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IRAQ GOVERNANCE STRENGTHENING PROJECT (TAQADUM)

Annual Monitoring and Evaluation Report (2014)

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Annual Monitoring and Evaluation Report

SUBMITTED BY CHEMONICS INTERNATIONAL

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Table of Contents

ACRONYMS.....	v
EXECUTIVE SUMMARY	1
ANALYSIS OF INDICATORS.....	1
Indicator #1: Percentage change in citizen satisfaction of Government Services	1
Indicator #2: Number of Units Implementing Newly Devolved Functions and Authorities.....	1
Indicator #3: Number of Female Council Members who Participate Actively in GSP Project Interventions.....	2
Indicator #4: Number of OSTP Self-assessments Completed.....	3
Indicator #5: Number of Provinces that Join the OSTP Practitioner’s Excellence Network (EN) and Share Solutions that Enhance Organizational Functions	4
Indicator #6: Number of Provincial Council Members and Staff Trained on the Fundamental Concepts of Being an Effective Legislator	5
Indicator #7: Number of Provinces that Enhances Budgeting, Financial Management and Internal Control Systems.....	7
Indicator #8: Number of standard operating procedures (SOP) drafted and/or revised with GSP assistance	9
Indicator #9: Number of PPDCs Strengthened Through GSP Assistance	11
Indicator #10: Percentage of Women, Youth, and Minority Groups Participating in the Provincial Planning Process	12
Indicator #11: Number of government officials receiving GSP training in conducting community outreach and citizen participation process.....	13
Indicator #12: Number of consensus building forums Multi-party, civil/security, and/or civil/political) held with GSP assistance.....	14
Indicator #13: Number of Provinces that have Established a Systematized Process for Citizens to Effectively Participate in Provincial Government	15
Indicator #14: Number of Provinces Implementing a Systemized Process for Monitoring Service Delivery	16
Indicator #15: Number of Provinces that have Established a Systematized Capital Project Monitoring and/or Oversight Process	16
Indicator #16: Number of Provinces that Use CSD Monitoring and Oversight Tools to Understand Community Needs	17
Indicator #17: Number of Citizen Service Desks Established or Improved through GSP Assistance.....	18
Indicator #18: Number of Service Delivery Issues Reported to Line Service Ministries as a Result of GSP Assistance	19
Indicator #19: Number of Issues / Complaints Captured by Citizen Service Desks and Reported to Provincial Government.....	20
Indicator #20: Number of Essential Service Delivery Oversight Entities Established or Expanded through GSP Assistance	21

Indicator #21: Number of Provinces that have Established a Sub-legislation Implementation Tracking System	21
Indicator #22: Number of Provinces that have Strengthened Institutional Service Delivery Performance Standards	23
Indicator #23: Number of Provincial Performance Standards Developed in Coordination with Line Ministries to Address Service Delivery Issues through GSP Assistance	24
Indicator #24: Number of Sub-National Government Entities Receiving GSP Assistance that Improves their Performance.....	26
EVALUATION OF MAJOR PROGRAM AREAS	30
1.1 Organizational Self-assessment and Transformation Program (OSTP)	31
1.4 Financial Management	40
1.5 Provincial Planning and Development Council (PPDC).....	43
1.8 Citizen Participation	46
1.9 Provincial Council Capacity Building.....	48
2.1 Project Monitoring & Oversight.....	52
2.2 Essential Service Delivery Oversight (ESDO) / Service Delivery Performance Standards (SDPS)	55
2.7 Citizen Service Desks (CSD)	58
2.9 Sub-legislation Implementation Tracking System (SLIT).....	61
CC (Cross Cutting).implement trainings on gender responsive budgeting; support to establish the National Gender Network with bylaws and advocacy training for members.....	63
COST EFFECTIVENESS	64
LESSONS LEARNED	65
Lesson Learned #1:	65
Lesson Learned #2:	65
Lesson Learned #3:	65
RECOMMENDATIONS FOR FUTURE GOVERNANCE SUPPORT	66
Recommendation #1:.....	66
Recommendation #2:.....	66
Recommendation #3:.....	66
Recommendation #4:.....	67
Annex A. Program Highlights and Success Stories.....	68
Institutional Development	68
Revised Provincial Finance Results in Citizen-centered Planning and Budgeting	69
Baghdad Citizens Take Active Role in	72
Provincial Service Delivery	72
Citizens' Voices Heard	73
Provincial Officials Embrace New Roles and Responsibilities and Develop Understanding of Amendments to Law 21	74

