service quality assessments.

Service quality assessments were conducted in the five ministries of MoMPW, MoHED, MoMD, MoLSA and MoJ.

- Develop list of target services.

The Service Centers developed a list of several target services provided by partner ministries. Additionally, the MoMPW and MoHE have formally expressed interest in establishing service centers for their own targeted services.

- **Activity 9.1.2 Establish ‘One Stop Shops’ for service delivery.**

- Develop RFP for the design of a model “one-stop shop” service center.

RFP drafted with assistance from USAID-*Tarabot*'s procurement advisor and submitted to project management for review.

- **Activity 9.1.4 Design sample promotional activities for the “One-Stop Shop” service center concept**

Several brochure and flyer designs drafted and evaluated. Final design selected.

11. Iraq Development Management System (IDMS)

11.1 Automate government capital investment management and monitoring in Iraq.

- **Activity 11.1.1 Operationalize the IDMS at the MoP, MoF, and Executive Offices: Support the establishment of an IDMS help desk at the MoP including a draft organizational chart and SoW.**

The *AD* advisors provided the MoP IDMS teams with organizational chart and SoW for a help desk as well as some equipment. In the first week of 2012, the ministry also signed an official letter to formally create the help desk.

11.2 Operation

- **Activity 11.2.1 Operationalize the IDMS in GoI entities.**

- Coach GoI entities to utilize the IDMS.

Also, the USAID-*Tarabot* collaboratively worked with the MoP to deliver 13 joint workshops on the IDMS for attendees from 34 GoI entities, including most ministries.

- Provide technical assistance for GoI entities to install the online and offline versions of the IDMS.

The IDMS advisors also worked with the MoP's IDMS team to conduct site visits and install the offline version of the IDMS at 14 GoI entities.

- Assist GoI entities to initiate entering their projects' data into the IDMS.

The process of entering data into the IDMS is yet to start due to non passage of the 2012 Budget Law. However, staff at 34 ministries and other governmental entities has been trained on the IDMS application and are ready to do so as soon as the budget is passed.

Table 9: Administration Decentralization IDMS Workshop Participants by Organization (October-December) 2011

Organizations	IDMS
Prime Minister Office	4
Council of Ministers	6
Ministry of Communications	4
Ministry of Construction and Housing	6
Ministry of Education	1
Ministry of Electricity	3
Ministry of Environment	3
Ministry of Finance	13
Ministry of Health	3
Ministry of Higher Education & Scientific Research	7
Ministry of Human Rights	6
Ministry of Industry and Minerals	2
Ministry of Interior	5
Ministry of Justice	4
Ministry of Labor and Social Affairs	4
Ministry of Municipalities and Public Works	16
Ministry of Oil	5
Ministry of Planning	17
Ministry of Science & Technology	3
Ministry of Trade	3
Ministry of Transportations	1
Ministry of Water Resources	4
Ministry of Youth and Sports	4
Olympic Committee	2
Paralympics Committee	5
Shiaa Endowment	5
Sunni Endowment	7
Supreme Judicial Council	4
Baghdad Governorate Office	2
Commission of Integrity	3
Endowment Christian and other Religions	3
Total	155

12. SOCIAL SAFETY NET (SSN)

12.1 Manage the Gol's support to the poor using a management information system.

- **Activity 12.1.1 SSN rollout and operationalized to all 15 provinces of Iraq: Assist MoLSA to deploy the SSN to three additional provincial sites.**

SSN deployed to three new provincial sites this quarter: Salah-ad-Din, Ninawa, and Kirkuk.

- **Activity 12.1.1 Operations and Maintenance: Assist MoLSA to operationalize deployed SSN sites and ensure connection to the MoLSA HQ.**

All deployed SSN sites operationalized and connected to central server in MoLSA headquarters. Diwaniyah province is the most recent addition to the deployment process.

- **Activity 12.1.3 Capacity Development Plan**

- (a) Assess current needs in MoLSA and accompanying SSN sites.

Assessment for SSN needs in the central ministry headquarters and remaining sites for SSN deployment conducted.

- (b) Draft mid-term capacity building plan for continued implementation and operation of the SSN based on previously developed recommendations.

A three year plan for implementation and operation of the SSN drafted based on recommendations found in the World Bank's SSN assessment report.

SECTION 5. TRACKING PMP DELIVERABLES

Table 10: Sub-IR 3.1: Regulations and Administrative Supports Necessary for Effective Decentralization Implemented

Indicator #	Indicator Name	Annual Target	Qtr I (Oct-Dec) 2011	Status
3.1.1	Number of ministries that have initiated de-concentration changes	N/A	N/A	Tarabot began working with provincial directorates for the MoMPW to explore the de-concentration of administrative authority they are interested and prepared to take on from the ministry.
3.1.2	Number of regulations and administrative orders supporting de-concentration ministries activities	N/A	N/A	Tarabot is currently analyzing the proposed 2012 Federal Budget Law and exploring opportunities for decentralization. A white paper was drafted identifying and explaining the opportunities found in Articles 11 and 21. Once completed, it will be presented in a national conference.

Table 11: Sub-IR 3.2: Provincial Resource Management and Service Delivery Strengthened

Indicator #	Indicator Name	Annual Target	Qtr I (Oct-Dec) 2011	Status
3.2.1	Number of ministries initiating improved organizational structure change	2	N/A	MoLSA have agreed to establish a unit responsible for initiating and managing organizational development activities within the province.

