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PBG ANNUAL REPORT

'Programme de Bonne Gouvernance'

Contract No. DFD-I-00-08-00071-00
Task Order No. DFD-I-01-0800071-00
USAID Project Office: USAID/EA/RAAO

YEAR 3
October 1, 2011 – September 30, 2012

November 2012

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

Task Order Annual Report

Programme de Bonne Gouvernance

Annual Report for FY 2012

October 1, 2011 – September 30, 2012

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DISCLAIMER

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TABLE OF CONTENTS

SECTION I	INTRODUCTION	04
SECTION II	ANALYSIS of TRENDS IN THE SECTOR	04
SECTION III	SUMMARY OF PRINCIPAL ACCOMPLISHMENTS IN YEAR 3	06
SECTION IV	YEAR 3 PMP RESULTS	12
SECTION V	OUTSTANDING CHALLENGES & OPPORTUNITIES	27

LIST OF APPENDICES

ANNEX 1	YEAR 3 Activity Update & Outline of Year 4 Activities
ANNEX 2	Evaluation Summary and Presentation, Indicator 1.6
ANNEX 3	Evaluation Summary and Presentation, Indicator 1.8
ANNEX 4	Evaluation Summary and Presentation, Indicator 2.10
ANNEX 5	Evaluation Summary and Presentation, Indicator 3.8

I – INTRODUCTION

In October 2009, the life of the ‘Programme de Bonne Gouvernance’ (PBG) began. This third annual report, covering activities from October 1, 2011 to September 30, 2012, is dedicated to providing supplementary information on the third year of implementation (FY 2012) not already covered in previously submitted quarterly reports of activities.

PBG is a \$36,251,768 five-year (three years with two option years) program whose purpose is to improve management capacity and accountability of select legislatures and local governments. The program operates in five areas of the country (the capital, Kinshasa and the provinces of Bandundu, Katanga, Maniema and South Kivu), working closely with three categories of Congolese partners:

- I. Civil society and community-based organizations;
- II. Parliamentary institutions at the central and provincial level; and
- III. Public institutions having a stake and role in decentralization.

Sections below and the annexes of this Annual Report are intended to provide an overall summary update on the implementation of activities during the third year of program operation from October 2011 to 30 September 2012. It was also designed to provide complementary information that was not already provided in previously submitted quarterly reports including:

- ❖ an analysis of overall sectorial trends, (Section II),
- ❖ principal accomplishments, including an update on procurement activities (Section III),
- ❖ Summary of PMP results by end of Year 3 (Section IV)
- ❖ outstanding challenges (Section V).
- ❖ status updates on workplan activities – past and upcoming (Annex 1), and
- ❖ an update on PBG contractual deliverables (Annex 2)

II – ANALYSIS OF SECTOR TRENDS

IR 1 - Trends Among Civil Society in Targeted Provinces

- **Collaboration with local authorities:** PBG activities encouraged a win-win strategy and the message seems to have an impact on our Civil Society (CSO) partners. This approach, which calls for a constructive dialogue between CSOs and the authorities for the demand for accountability has borne fruit. Indeed, CSOs are fast becoming a Civil Society who collaborates and offers solutions instead of using information and awareness-building as a means to attack the authorities. PBG has played a major role in this gradual conversion.
- **Collaboration with the Provincial Assemblies:** After the 2006 elections the CSOs and MPs evolved in a relationship of mutual antagonism which sometimes led to open conflict. Today with mixed activities such as legislative hearings, and public hearings (dialogue for action), which include both civil society and elected officials, they work in harmony to address citizens’ concerns. There has been an opening up of relations between some elected officials and CSOs which is characterized by closer cooperation in the search for solutions to issues of general interest. This tendency should only be enhanced in the future.
- **Partners take the initiative:** Among the activities initiated by the PBG, CSOs have commenced to plan public hearings (dialogues for action) independently, without relying on technical and logistical assistance previously provided by the project. This tendency is not limited to just CSOs but also the authorities have taken the initiative on their own to organize and conduct dialogues or have actively sought out the support of the PBG for their organization. This trend

demonstrates a propensity to adopt this tool for interactive dialogue as a means of exchange between the authorities and the people.

- **A new consideration for advocacy:** As a result of the grants program, CSOs are beginning to understand that their primary purpose is to conduct advocacy to influence decision makers in the formulation of policies. After realizing the importance of working with MPs and the authorities to allow the former to play their role as representatives to their constituents and the latter to be accountable for their actions. CSOs grew to understand that their mission goes well beyond awareness-building. Specifically, they begin to consider awareness-building as a tool for advocacy and they are much more effective utilizing this approach.
- **Positive changes in the way authorities view citizen control of their actions:** Local and provincial authorities who were initially very skeptical when viewing CSO actions within the framework of citizen control, began to understand that they are accountable and adapted to becoming more transparent, opening doors to CSOs in order to mitigate criticism. This occurred even in the most sensitive areas such as the battle against corruption. This was the case, for example, in Kikwit.
- **Changes in attitude concerning women:** *Circle des femmes* broadcasts have not only enabled women to express themselves but also to believe in their abilities. This translates into an awareness of the role they can play in society. For example, of the 10 women leaders who participated in the *circles des femmes* programs in South Kivu, four women presented their candidatures for the National Assembly. These broadcasts have also influenced male leadership figures to view women in a different manner. An example of this positive evolution is the case of Madam Kanyuli who confirms that the district chief in the town of Nyalukemba Ibanda presented her with the sum of 5 USDs along with his congratulations for the quality of her intervention in a *circle des femmes* broadcast. This demonstrates a predisposition to a change in the manner in which men consider women.

IR 2 - Trends Among Parliamentary Actors in Targeted Provinces

- Following the 2011 elections, the new political leadership of the National Assembly appears to be more open to collaboration with PBG which has permitted us to initiate a more coordinated partnership (Parliamentary Information Days, mid-term evaluation of the Staff of the national Assembly, etc.);
- The context of the postponement of provincial elections has led to the MPs showing less interest in participating in workshops. Their focus is much more oriented towards preparing for the next elections.
- However, requests for technical assistance and logistical support for the development of edicts remained common, and growing.
- The administrative staff of the provincial assemblies remains interested in training (inventory management and inventory, GAR, strategic planning, etc.);
- Collaboration between IR1 and IR2 has increased, resulting in the organization of activities including civil society and MPs (DPA, legislative hearings);
- Revision of the legal and institutional framework of the provincial assemblies continued (review of bylaws, administrative and financial regulations, etc.);
- Results from the capacity evaluations of provincial assemblies have yielded a general trend of an increase in the capacities' of deputies in the four provinces, except in the field of media relations. At the administrative level there was an increase in the parliamentary administrations' capacities in Maniema and Bandundu. In contrast, there was a decline in the capacities of parliamentary staffers of the National Assembly, Katanga and South Kivu.

IR 3 - Trends among government actors in the context of the implementation of the Decentralization reform

- An increased interest in decentralization.
- An increased willingness to govern transparently and with citizen participation at the local level.
- Increasing realization of the links between increased revenues and improved performance by the ETD.

III – SUMMARY OF PERFORMANCE ADVANCES

The following section identifies the area of focus and achievement of PBG in its third year of operation, the approach adapted with different types of audiences and the purpose and intent of work conducted as part of its effort to improve good-governance and facilitate the process of decentralization in the Democratic Republic of Congo (DRC).

Program Advances through Civil Society partners (IR1)

The third year of the program on Good Governance was more focused on the implementation of grants. The grant program has enable PBG to evaluate the impact of its workshops by allowing the CSOs to implement the skills and tools learned during these trainings. The grants program has achieved several complementary goals at the same time.