Baquba's Al-Ma'ahad Street to Rise Again.....	76
Essential Service Delivery Oversight Facilitates Citizen-centered Government.....	78
Citizen Service Desks.....	81
SLIT Reports Provide Information for Decision Makers	82
Empowering Women Improves Local Level Basic Service Delivery	84
Ensuring Sustainability:.....	85
Connecting Iraqi Women	85
Gender Responsive Budgeting.....	85

ACRONYMS

ARDP	Accelerated Reconstruction Development Project
CI	Component 1: Institutional Strengthening
C2	Component 2: Executive Oversight
CC	Cross-Cutting
COMSEC	Council of Minister Secretariat
CSD	Citizen Service Desk
COP	Chief of Party
COR	Chamber of Representatives
CSS	Citizen Satisfaction Survey
DC	District Council
DCOP	Deputy Chief of Party
DQA	Data Quality Assessment
EN	Excellence Network
ESDO	Essential Service Delivery Oversight
FY	Fiscal Year
GO	Governor's Office
GOI	Government of Iraq
GSP	Governance Strengthening Project
IDP	Internally Displaced Person
IR	Intermediate Result
LOP	Life of Project
M&E	Monitoring & Evaluation
MOF	Ministry of Finance
MOP	Ministry of Planning
SDPS	Service Delivery Performance Standards
SMOPA	State Ministry of Provincial Affairs
NACs	Neighborhood Advisory Councils
NDP	National Development Plan
NGO	Non-Governmental Organization
OSTP	Organizational Self-Assessment and Transformation Program

PC	Provincial Council
PDS	Provincial Development Strategy
PIRS	Performance Indicator Reference Sheet
PMP	Performance Monitoring Plan
PPDC	Provincial Planning and Development Council
PPL	Priority Project List
PRCS	Project Results Cost Share
USAID	United States Agency for International Development
USG	United States Government

EXECUTIVE SUMMARY

As per Section F.7.B.(6), Chemonics provides its Annual Monitoring and Evaluation Report for the Iraq Governance Strengthening Project (Taqadum) under Contract No. AID-267-C-11-00006. This report provides an analysis of progress against performance indicator targets, project highlights, an evaluation of major program areas and cost effectiveness, lessons learned, and recommendations. Readers of this plan should be familiar with the USAID Contract No. AID-267-C-11-00006, the Taqadum Annual Workplan, Performance Management Plan, Monitoring and Evaluation Plan, and Quarterly Performance Reports.

This is an annual report covering a whole program year, however, this report has covered the achievements of GSP/ Taqadum for the first three quarters since the fourth quarter's objective was shifted to focus on administrative decentralization with a different set of indicators.

ANALYSIS OF INDICATORS

Indicator #1: Percentage change in citizen satisfaction of Government Services

Y3 survey was cancelled due to close-out of program after consultation with and approval of USAID. Since the inception of the Governance Strengthening Project, a trend indicator based on a perception survey of changes in citizen satisfaction with public services has served as the top-level indicator that responds to the program's development objective. In general, the citizen satisfaction index was an appropriate measure of GSP/Taqadum's programming impact in FY 2012 and FY 2013, which had resulted in percentage change of 8.2% as actual against the target of 3%.

Indicator #2: Number of Units Implementing Newly Devolved Functions and Authorities

The Y3 target was revised to "0" after consultation with and approval of USAID. FY 2014 target is set to zero because GSP/ Taqadum is not focused on the formation and activation of PPDCs in FY 2014, as was the case in FY 2013. However, during the last program year, 12 PPDCs were established with significant assistance from GSP/ Taqadum against a target of 10.

Indicator #3: Number of Female Council Members who participate actively in GSP Project Interventions

Indicator #3 Number of Female Council Members who Participate Actively in GSP Project Interventions	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	63	3	6	8	3	3	4	4	3	6	3	2	5	6	2	5
Actual (2014)	86	4	4	13	2	5	7	6	4	2	6	3	7	9	5	9
Variance	23	1	-2	5	-1	2	3	2	1	-4	3	1	2	3	3	4

Description: Female council members implies members of Provincial or Local Councils whose active participation in GSP/ TAQADUM means their physical presence or direct involvement with any of the GSP/ TAQADUM interventions during the course of a program year. The degree of involvement of women council members with the project interventions is synonymous with a higher-level of gender mainstreaming in local government. Participant counts are unduplicated throughout the course of the program year.