3.2.2	Number of line ministries with Business Process Systems reengineered	5	N/A	In quarter two FY2012, <i>Tarabot</i> will work with partner organizations in identifying key processes to target for improvement.
3.2.3	Number of service delivery units in compliance with ISO 9001	1	N/A	MoCH and MoHE have expressed interests in implementation of ISO 9001 standards.
3.2.4	Number of ministries utilizing the IDMS to manage and monitor their capital portfolio	2	N/A	<i>Tarabot</i> installed versions of the IDMS software (off-line) in 14 GoI entities.
3.2.5	Number of Governors' Offices utilizing the IDMS to manage and monitor their capital investment portfolio	3	N/A	In quarter two FY2012, <i>Tarabot</i> will coach executive offices on usage of the IDMS.
3.2.6	Number of one-stop-shop service center implemented	1	N/A	MoHE have shown interest in establishing a service center at the ministry headquarter while the MoMPW have expressed their readiness to establish service centers in Basrah, Diwaniyah, Karbala, Maysan, and Salah ad Din.
3.2.7	Number of new capital projects initiated at the provincial level	N/A	N/A	This is an annual indicator. Collection of data will begin at the end of FY 2012 and beginning of FY 2013
3.2.8	Percentage of citizens surveyed in key areas who report improved service delivery procedures	N/A	N/A	This is an annual indicator. Collection of data will begin at the end of FY 2012 and beginning of FY 2013

Table 12: USAID Standard Indicators (F-Indicators)

Indicator #	Indicator Name	Annual Target	Qtr 1 (Oct-Dec) 2011
F 3.1	# of training days provided to executive branch personnel with USG assistance	25	57
F 3.2	# of Sub-national entities receiving USG assistance that improve their performance	5	19
F 3.3	# of administrators/officials trained with USG support	700	N/A

Notes:

1-After completion of quarter one activities and reviewing actual figures generated for the indicators, we recommend revising the annual target for the following indicators (F 3.1, and F 3.2).

2- For the remaining indicators, *Tarabot* is progressing towards achieving the annual targets.

PROJECT ADMINISTRATION

Security Company License Issue A key issue continuing through December is the expiration and delayed renewal of the operational licenses for USAID-*Tarabot*'s security provider, Sallyport. The GoI ceased to renew all licenses for Private Security Companies on or about November 1. Although the Ministry of Interior issued a letter authorizing Sallyport as the security company at its locations and compounds, they are not yet authorized to provide transportation. The full license renewal is now reported to have been signed-off on by the Ministry of Interior and to be sitting on the desk of the Prime Minister. Meanwhile Sallyport continues to subcontract the actual transportation of clients to several other companies. As of the writing of this report, there is still no solution.

Travel and Security Entry to the IZ continues to be strict and uncertain, causing many delays and occasional inability to attend scheduled meetings with USAID and with government clients located in the IZ. Trips from the compound into the IZ still usually take well over an hour. USAID and Embassy personnel continue to be restricted from travel outside the embassy compound. For the last half of the month, the project curtailed all but travel deemed to be "mission critical". Late in the month there was a complex series of bombings on a variety of targets throughout the city.

GoI announced that as of January 16, specific documentation would be required for travel to and from BIAP. The prospects for this new requirement may impact the deployment flow.

IZ presence The project has finalized arrangements for a villa in the IZ in order to facilitate regular contact between project advisors and their GOI executive office clients. This will especially serve the Civil Service Reform component and the National Policy Management component. It will also alleviate the problems caused by the tighter checkpoints at IZ entry routes. The project's ability to take possession of this villa was delayed by the unplanned extension of the previous project, but USAID-*Tarabot* should be in possession of a functioning villa by January 20. By the date of this report, complications have arisen since the Government has sent an eviction notice to security companies regarding compounds and villas in the IZ. We are in discussions with COMSEC regarding options for maintaining the site for USAID-*Tarabot*.

Visas The Ministry of Interior issued new visa and entry procedures. Upon arrival, an advisor with demonstrated proof of employment will be issued a visitor's permit valid for only 30 days. This permit can be extended twice for 10 days each time. Following these two extensions, the advisor must leave Iraq, secure a new visitor's permit, and then return for another 30 day visitor's permit, with two extensions. Having all expatriate staff members leave the country every 50 days will increase costs, reduce person days in country, and interrupt the flow of work. It is not certain that the second round of visitor's permits will be issued easily. One USAID-*Tarabot* advisor was refused permission to return on this visitor's permit due to being a resident of India. The project is appealing that decision.

Compound offices & housing The project secured and completed a new house to provide office space for *Tarabot*'s new Ministry of Education program, and to provide much needed workshop, training and meeting space. Renovations of one house and the completion of another are planned to add up to 10 residence rooms, bringing *Tarabot*'s total compound residence rooms to 40.

Regional and provincial offices USAID-*Tarabot* has received agreements and established office space in all 15 governorates, including the three regional offices and eleven provincial offices. 50 staff members are currently deployed at these offices.

Staffing and Deployment The project has a staff of 26 expatriate and 171 local personnel as of December 31, 2011.