- Several topics were emphasized including: monitoring the budget process, with a citizen oversight approach aimed towards providing for a win-win scenario for demanding accountability, the creation of databases, advocacy, monitoring of parliamentary activities, and a wide range of issues with common objectives were taken into consideration including gender issues and the battle against corruption.
- Assessments conducted at the end of the year clearly showed that the CSOs have improved their advocacy capacity by significantly differentiating advocacy from awareness-building, which allowed them to form positive, productive relationships with the Provincial and ETD authorities. Some CSOs do not even hesitate to use the term for their collaboration as indispensable for the authorities. This approximation is verified in the field by the Dialogues for Action (DPA) and organized by the establishment of frameworks for dialogue with the authorities in various sites. DPAs which, during the first and second year were organized by the PBG were now initiated and organized by CSOs. A new culture has been installed and continues to gain momentum as CSOs respond to the need for organizing DPAs even after the closeout of the first phase of grants. This represents a success for the PBG as it demonstrates ownership of these activities by CSOs and the government. CSOs now believe to conduct advocacy to institutionalize this approach would requires the authorities to discuss relevant issues with the governed. In Katanga, an encounter that took place between the provincial minister of agriculture and small scale farmers to discuss fundamental questions about farmers' rights in the conference room of the governor's office, and which was organized by SOCIKAT, demonstrates an example of reconciliation which was inconceivable not long ago. It is no coincidence that 6,472 people were involved in this DPA. This displays a clear desire to discuss, contribute, and convince, instead of an action reduced to a hostile denunciation of corruption. This reconciliation not only produces positive relations but also a good mutual feeling of accomplishment is created by taking into account common interests. This means, that this approach achieves two positive results: CSOs can exercise influence in decision-making and

it also provides for citizens to become aware of their duties and obligations.

- To date, all advocacy campaigns have led to the drafting of edicts which potentially could lead to changing the *status quo* in many areas and improving the quality of provincial budgets. In South Kivu, for example, the province has added a section on providing treatment for diabetics in the provincial budget, and a decree issued by the provincial governor on participatory budgeting that will soon be signed. This is a huge step forward compared to the simple awareness-building activities that was previously the CSOs priority.
- The second component concerns civic education campaigns, implemented by way of advocacy campaigns, which lead citizens to fulfill their responsibilities. Notable examples include the payment of taxes by demanding to be issued receipts in Likasi's markets and the refusal to pay taxes in-kind in the Alunguli market.

All these activities were made possible because CSOs have realized that the only way to convince the authorities was not to rely on rumors, but to collect data in the field which is reliable and credible. This process has allowed CSOs to discover and demonstrate the potential which exists in their decentralized territorial entities which they were not aware of before. In addition, other progress by CSOs has been made in the monitoring of parliamentary activities using the site *Gouvernance pour Tous*. By posting articles on the opening of Parliament on the internet and cultivating positive relationships with members, the site's audience continues to grow, even as CSOs are still in the development stage of creating a data collection system. The site will interact with elected officials and leaders, monitoring the legislative process and provide a range of information that will facilitate CSOs efforts to conduct advocacy campaigns.

- Finally, *A nous la parole* broadcasts under the *Circles des Femmes* program contribute to improving the image of women. These emissions have provided the participants with a means of achieving self-confidence and to become more ambitious in relation to their participation in decision-making. Assessments conducted by Search for Common Ground these emissions have attested to this trend.

In conclusion, CSOs continue to progress in the field of governance thanks to the grants program and technical assistance from PBG, despite the claims of CSOs in favor of a cash grants to enable them to improve their management skills.

The most important indicators:

1.1 Nbr persons trained (CSO)	5937
1.2 Nbr interactions (CSO/Parl/Govt)	277
1.3 Nbr advocacy campaigns	13
1.4 Nbr participants (Public Audiences)	6472
1.5 Nbr Media participation / coverage	186
1.6 Score CSO capacity	0
1.7 Nbr CSO on budget review/comment	301

Outlook for Year 4

CRITICAL ASSUMPTIONS, RISKS, CONSTRAINTS AND LESSONS LEARNED.

- The achievements of the PBG are real and effective in the field of interaction between the various stakeholders and in the field of advocacy on budget monitoring and the involvement of women. The third year helped initiate a process of reflection at the ETD level which oriented stakeholders towards achieving the program goals. But these benefits may be compromised by the probability of occurrence of certain changes and external situations that PBG will have difficulties coping with.
- The first element which obviously has no doubt is insecurity. With the growing insecurity in the east, the implementation of program activities will be severely disrupted by difficulties inherent in moving experts in the provinces. The program of the battle against corruption has already been impaired by this issue during the last year.
- Mechanisms in place to ensure ownership of the activities of PBG are complex and require sufficient time to ensure for the sustainability of achievements. The most crucial issue is to have sufficient funding that will ensure completion of all actions initiated during the first 3 years. Sudden ruptures would affect the implementation of PBG's exit plan.
- For the activities undertaken by the PBG to lead to conclusive results, the authorities should be open and embrace a culture of involving CSOs in the public institution's various activities. The participatory planning process is a true lesson in democracy. It brings forth a change in the behavior of citizens for developing a "culture of democratic decision-making" and a "culture of transparent management of public affairs."
- The administrative and financial autonomy of *communes* must be the goal of decentralization, but currently decentralization faces many constraints. This delay in decentralization reform has negative consequences for the implementation of PBG activities regarding effective citizen participation in local governance, gender sensitivity and respect for human rights.
- PBG has worked with provincial authorities and provincial politicians, and their presence was a definite asset. Involved in various programs, they have been able to offer a commendable contribution towards the success of capacity building activities. Any change that would occur in the composition of the partners after the elections may result in a capacity loss and if the activities of PBG are not "institutionalized", the arrival of new faces will impact on the achievements of the program and force a probable return to "square one".
- The grant program has not focused heavily on the themes chosen for each province. But this could become a reality if the amendments made by the logical framework leads to a new philosophy to better adapt mobilization actions towards achieving the projected goals.

Lessons learned.

- Enhancing the capacity of CSOs partners by transferring the responsibility of implementation of certain activities to them such as Dialogues for Action and grants encourage improved opportunities for ownership and sustainability.
- Seeking to improve the impact of the presence of women in decision-making involves working concurrently with the IR3 women's roundtable program roundtable and all women platforms existing in each province.

- CSOs are not interested in the search for complementary activities and the presence of synergistic actions with other partners as a result of problems related to internal governance and conflicts generated by such relationships when the notions of transparency are not taken into account. These CSOs should make an effort to enhance their own abilities and work in coordination with local institutions and even national institutions.
- The opening up of some authorities and elected officials to CSO participation in PBG activities have largely contributed to the emergence of a new culture, ownership and sustainability for program activities.
- Civil society encourages community participation in the implementation of development programs. The commitment and ownership should not be limited to partners. Better mobilization of populations in the actions of CSOs partners lead to the emergence and viability of a new culture of transparency and ethical citizens

Parliaments and Elected officials (IR2)

THE NATIONAL ASSEMBLY:

The renewal of the National Assembly and the arrival of a more open *bureau* has permitted PBG has to renew its partnership with this institution. In addition, the coordination of donor interventions continued. Major PBG achievements in collaboration with the National Assembly include the following:

- A workshop on the draft Rules of Procedure of the National Assembly. This review helped to modify the Rules of Procedure for the current legislature;
- The Parliamentary Information Days: This activity allowed newly elected MPs (80%) to acquire the basic knowledge necessary to perform their duties;
- The mid-term assessment of the National Assembly's capacity: Due to the turnover of elected officials this activity was limited to the parliamentary administration only. This allowed PBG to assess the administration's functional abilities and adapt current support accordingly.
- The presentation of the website of good governance, followed by discussion of its use.

THE PROVINCIAL ASSEMBLIES

Due to the postponement of provincial elections, and for the sake of sustainability, IR2 staff concentrated on activities in favor of the parliamentary administrations. However, in addition, MPs have received training in legislative hearings and technical assistance in the production of edicts. The mid-term capacity assessment of the target Provincial Assemblies was also conducted. Major PBG achievements in collaboration with the Provincial Assemblies include the following:

- A workshop on results-based management;
- A workshop on Strategic Planning;
- A workshop on Conflict Resolution;
- A workshop on legislative hearings in Katanga, Maniema and Bandundu;
- The workshop on policy research and how to use reports in Maniema;
- The mid-term review of the Provincial Assemblies: This activity permitted PBG staff to assess the impact of PBG on the capabilities of the MPPs and government civil servants and adapt the program accordingly. The lessons learned from this evaluation were taken into account during the planning session for year 4 activities including the need for further technical and/or logistical support for the production of edicts and organizing training on media coverage of Provincial Assembly activities on the function of representation.