Variance Analysis: The positive variance was achieved due to female PC member participation in Law 21 workshops held during Nov-Dec (2013), Expo-Conference in January 2014, and two National Gender Conferences held in October 2013 & March 2014 and Best Practices in April 2014. Female council members from all 15 provinces participated in GSP/ TAQADUM interventions. Top five provinces (Baghdad, Wasit, Diwaniyah, Najaf, and Ninawa) accounted for 52 % of all participants.

The LOP actual was 239 against the three-year (LOP) target 186 with a total positive variance of 53 exceeding by 28.5% of the LOP target. This was because of the high focus of GSP on gender as a cross cutting element.

Indicator #4: Number of OSTP Self-assessments Completed

Indicator #4 Number of OSTP Self-assessments Completed	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Erbil	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	1	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0
Actual (2014)	2	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0
Variance	1	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0	N/A	N/A	N/A	N/A	1	N/A	N/A	N/A

Description: The Organizational Self Transformation Program (OSTP) builds capacity inside the GO (and PC in the case of Baghdad) to internally identify, prioritize, plan and address opportunities for improvement of internal operations and citizen service delivery. This indicator captures the completion of the initial phase in the OSTP cycle, Self-Assessment. A completed self-assessment is counted upon the delivery of the final draft report detailing the findings of the self-assessment to the project and to the organization's leadership, as agreed upon together at the start of the OSTP cycle in each organization.

Variance Analysis: The positive variance is because Najaf was carried over from last program year since the self-assessment was delayed due to provincial elections and setting up of the new GO administration. Erbil and Najaf submitted their completed self-assessment to the governor in December 2013 (end of Q1- FY2014).

The LOP actual is eight (8) provinces (Babil, Baghdad, Basrah, Erbil, Karbala, Kirkuk, Najaf, and Ninawa) against LOP target of nine (9) resulting in LOP variance of (-1). The negative variance is due to dropping off Anbar Province as major OSTP activities were stopped the Q3 and Q4 due to instability caused by deterioration of the security situation.

Indicator #5: Number of Provinces that Join the OSTP Practitioner’s Excellence Network (EN) and Share Solutions that Enhance Organizational Functions

Indicator #5 Number of Provinces that Join the OSTP Practitioner’s Excellence Network (EN) and Share Solutions that Enhance Organizational Functions	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	6	0	1	1	1	0	0	0	1	1	0	0	0	1	0	0
Actual (2014)	5	0	1	1	1	0	0	0	0	1	0	0	0	1	0	0
Variance	-1	N/A	0	0	0	N/A	N/A	N/A	-1	0	N/A	N/A	N/A	0	N/A	N/A

Description: The Organizational Self-Assessment and Transformation Program (OSTP) builds capacity of teams inside the GO (six provinces) and PC (Baghdad only) to internally identify, prioritize, plan and continuously address opportunities for organizational improvement that ultimately leads to improvements in good governance practices.

Members of the seven PC and GO OSTP teams are part of a Practitioner’s Excellence Network. This network serves as a forum for the respective teams to share solutions to common problems and to harmonize their collective effort and voices when addressing service delivery issues to central ministries. Formalizing the network and leveraging the sharing of knowledge is a key undertaking to advancing the OSTP practice.

Variance Analysis: Negative variance was due to the strict measures in considering the province only and only if it meets the three thresholds of being a member of EN, at least 2 solutions implemented, and shared with other EN members. Although Karbala is a member of EN and shared their identified solutions, it could only implement one solution. Therefore, Karbala was not counted. As Najaf and Erbil have only recently completed their benchmark report, they could not implement any solution during the course of GSP although they have identified some.

LOP target and actual are the same since this indicator was created for FY2014.

Indicator #6: Number of Provincial Council Members and Staff Trained on the Fundamental Concepts of Being an Effective Legislator

Indicator #6: Number of Provincial Council Members and Staff Trained on the Fundamental Concepts of Being an Effective Legislator	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Erbil	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	250	14	23	33	14	11	16	16	14	11	15	11	8	21	14	8	21
Actual (2014)	459	27	20	36	24	20	46	43	45	19	13	22	8	32	26	22	56
Variance	209	13	-3	3	10	9	30	27	31	8	-2	11	0	11	12	14	35

Description: Provincial elections in April 2013 resulted in a turnover of 66 % of provincial council members and a significant loss of institutional knowledge. Accordingly, it is necessary to provide capacity building for the newly elected council to enable its membership to function more effectively. Capacity building is defined as training that can take the format of a workshop or conference and where learning objectives guide the delivery of the content.