- Support for the RCPP (Congolese Parliamentary Personnel Network): General Assembly held in Kinshasa (attended by delegates from all the provincial assemblies), training the General Assembly participants on welcoming newly elected MPs; and providing a review of the workshop to their colleagues in the Provincial Assemblies.
- The technical and / or logistical assistance for the drafting of edicts, among which there are:
 - Edicts on the Environment, Marital Status and Taxation in South Kivu province;
 - Edicts on Child Protection and Traditional laws in Bandundu.

Outlook for Year 4

ASSUMPTIONS

- If funding in year 4 of the program is not fully granted, IR2 will perform most of its activities during the first six months ie up to March 2013.
 - In this case, PBG's interventions will be limited to only those activities considered high priority.
 - In the same scenerio, 6 months would be further reduced to three months (October, November and December) if the National Assembly does not provide for a special session during the next recess (15 December 2012 - 15 March 2013).
- If the progressive reduction of activities in the provinces occurs during year 4, IR2 will direct most of its activities towards supporting the National Assembly.
- As long as the provincial elections have not been held, IR2 cannot carry out activities designed especially for new MPs.
- The evolution of the security situation in the east of the country will determine the implementation of activities in parts of the country, particularly in Maniema and South Kivu.
- If the additional program funding is granted for the remainder of year 4, there should be a prompt update of activity planning to add medium priority activities to those that are considered high priority.

Gouvernement Representatives (IR3)

Year 3 of the PBG IR3 program was a pivotal year within the context of of IR3's implementation. It also represented the year that the program attained its cruising speed. The activities carried out during this period will have a genuine impact on the program's outcome and objectives. Among these activities are the following:

- Performance evaluation of decentralized territorial entities (ETDs) which concluded in achieving all indicators;
- Implementation of grants supporting the rehabilitation of two schools in the town of Lukolela (City of Kikwit) and the Bukanga Lonzo Sector both located in the province of Bandundu;
- Facilitation of the signature of the contract between the town of Katuba and a private company under private public partnership (PPP);
- Supported the validation of the national strategy for the *transfer de competence et resources* (transfer of power and resources) to the provinces and ETDs. This strategy also defines the operational plan and the timing of the transfer of judicial powers;
- In collaboration with the ETD authorities and CSOs, development of management tools for the administration of local finances. These tools will promote transparency and inclusion and have led to the establishment and operations of budget committees that are expanded to include CSOs in each partner ETD;
- The online decentralization website is now managed and updated by the CTAD;
- The development of a taxpayer database for the city of Bukavu. This pilot project could be replicated in other ETDs targeted by the program;
- The establishment of synergy in each province between female leaders in the public sector.

Outlook for Year 4

Assumptions

- That the project will be extended for a fifth year, and that we shall therefore have a full year in which to implement the scheduled activities.
- That we shall continue to enjoy the confidence of CTAD and shall work in collaboration with them in formulating and developing decentralization policy.
- That legislation will be passed through the national Parliament in accordance with the plans of the government.
- That the management of ETDs (mayors and bourgmestres) will not change.
- That the government, the council of the magistrature and the national assembly will be interested in discussing the implications of decentralization legislation.
- That provincial elections will not unduly interfere with work in the provinces.

Advances with the Procurement Plan

In year 3 of the PBG program, large procurement for the operational side of the project was limited to an additional two vehicles for the Bandundu and Katanga provincial offices. The exoneration documentation for these vehicles will be revised and resubmitted during program year 4.

The project also kicked off the process for the procurement of IT support for the National Assembly during year 3. A budget of approximately \$150,000 in IT equipment and software is reserved for this activity, scheduled to be finalized by March 15, 2013, in time for the start of the new session of Parliament. Taking advantage of the opening PBG has with the newly elected National Assembly, the project has been and will continue to work in close collaboration with the First Vice President of the Assembly's office to elaborate the IT needs, and plans to coordinate all procurement with other donors to ensure a continuity of service. In collaboration with the parliamentary administrative staff and with the support of PBG, the elected officials can work together to install a program of training and inventory controls for the materials to ensure their proper use.

Plans for IT procurement to support the provincial assemblies have been delayed until after the provincial elections. The reason for the delays in this procurement is to ensure proper stewardship on the part of the four assemblies. With parliamentary elections tentatively scheduled for 2013, the PBG staff wants to make sure that the new assembly members be in place before distributing the new material.

IV – SUMMARY OF YEAR 3 RESULTS ON PBG’S PMP

PBG PMP INDICATORS, TARGETS & RESULTS by end of Year 3

REF	Indicators IR 1	Target Year 3 FY2012	Actual Results FY2012
1.1 R	Number of people who have completed United States Government (USG) assisted civic education programs	3,850	5,937
<p>Training and civic education continue to be an important part of the IR 1 program. There is a continued strong demand for the sharing of knowledge and transparency by civil society. The proximity of PBG programmatic activities to the target audiences in the provinces allows the program to deliver at levels that surpass the original target.</p>			
1.2 R	Number of local mechanisms supported with USG assistance for citizens to engage their local government	132	277
<p>The higher than planned results for this indicator are a testimony to the close collaboration between IR 1 and IR 3. While IR 1 seeks to promote constructive contributions from civil society, IR 3 works with local governments to open their decision making processes to civil society actors in a very participatory manner through evaluation committees and the use of tools such as citizen scorecards.</p>			
1.3 R	Number of CSO advocacy campaigns supported by USG	15	11
<p>Although the concept of positive advocacy campaign development was slow in adoption by a civil society accustomed to a more confrontational approach, the technique has gained momentum and is being embraced by civil society and local authorities alike. This process took time to gather speed due to a lower than anticipated understanding of advocacy activities among the majority of OSCs submitting proposals, which required that the IR 1 team provide additional training and support to its partners during the start-up phase, but now that it has gained traction in PBG’s four target provinces, the number of quality proposals has significantly increased and Year 4 is on track to surpassing targeted goals.</p>			
1.4 O	Number of citizens attending public audiences	2,400	6,487
<p>As mentioned in section 1.1, the demand for transparency is very high and continues to grow. Participation in public audiences is one way for citizens to try and obtain information on issues that impact their lives and in some cases allows participants to express their concerns. PBG will continue to promote public audiences but will look to focus more on specific issues as they are addressed through advocacy campaigns.</p>			

1.5 O	Number of USG-supported civic education activities with media participation and/or coverage .		62	187
The advent of the PBG project Cercle de Femmes (monthly radio and television broadcasts in each province) has continued to contribute to this result as Cercle de Femmes had not been planned at the outset of this project. PBG provincial staff will continue to contact media partners in an effort to increase awareness of the Cercle de Femmes program. This activity was ranked as a high priority in the PBG Annual Work Plan session and media products will continue to be produced.				
1.6 O	Increase in the average score of core PBG-supported CSOs on the Advocacy Capacity Assessment Tool		41	65
See analysis of survey findings in the section below.				
1.7 O	Number of CSO receiving USG assistance on how to review and comment on budgets		60	301
IR1 and IR3 continue to collaborate especially through the participative budgeting process in the ETDs which invites CSO partners in the ETD evaluation committees to provide constructive input in the improvement of services and budget execution.				
1.8 R	Percent of people surveyed in select provinces who believe they have opportunities to express their opinions		N/A	See text below