Training is specific to developing the capability of councilors and staff; each participant (provincial council member and/or Governor Office staff and/ or provincial council staff) is unique and counted once based on meeting the training curriculum conditions; to be counted, participants must attend at least 1 Core and 1 Elective training sessions as shown below:

Core Training Session	Elective Training Session
Legal Authorities, Responsibilities, and Sub-legislation Implementation Tracking	Expo Conference topics including Implications for Local Government of the Amendments to Law 21
Finance and Budgeting	Planning Concepts and the Role of Provincial Planning and Development Councils
Service Delivery Concepts, Performance Standards, Public-Private Partnerships, and the Role of Essential Service Delivery Oversight in Monitoring Service Delivery	Public Outreach, Role of Citizens Service Desks and Use of the Citizen Issue Tracking and Reporting System

Variance Analysis: Positive variance is due to better than anticipated attendance for Law 21 Amendment workshops held for 14 provinces as well as Erbil GO (Mayors) participation; the latter was not included when setting the original target. In addition, there was huge participation of all provinces in the EXPO conference titled “The First National Conference of Developing a Roadmap for Implementing Law 21, as Amended”.

The LOP figures are as exactly as the annual of FY2014 since this indicator was created for the said year work plan.

Indicator #7: Number of Provinces that Enhances Budgeting, Financial Management and Internal Control Systems

Indicator #7: Number of Provinces that Enhances Budgeting, Financial Management and Internal Control Systems	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	5	N/A	N/A	0	1	1	N/A	1	1	N/A	N/A	N/A	N/A	N/A	N/A	1
Actual (2014)	6	N/A	N/A	1	1	1	N/A	1	1	N/A	N/A	N/A	N/A	N/A	N/A	1
Variance	1	N/A	N/A	1	0	0	N/A	0	0	N/A	N/A	N/A	N/A	N/A	N/A	0

Description:

Budgeting refers to Provincial Councils and Governors' Offices undertaking their responsibilities under the 2008 Provincial Powers Act to examine, read, and approve the capital investment and operation and maintenance budgets. Removing constraints in the legal and regulatory framework was considered.

Financial management refers to accounting, cash management, and reporting processes that conform to established rules and regulations. Reforms in these areas enhance the efficiency of capital budget execution and engender transparency. Improvements in operational processes and compliance with established regulations were taken into consideration.

Internal controls refer to a proper separation of individuals and duties within the organizational structure and are based on established rules and regulations used to conduct the functions of financial management, procurement, and managing inventory. Improvements in internal control help define the levels of accountability within organizational chains of command and mitigate instances of fraud and corruption. Adoption of a self-audit tool was the GSP intervention that corresponds to this indicator.

Provinces must meet ALL THREE thresholds set for improving budgeting, financial management, and internal control in order to be counted:

#	Area	Threshold
1	Budgeting	Participate in national conference on legal and regulatory framework (Required) Propose at least 5 modifications to improve budgeting process (Required)
2	Financial Management	Either: Develop streamlined contractor process OR: Submit trial balance on time
3	Internal Control	PC/GO adopts self-audit tool (Required)

Variance Analysis: GSP/ Taquadum has targeted seven provinces and managed to meet the required thresholds for six of them instead of five. This resulted in the positive variance of one.

The LOP figures are as exactly as the annual of FY2014 since this indicator was created for the said year work plan.

Indicator #8: Number of standard operating procedures (SOP) drafted and/or revised with GSP assistance

Indicator #8: Number of standard operating procedures (SOP) drafted and/or revised with GSP assistance	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	5	SOPs are national-level publications														
Actual (2014)	6	SOPs counted not as province specific but as national level with the exception of Citizen Participation Laws that are specific to Diwaniyah and Ninawa and counted individually														
Variance	1															

Description: This indicator relates to the Number of provincial planning, legislative, budgeting, institutional development, and fiscal standard operating procedures, drafted or revised with GSP assistance. Standard Operating procedures (SOPs) may include and is not limited to: documented guidance, instructions, and process maps. It reflects Efforts to streamline and clarify provincial processes indicate support for GSP objectives and the institutionalization of new budget, planning, and fiscal authorities.