REF	Indicators IR2	Target Year 3 FY2012	Actual Results FY2012
2.1 R	Number of national legislators and legislative staff attending USG-sponsored training or educational events	500	631
The relationship between PBG and administrative staff in the assemblies remains strong and continues to improve. The election of the new National Assembly has proven to be a new window of opportunity; whereas the outgoing assembly was lacking in interest to collaborate with PBG, the new permanent office invited donor funded programs to an open and transparent review of the assistance furnished to their Assembly, demonstrating their desire for a collaborative relationship with these programs. The PBG was also an active participant in the installation of the new National Assembly members, providing technical assistance during the opening session ceremony of the new Parliament.			
2.2 R	Number of provincial legislators and legislative staff attending USG-sponsored training or educational events	427	4010
As mentioned in the indicator above, PBG relations are very good with administrative staff in the provincial assemblies. Having provided considerable levels of training to legislative staff PBG will focus on areas that show greatest need as determined by the performance evaluation undertaken under indicator 2.10. PBG is looking forward to enjoying similar relations with the incoming members of the target Provincial Assemblies after the Provincial elections take place.			
2.3 R	Number of draft laws accompanied by technical analysis and subject to review by legislative committees receiving USG assistance	12	17

This will only continue to grow as relations with the National Assembly open up further opportunities to collaborate on important legislation.			
2.4 R	Number of laws or amendments promoting decentralization drafted with USG assistance		4 3
Year 4 should see an increase in this indicator with the opening of the National Assembly to the PBG program. An initial meeting with the First Vice President of the Assembly resulted in a list of decentralization legislation to discuss with PBG.			
2.5 R	Number of provincial edicts accompanied by technical analysis and subject to review by legislative committees receiving USG assistance		35 21
The technical work required by provincial legislators to prepare edicts is still not well understood by assembly members. PBG continues to provide assistance in legislative drafting and assistance to Civil Society actors to promote higher levels of legislation production.			
2.6 R	Number of executive oversight actions undertaken by national legislature receiving USG assistance		7 16
Technical assistance provided by PBG has given the Assemblies the tools necessary to oversee executive actions.			
2.7 R	Number of executive oversight actions undertaken by provincial legislatures receiving USG assistance		5 60
Technical assistance provided by PBG has given the Assemblies the tools necessary to oversee executive actions.			
2.8 R	Number of public forums resulting from USG assistance in which national legislators and members of the public interact		18 9
This continues to be a difficult target to attain. The National legislators are not fulfilling their representational duties by connecting with their constituents as often as the population would like. This is due partially to the logistics and costs associated in returning to the provinces where their constituent base is located. IR 1 and IR 2 are exploring ways to inform National Legislators on different Civil Society actions that may interest them. Invitations to MP to participate in events to address the population and learn more about certain problems are part of the strategy to improve engagement.			
2.9 R	Number of public forums resulting from USG assistance in which provincial legislators and members of the public interact		48 133
Civil society continues to organize events around advocacy campaigns where local authorities are invited to participate. The evolution of positive advocacy based means of engaging authorities as opposed to the previous tactics of denunciation through adversarial positioning has resulted in greater interest on the part of authorities to participate in public dialogue.			
2.10 R	Increase in average score on Matrix of Legislative Processes and Capabilities		31 See text below
2.11 O	Frequency of access by Assembly staff to the website developed with USG assistance		800 See text below

2.12 0	Number of structured mechanisms to promote exchanges between different legislatures supported by USG.		6	6
<p>Although PBG was able to achieve the target for Year 3, the program had hoped to surpass this goal by finding collaborative ways for different legislatures to exchange ideas. However, developing or building on existing mechanisms for legislative exchange between provincial assemblies and between the provincial and national levels proves to be a difficult endeavor primarily due to the fact that there is no existing association of provincial assembly members. This is compounded by the fact that Senators do not seem to be interested in the activities of the provincial assemblies who are responsible for electing them. This could be subject to change after the next indirect elections for Senators takes place.</p>				

REF	Indicators IR3		Target Year 3 FY 2012	Actual Results FY 2012
3.1 R	Number of sub-national government entities receiving USG assistance to improve their performance		12	12
3.2 O	Number of local governments/ETDs with support by USG assistance that develop service improvement action plans or implement investment		12	12
3.3 R	Number of sub-national government entities receiving USG assistance to increase their annual own-source revenues		12	12
<p>The top three indicators are a measure of an ongoing technical assistance package in planning, financial management and monitoring that is programmed every year to provide periodic training and follow up mentoring throughout the year. Each of the 12 ETDs receives assistance several times a year.</p>				
3.4 O	Number of activities supported by USG to improve government entity performance		74	389
<p>The activities delivered in the ETDs are attended by ETD staff on a regular basis. The need has been so great that ETDs have maximized the number of people attending these training programs.</p>				
3.5 R	Number of individuals who received USG-assisted training, including management skills and fiscal management to strengthen local government and/or decentralization.		2,400	4430
<p>See 3.4. These are the participants in the programs counted by indicator 3.4.</p>				
3.6 R	Change in average score on ETD budget review Matrix		28	39
<p>See narrative accompanying the matrix results below.</p>				

3.7 0	Number of mechanisms supported by USG to promote exchanges between national, provincial and sub-provincial authorities	4	19
<p>The mechanisms that are the most dynamic to date are at the ETD level where local authorities can engage their provincial counterparts to bring certain initiatives to their attention. There is still more to be done between the local/provincial and the national levels. The National Conference on the Transfer of Competencies organized by the CTAD has re-energized channels of communication between national, provincial and local levels. Another important mechanism is the Table Ronde des Femmes Leaders where women leaders from all levels of government can come together and share issues of importance.</p>			

IR 1 – CITIZENS DEMAND ACCOUNTABILITY

Indicator 1.6 - Increase in the average score of core PBG-supported CSOs on the Advocacy Capacity Assessment Tool

PRO V	Name of NGO	Year 1		Year 2		Change 2010 - 2011 %
		Points (T=234)	Score (%)	Points (T=260)	Score (%)	
BAN	PROSADEF	59	25	177	68	43
BAN	RECIC	69	29	185	71	42
BAN	TEYESA	50	21	89	34	13
BAN	COFERD	78	33	130	50	17
BAN	ASSOPAC	40	18	179	69	51
MAN	HAKI ZA BINADAMU	117	50	154	59	9
MAN	APRODEF	115	49	133	51	2
MAN	AVEMA	98	42	159	61	19
MAN	COJESKI	100	43	171	66	23
MAN	UMAMA	108	46	154	59	13
KAT	COMSSION JUSTICE ET PAIX	95	41	196	75	35
KAT	MIROIR DU PEUPLE	86	37	194	74	37
KAT	ANAPECO	71	30	151	58	28
KAT	BDD	114	49	197	76	27
KAT	BULLETIN DE LA SOCIETE CIVILE	79	34	202	78	44

KAT	AED	N/A	N/A	194	75	N/A
SUK	AFEJUCO	81	35	160	62	27
SUK	CEDAC	93	40	178	69	29
SUK	CAPSA	N/A	N/A	184	71	N/A
SUK	RIO	100	43	N/A	N/A	N/A
SUK	AFEM	90	38	N/A	N/A	N/A
SUK	CENTRE OLAME	101	43	N/A	N/A	N/A
	Total Average scores	87	37	168	65	27

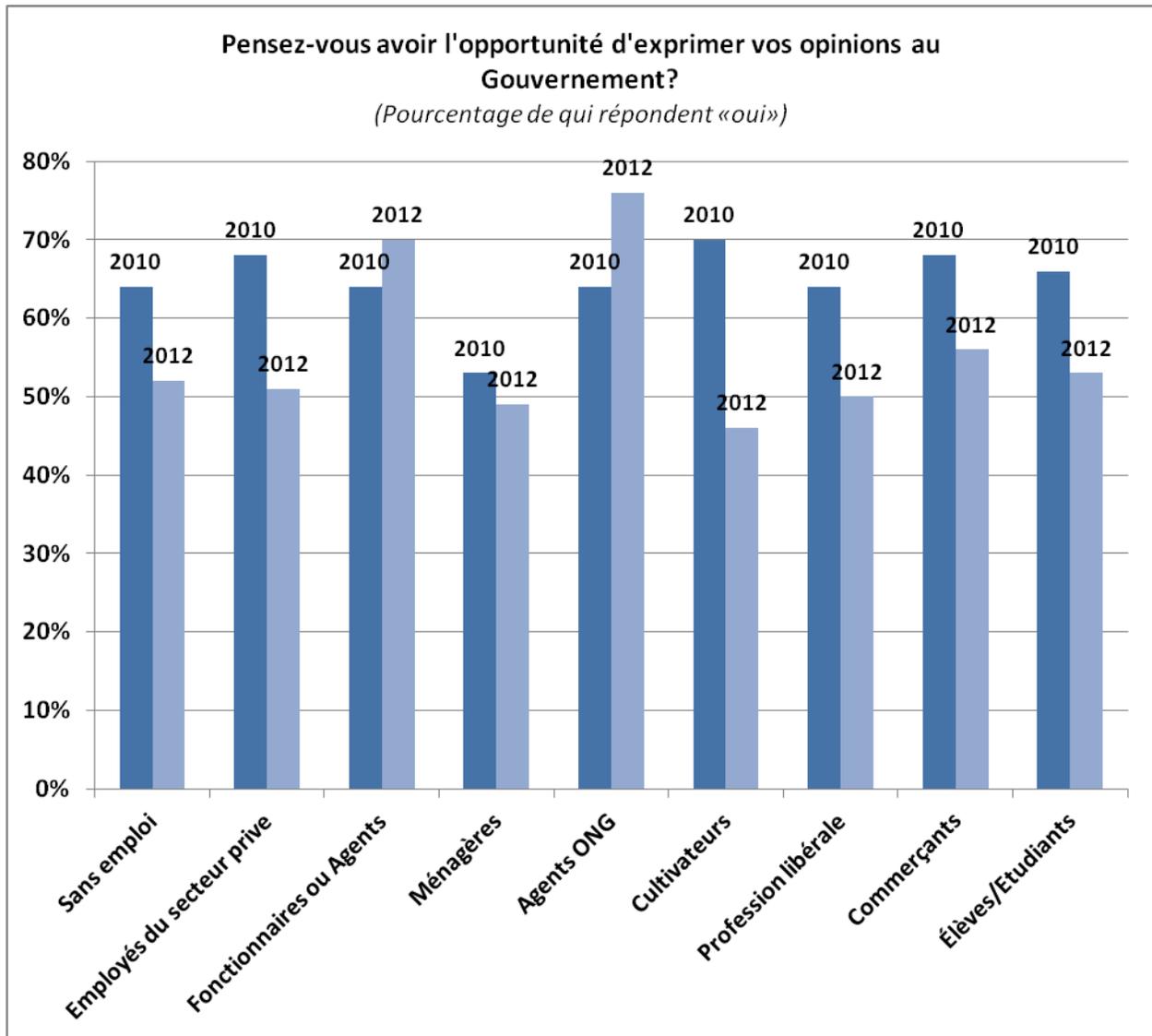
Capacity Scores – Despite being late in its implementation the advocacy component of the IR1 program has shown significant positive impact with civil society partner work. Year 3 surveys are late in being implemented due to the scheduling of the advocacy campaigns and will be held again early in Year 4 and again near the end of Year 4 so as to measure the progress over the year. As can be noted by the percent increase in the scores on the chart above, the CSO partners have greatly improved in understanding the role of positive advocacy efforts versus the customary confrontational approach. The local authorities both on the executive and legislative sides also appreciate the collaborative approach and have become more open to the participation of civil society actors as a result of this new positive engagement. Refer to Annex I for a more in depth analysis of Indicator 1.6 as it was presented for the Annual Work Plan meeting.

Indicator 1.8 - Percent of People Surveyed in Select Provinces who Believe They Have Opportunities to Express Their Opinions

Prov	ETD	Base 2010	2012	% Change
BAN	Bandundu/Mayoyo	37	78	41
BAN	Bukanga Lonzo	79	88	9
BAN	Kikwit/Lukolela	82	58	-24
KAT	Katuba	67	48	-19
KAT	Kolwezi	77	72	-5
KAT	Likasi	66	44	-22
MAN	Alunguli	78	40	-38
MAN	Bangengele	67	23	-44
MAN	Wakabango II	87	16	-71
SUK	Bukavu	46	43	-3
SUK	Kadutu	50	36	-14
SUK	Ngweshi/Walungu	42	41	-1

The table above depicts the percentage change in the number of people who felt they had the opportunity to express their opinion. With the exception of Mayoyo and Bukanga Lonzo, the overall scores dropped, with the largest differences being in the Maniema province. According to anecdotal information gathered by the survey firm, this was mainly due to the population's impressions on the elections. For example, the Maniema province is home to certain political interests which were thought to have been marginalized during the process.

However, as is evident by the graph below that represents the same data as the table above but is broken down by category of respondent, the two categories that stated they saw an increase in their opportunity to express themselves are those in PBG's target audiences – Public Servants and Civil Society actors. Although a direct link between PBG programs and these results is hard to make, it does demonstrate that there is a positive trend with decision makers.



See Annex III for copies of the survey reports from 2010 and 2012

IR 2 – SELECTED PARLIAMENTS ARE MORE DEMOCRATIC AND EFFECTIVE

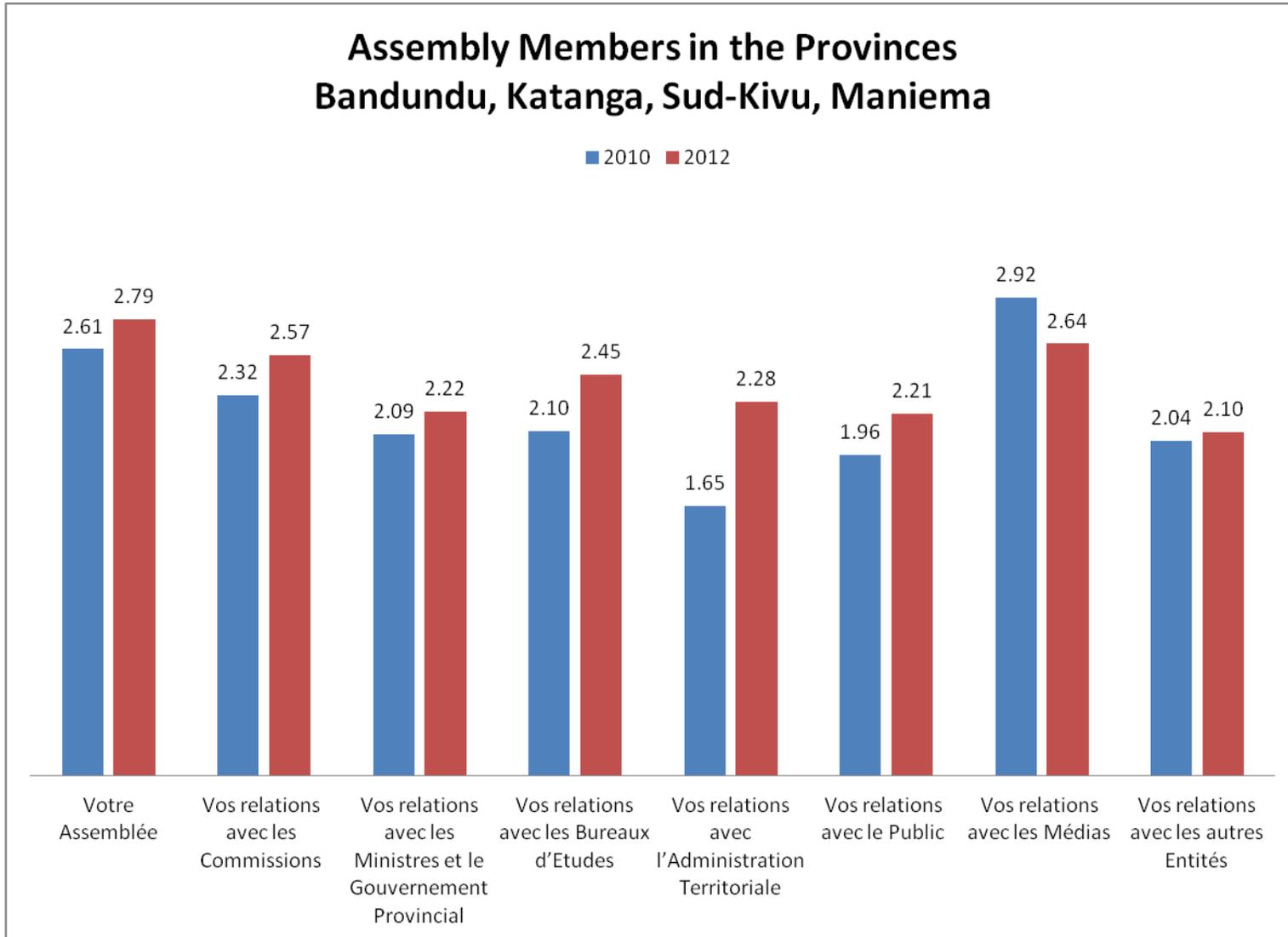
Indicator 2.10: Increase in the Average Score of Matrix of Legislative Processes and Capabilities