National-level SOPs developed by GSP/ Taqadum during FY2014 are as follow:

- Monitoring and Oversight Guide
- ESDO Manual
- SLIT Database Manual
- CSD Training Guide

Additionally, province specific SOPs developed through GSP/ Taquadum intervention in FY2014:

- Citizen Participation Law – Diwaniyah
- Citizen Participation Law – Ninawa

LOP actual is 16 for a targeted 15 through the life of project as additional 10 SOPs was achieved in the previous program year. All SOPs applied are tabulated below with the provinces that applied or adopted,

SOP	Provinces Applied/ Adopted														
	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
(M&O) Final Oversight Guide		✓	✓	✓		✓		✓						✓	
(PPDC) Planning Budgeting Manual					✓	✓		✓				✓		✓	✓
Self-Auditing Manual			✓	✓	✓		✓	✓							✓
ESDO Manual	✓	✓				✓	✓	✓	✓	✓	✓	✓			✓
SLIT Database Manual	✓	✓		✓	✓	✓	✓	✓			✓	✓	✓	✓	✓
Training Guide CSD	✓		✓	✓		✓	✓	✓		✓		✓	✓		✓
Citizen Participation law			✓			✓	✓						✓		

Variance Analysis: The positive variance is due to the re-scoping of GSP/ TAQADUM activities. The new work plan from July 1, 2013 to March 31, 2014 with its logical and sequential programming outputs is targeting drafting and/or revising 5 SoP's in the first 2 quarters of Year 3 of GSP/ TAQADUM. Essentially, the remaining 5 SoPs were brought forward to Y3 and is a direct result of the re-scoping of the project.

Indicator #9: Number of PPDCs Strengthened Through GSP Assistance

Indicator #9: Number of PPDCs Strengthened Through GSP Assistance	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	6	N/A	N/A	N/A	N/A	1	1	N/A	1	N/A	N/A	N/A	1	N/A	1	1
Actual (2014)	6	N/A	N/A	N/A	N/A	1	1	N/A	1	N/A	N/A	N/A	1	N/A	1	1
Variance	0	N/A	N/A	N/A	N/A	0	0	N/A	0	N/A	N/A	N/A	0	N/A	0	0

Description: this indicator reflects which provinces have developed their Provincial Planning and Development Councils (PPDCs) through GSP's deepening interventions to strengthen the PPDC role, responsibility, and capacity.

A province to be counted, PPDCs must meet at least 4 of the 6 criteria below.

- PPDC participates in deliberations that result in the establishment of a National PPDC Coordinating Committee;
- PPDC participates in the development of a framework that promotes regional development cooperation;
- PPDC considers service delivery indicators to track progress toward closing gaps to achieve standards for water; solid waste; sewerage or storm drains;
- Provincial budget recommendations reflects ESDO service delivery data;
- PPDC has established a formal mechanism to receive at least one women or vulnerable populations 2015 PPL; and
- PC (and PPDC) have been trained on creating provincial vision that lays the foundation for formulating data driven policies

Variance Analysis: GSP has hit the target in strengthening the PPDCs of six provinces. However, GSP was targeting 10 provinces' councils some of which have met some thresholds but not the required criteria such as Anbar, Babil, Diyala and Ninawa that were not counted.

Indicator #10: Percentage of Women, Youth, and Minority Groups Participating in the Provincial Planning Process

Indicator #10: Percentage of Women, Youth, and Minority Groups Participating in the Provincial Planning Process	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%
Actual (2014)	30.26%	25.0%	22.22%	0%	0%	57.14%	20.0%	0%	37.5%	0%	0%	0%	44.44%	14.29%	40.0%	25.0%
Variance	12.26%	7.0%	4.22%	-18.0%	-18.0%	39.14%	2.0%	-18%	19.5%	-18.0%	-18.0%	-18.0%	26.44%	-3.71%	22.0%	7.0%

Description: Planning activities at the provincial level includes the participation of women, youth, and minority groups in the PPDC process. The PPDCs employ a participatory process involving relevant public and private sector stakeholders as well as citizens through representation by non-governmental organizations (NGOs). PPDC meetings and GSP capacity building initiatives are the primary inputs to this indicator.