Assembly	2010	2012	% Change
National Assembly (Administration)	61%	56%	-5%
Bandundu	57%	61%	4%
Katanga	59%	60%	1%
Sud-Kivu	56%	56%	0%
Maniema	55%	63%	7%
Overall	58%	59%	1%

Although the PBG PMP specifies that this indicator is to be reported on as a rolled up percentage for all assemblies, the resulting data in the table above demonstrates that this will not be as helpful for performance monitoring purposes. While PBG will continue to report on a rolled up basis, additional performance information disaggregated by province and by both administrative staff and legislators will be provided to help make performance based programmatic decisions. This breakdown is also important due to the fact that elections for the National Assembly members are not on the same schedule as those for the Provincial Assemblies. Since the end of Year 3 saw the departure of the outgoing National Assembly, an assessment survey was not conducted for these members. The new National Assembly will be surveyed early in Year 4 so as to be able to measure their progress again by the end of the same year. As for the Provincial Assemblies, this will depend on whether the PBG contract will be extended into year 5 or not. Given the next election is not until mid FY 2013, it will not make sense to survey the new provincial parliamentarians only a few months from project closure. PBG will continue to survey the administrative staff on a yearly basis in order to measure their performance progress.

The following graphs provide insights into the performance of the assemblies when looked at by administrative staff and legislators apart. The first graph 2.10a shows a general positive evolution on the processes concerning the legislative staff, using the scale of 1, for poor to 4, for optimal functionality and capacity. With the exception of relations with the media, all sectors demonstrated an increase in functionality. These results are being carefully considered by the IR 2 team with an important focus on the functions concerning assembly relations with the public. This area can be improved with increased collaboration with IR 1 and PBGs CSO partners. IR 2 will also discuss ways to engage with the media in collaboration with the Internews program in order to reverse the downward trend.

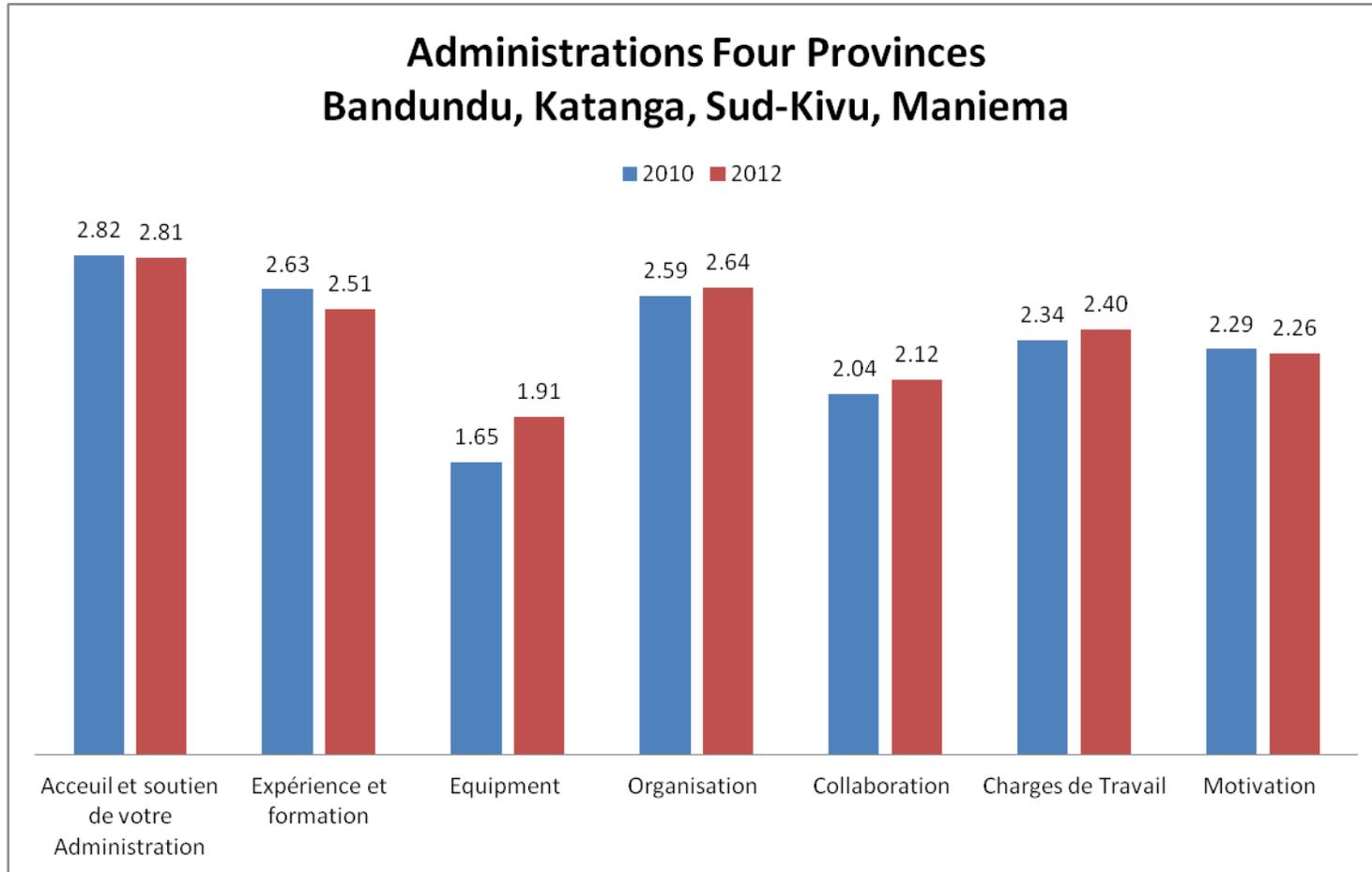
Graph 2.10a



Graph 2.10b, on the other hand, shows an increase in all categories surveyed. While direct correlations are hard to make, this positive trend demonstrates the effectiveness of PBG administrative trainings held across the provinces. Especially with the delays in elections and

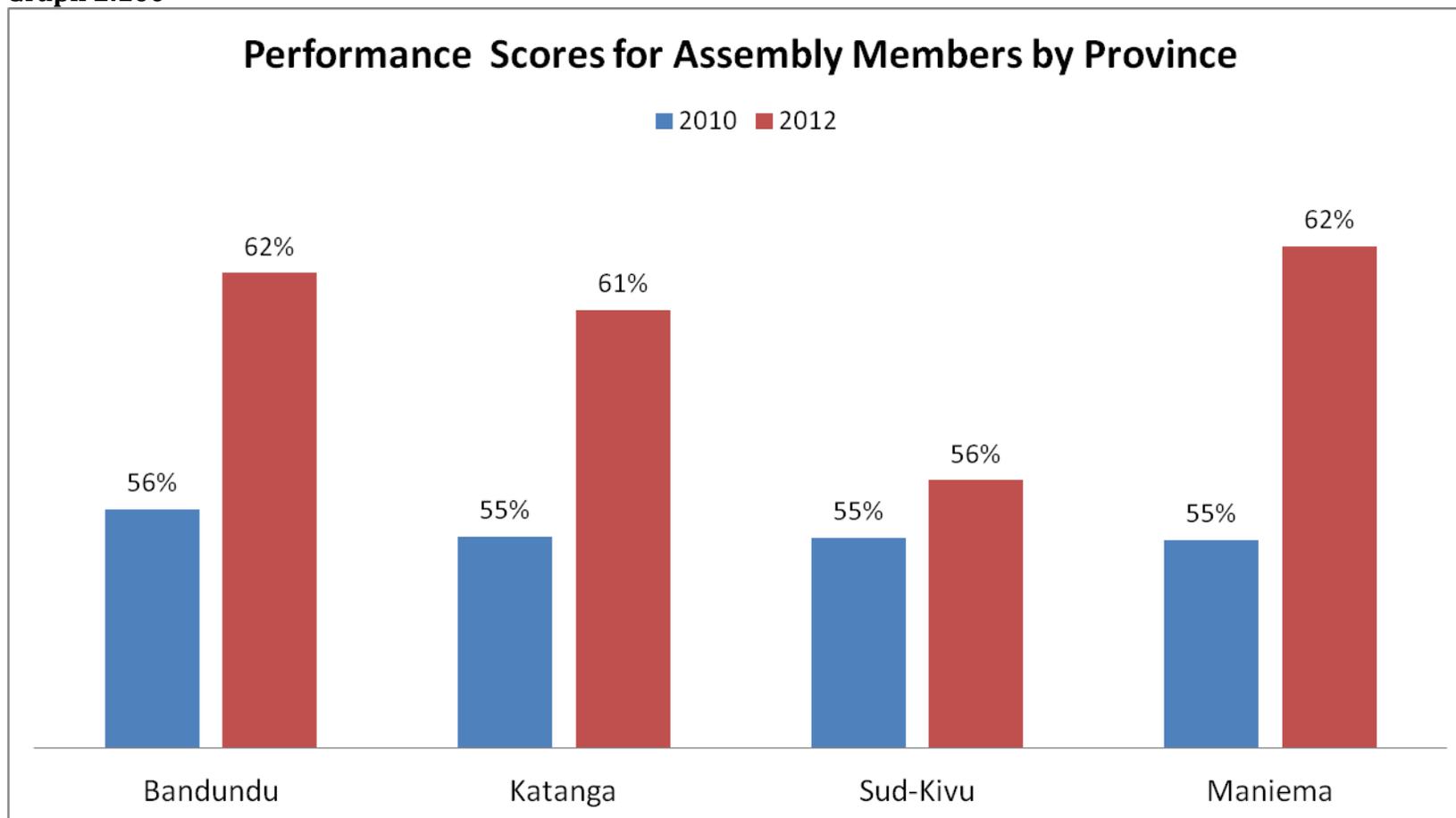
lower level of availability of assembly members, IR 2 has placed a significant emphasis on providing the administrative staff with the tools necessary to maintain a smooth management of the provincial assemblies and increase collaboration and organization between the elected officials and permanent administrative staff.

Graph 2.10b



The performance scores for the legislators by province, demonstrates a general improvement across all the provinces with the Maniema Provincial Assembly showing the greatest improvement. The percentages shown in graph 2.10c below are the level of functionality and capacity demonstrated by the assembly members and staff.

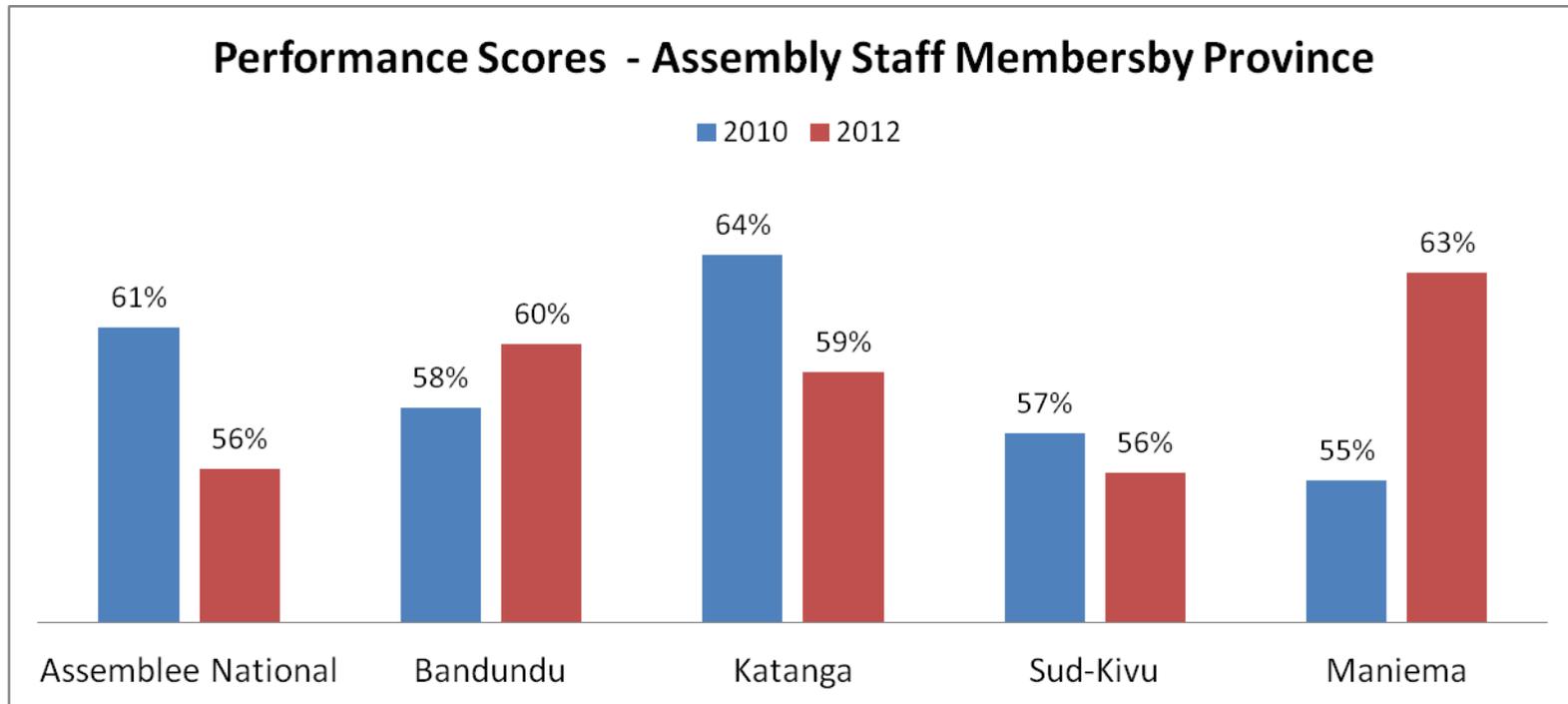
Graph 2.10c



The need to disaggregate the data by province is most evident in graph 2.10d as it shows that although improvements were made with the assembly staff members for Bandundu and Maniema, there were drops in performance for the National Assembly and provincial assemblies of Katanga and Sud Kivu. These drops can be attributed to a drop in the morale of the administrative staff due to

communication problems between the staff and the legislators. PBG plans to organize activities where both staff and parliamentarians are invited to promote increased collaboration. With the election of a new, more open National Assembly this will most likely improve in the coming year. IR 2 plans on making adjustments to the assistance program to work on improving the working relations within the assemblies as a function of these findings. Annex IV provides an in-depth analysis of the survey data.