This is a trend indicator and accordingly, the LOP is the percentage calculated for the last quarter of the project's duration.

Variance Analysis: Positive variance is due to strong underlying representation by youth and women in Dhi-Qar, Salah Ad Din, and Najaf. As a breakdown, unduplicated, women participation was 15.79% while youth was 14.47%.

Indicator #1 I: Number of government officials receiving GSP training in conducting community outreach and citizen participation process

Indicator #1 I: Number of government officials receiving GSP training in conducting community outreach and citizen participation process	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	35	2	3	4	2	2	2	2	2	2	2	2	3	3	2	2
Actual (2014)	62	1	1	7	0	0	10	9	1	0	0	0	1	31	1	0
Variance	27	-1	-2	3	-2	-2	8	7	-1	-2	-2	-2	2	28	-1	-2

Description: This indicator counts the number of government officials receiving GSP trainings in conducting community outreach and citizen participation. The same person receiving multiple trainings over the duration of a program year counts as one participant. GSP capacity-building training refers to knowledge or skill building that follows a stated learning objective. Government officials are defined as provincial or local council staff.

Variance Analysis: The positive variance is due to three provinces (Diwaniyah, Diyala and especially Ninawa) having a high net positive variance to offset the low negative variance from the other provinces. The negative variance in 10 provinces is due to (a) citizen participation program activities that were focused on public meetings technical assistance and less focused on citizen participation training, and (b) not approving the GOI FY2014 budget by Iraqi Parliament reduced chances to fund organization of the public meetings.

As a breakdown, unduplicated, number of women participated was 10 while men was 52.

The LOP actual was 254 against a target of 229 with a positive variance of 25 due to the last year higher than anticipated participation.

Indicator #12: Number of consensus building forums Multi-party, civil/security, and/or civil/political) held with GSP assistance

Indicator #12: Number of consensus building forums Multi-party, civil/security, and/or civil/political) held with GSP assistance	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	18	0	2	2	N/A	2	2	2	2	N/A	N/A	N/A	0	2	2	2
Actual (2014)	71	2	6	0	N/A	4	15	5	11	N/A	N/A	N/A	6	3	6	13
Variance	53	2	4	-2	N/A	2	13	3	9	N/A	N/A	N/A	6	1	4	11

Description: This is an F indicator. Multi-party, civil/military, civil/political forums are events, seminars, meetings, and conferences that bring together groups in tension or conflict in an effort to generate greater understanding and consensus. Civil in this sense means “public” and indicates a meeting, town hall, forum, etc. in which the public can communicate directly with representatives of parties (or government) or the security sector (military, police).

Variance Analysis: The positive variance is due to the high number of public meetings in Y3Q2 (53) broken down as follows:

- GOs conducted 23 public meetings;
- PCs conducted 22 public meetings;
- District Councils conducted 5 public meetings; and
- Citizen Participation Units conducted 3 meetings.

The LOP actual is 156 over a target of only 22. The transition of holding these meetings to the governments and LNGOs has resulted in a positive impact in quality and quantity.

Indicator #13: Number of Provinces that have established a Systematized Process for Citizens to Effectively Participate in Provincial Government

Indicator #13: Number of Provinces that have Established a Systematized Process for Citizens to Effectively Participate in Provincial Government	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	5	N/A	N/A	1	N/A	N/A	1	1	N/A	N/A	N/A	N/A	N/A	1	N/A	1
Actual (2014)	1	N/A	N/A	0	N/A	N/A	1	0	N/A	N/A	N/A	N/A	N/A	0	N/A	0
Variance	-4	N/A	N/A	-1	N/A	N/A	0	-1	N/A	N/A	N/A	N/A	N/A	-1	N/A	-1

Description: A systematized process for citizens to effectively participate in provincial government is premised on a law, rule, or regulation passed by the Provincial Council and promulgated through a citizen participation unit that is adequately staffed, resourced, and performs structured/regularized community outreach activities.

Variance Analysis: the negative variance is due to that a province is counted when it passes Citizen Participation (CP) Law, institutionalizes the CP unit, and organizes at least one public meeting. Only Diwaniyah met the three thresholds to be counted. Other provinces met one or two of the criteria and by definition, cannot be counted. Baghdad and Diyala have passed the law, institutionalized the units and designated staff but could not organize public meetings because of not approving the FY2014 budget while Wasit did the last two thresholds without passing the law of citizen participation through the course of project.