Graph 2.10d



Indicator 2.11: Frequency of Access by Assembly Staff to the Website Developed with USG Assistance

GouvernancePourTous.cd	
MONTH	Number of Visitors
May-11	14
Jun-11	12
Jul-11	46
Aug-11	97
Sep-11	224
Oct-11	396
Nov-11	370
Dec-11	340
Jan-12	401
Feb-12	482
Mar-12	575
Apr-12	886
May-12	1066
Jun-12	705
Jul-12	2055
Aug-12	1725
Sep-12	2222
Total	11,616

The original assumption linked to this indicator was internet access and functioning websites in all 5 partner assemblies. Internet connectivity and website development continue to rank low on the priorities of the assemblies with the exception of the National Assembly who is planning to upgrade their systems with the assistance of PBG. The numbers above are those for the CENADEP managed website www.gouvernancepourtous.cd website. The site is designed to bring all three of PBG's partners together to promote collaboration between local government (ETDs), civil society and national/provincial assemblies. While the website has been introduced to legislators, it is not possible at this time to know how many have visited the site. Year 4 priorities include making the site more useful for legislators, increasing their participation in sharing information via the forums on the site and developing a way to measure the visitation to the site by category of visitor. It is hoped that by the end of year 4 this table can provide more data as to the type of visitor to the site.

IR 3 – LAWS, POLICIES AND PROCEDURES FOR DECENTRALIZATION ESTABLISHED AND IMPLEMENTED

Indicator 3.6: Change in Average Score on ETD Budget Review Matrix

Province	ETD	2010 Base %	2012 Target %	2012 Actual
BAN	Lukolela (Kikwit)	19	29	33
BAN	Mayoyo (Bandundu)	19	29	33
BAN	Bukangalonzo (Kenge)	14	23	38
KAT	Katuba	19	29	24
KAT	Kolwezi	14	23	38
KAT	Likasi	19	29	38
MAN	Bangengele	14	23	29
MAN	Alunguli	23	33	43
MAN	Wakabango II	14	23	33
SUK	Ngweshe (Walungu)	24	33	43
SUK	Bukavu	24	33	43
SUK	Kadutu	24	33	67

This table is a compilation of a series of metrics used to measure the performance of an ETD's administration in seven categories (see table below): Local Action Plans, Budget Creation, Budget Execution, Accuracy of Revenue Projections, Accuracy of Budget, Public Procurement and Reporting. Although the scores still remain relatively low in terms of percentage, there has been significant progress overall with all but one ETD, Katuba not meeting and surpassing the target level. This is thought to be attributable to the fact that the Katuba commune was unable to put into place a large number of recommendations made by the PBG financial management consultant mostly because there was a change in Bourgmestre. PBG will continue to work closely with the commune to assist them in putting in place the financial management recommendations. An in depth analysis of the data can be found in Annex V.

Tool C: Budget Review and Financial Management Matrix

Characteristics or Deliverables	Level 0 Nonexistent	Level 1 Basic	Level 2 Developed	Level 3 Advanced
Local Action Plans	No Action Plan	Action plan includes basic priorities (at least 3) and simple steps for implementation	Action plan includes clear demonstration of citizen inputs into annual priorities, and indicates linkages to budget realities	Action plan includes performance monitoring and evaluation expectations
Budget Creation	No budget, or processes are ad hoc and chaotic	Budget contains limited data but lacks clarity of	Budget reflects citizen priorities	Fully participatory budget process
Budget Execution	n/a if there is no budget, or 0 if there is no capacity to track expenditures, no accounting system	Limited capacity to release funds, oversee spending, and review costs, including accounting and tracking	Capable of completing mid-year reviews and revising budget according to financial performance	Clear linkages and reporting of budget against prior performance, budget planning is introduced, demonstration of value for money
Accuracy of Revenue Projections	No projections	Projection accuracy variance +/- 25%	Projection accuracy variance +/- 15%	Projection accuracy variance +/- 10%
Accuracy of Budget	No budget	Spending variance +/- 25%	Spending variance +/- 15%	Spending variance +/- 10%
Public Procurement	No public procurement or outsourcing	Limited procurement, no or limited competition and adherence to regulations	Partial adherence to local and national regulations related to procurement law	Full compliance
Reporting	No financial or programmatic reports	Limited reporting capacity, or irregular. Includes basic information on performance and budget figures	Calendar for report established and adhered to. Includes sufficient budget and performance detail.	Report completed regularly, includes not only overview but analysis of activities and recommendations for future plans

IV – OUTSTANDING CHALLENGES & OPPORTUNITIES

CHALLENGES

- **The results stemming from the implementation of projects funded during the first phase have not yet fully materialized.** PBG's CSO partners have encountered many difficulties drafting edicts. Without increased technical assistance the advocacy campaigns may not achieve their desired results.
- **Some differences in intervention conditions between development programs contribute to a climate of distrust highlighting the contradictions in coordination between donors.** For example, some development partners continue to pay participants "per diem or transportation expenses" for workshops or dialogue for action thus distorting the intrinsic motivation of key stakeholders.
Also, some participants continue to require the payment of transportation costs for the same activities without valid reasons.
- **Support structures to fight against corruption through grants:** the difficulty of supporting a structure not having a legal personality creates a bottleneck for learning through practical experience especially when faced with distrustful authorities despite their willingness to work with civil society in the fight against corruption.
- **Revitalizing the steering committees of the good governance website:** The enthusiasm of all stakeholders (especially the MPs) to support the site provides an opportunity, however the total dependence of the site on the collectors and the coordination presents a risk to long-term sustainability.
- **Uncertainties for the program budget affected the planning and implementation of activities planned for year 4.** The realization of these activities also depends on the ability or inability to continue the program implementation until September 2013 or to commence close-out procedures in June. This means that unlike previous years, activities will be based on priorities;
- **The postponement of provincial elections (originally scheduled for the first quarter of 2012) led to the cancellation of post election activities that we had organized for the future MPs.** Now that the previously elected parliaments must still remain in place until the next provincial election scheduled for 2013, they are not expressing interest in the previously scheduled activities, which essentially consist of basic training;
- **Consultant's recruitment to conduct certain activities occasionally tends to be subject to administrative delays which has the effect of slowing down project implementation;**
- **The conflict in the Kivus could spread to our ETDs rendering project implementation impossible;**
- **That the UN air transport system causes delays in travel for consultants;**

- **Provincial elections could create unrest;**
- **Blocage of essential legislation impedes the implementation of the decentralization process.**

OPPORTUNITIES

- **Strengthening the capacity of civil society under its new restructuring:** Restructuring of civil society to facilitate the channeling of support through CSO partners to CSOs who are not partners provides an opportunity but it define a mechanism for this restructuring.
- **The First Vice-President of the National Assembly has displayed an openness and positive political will which opens the door to excellent opportunities for collaboration between the PBG and the lower house.** This is likely to enable PBG to implement activities within a participatory and harmonized framework.
- The September session of the National Assembly has included among its priorities the legislative proposals on the reform of the Independent National Electoral Commission (CENI) and the revision of the electoral law. This provides for the hope the organization of the next provincial elections and therefore the implementation of previously planned activities, namely those for new MPs.
- The National Assembly budget session which recently got underway, and those for the provincial assemblies which will begin soon will consider support to various ECOFIN committees upon request.
- The declared intent of the National Assembly Chairman and the Prime Minister to finalize the legal framework for decentralization offers interesting perspectives in terms of technical assistance in the elaboration of some key legislation expected to be examined in the course of this process.
- The involvement of PBG's internal expertise will perform certain activities without the need for consultants (taking into consideration that recruitment often takes a long time).
- Donor coordination with the Congolese Personal Network of Parliaments (CNPP) continues with the mid-term evaluation. This evaluation will provide a clear idea about this association and the possibilities of its sustainability after the end of the program.
- The indications from national government that they are much more serious about decentralization and intend actively to pursue it.
- Positive results from collaboration between ETD administrations and citizens, that will allow us to take the concepts further and deeper, in the form of participatory budgeting and citizen report cards.