Indicator #14: Number of Provinces Implementing a Systemized Process for Monitoring Service Delivery

Y3 target was revised to “0” after consultation with and approval of USAID. FY 2014 target is set to zero because during the last program year, the target has been surpassed and by definition of the PIRS, as 13 of 15 provinces have implemented a systemized process for monitoring service delivery. Provinces actually accomplished three measures: (1) established Essential Services Delivery Oversight (ESDO) and conducted field test, (2) established or enhanced a citizen service desk (CSD), and (3) developed performance standards.

The LOP is 13 actual against target of 11.

Indicator #15: Number of Provinces that have established a Systematized Capital Project Monitoring and/or Oversight Process

Indicator #15: Number of Provinces that have Established a Systematized Capital Project Monitoring and/or Oversight Process	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Erbil	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	5	N/A	1	1	1	N/A	N/A	1	N/A	1	N/A	N/A	N/A	N/A	N/A	0	N/A
Actual (2014)	6	N/A	1	1	1	N/A	N/A	1	N/A	1	N/A	N/A	N/A	N/A	N/A	1	N/A
Variance	1	N/A	0	0	0	N/A	N/A	0	N/A	0	N/A	N/A	N/A	N/A	N/A	1	N/A

Description: GSP’s monitoring and/or oversight process is a mechanism based on the provisions of Law 21 that mandate Provincial Councils to monitor and the Governor’s Office to oversee and follow-up implementation of capital projects. Establishing the process and procedures for effective monitoring and oversight systems minimizes project delays, cost overruns, and improves the quality of construction projects.

A province is counted only when:

- PC and/or GO develops and adopts procedures for monitoring and oversight respectively;
- PC and/or GO forms working group to conduct site visits; and
- Working group conducts at least one pilot project and issues reports.

Variance Analysis: GSP/ Taqadum targeted seven provinces and managed to have six of them meet the three required thresholds. Erbil also has met the last two conditions but failed to provide GSP with an official adoption letter of procedures for monitoring and oversight. Therefore, Erbil was not counted. As this indicator is specifically for FY2014, LOP results is exactly as FY2014's. Positive variance is 1.

Indicator #16: Number of Provinces that Use CSD Monitoring and Oversight Tools to Understand Community Needs

Indicator #16: Number of Provinces that Use CSD Monitoring and Oversight Tools to Understand Community Needs	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	7	0	N/A	1	1	N/A	1	1	1	N/A	0	N/A	0	1	N/A	1
Actual (2014)	10	1	N/A	1	1	N/A	1	1	1	N/A	1	N/A	1	1	N/A	1
Variance	3	1	N/A	0	0	N/A	0	0	0	N/A	1	N/A	1	0	N/A	0

Description: GSP's Issue Tracking and Reporting System (ITRS) is a database application that captures issues and complaints lodged by citizens at the provincial Citizen Service Desk. ITRS is envisioned to provide CSDs with the capability to generate data that can be used as a tool to better understand community needs. This indicator captures the actions needed to achieve this aim and builds on prior GSP ITRS endeavors.

To be counted as meeting the indicator threshold, provincial PC and/or GO CSDs must meet the 2 REQUIRED criteria AND at least 3 of the remaining 5 criteria as shown below:

- ITRS SOP adopted and implemented (REQUIRED)
- ITRS reports generated and submitted to PC or GO (REQUIRED)

- COMSEC provides PC CSD with hotlines
- GO or PC hotline data recorded into ITRS
- CSD services and contact information posted
- Line ministry performance information from ITRS is published
- Customized ITRS reports submitted to PPDC

Variance Analysis: Positive variance is due to the fact that GSP/ Taquadum targeted 10 provinces instead of the required seven. It has managed to meet the thresholds of all 10 provinces.

LOP results is exactly as FY2014's. Positive variance is 3 since this indicator is specifically for FY2014.

Indicator #17: Number of Citizen Service Desks Established or Improved through GSP Assistance

Y3 target was revised to "0" after consultation with and approval of USAID. The job was done perfectly in the previous program year with a positive variance of 16 (Target = 6; Actual =22) as entirely a result of the enhancement of services through the adoption and use of ITRS by all the provinces, either at the GO CSD or the PC CSD or both.

LOP actual is 22 against LOP target of 6.

Indicator #18: Number of Service Delivery Issues Reported to Line Service Ministries as a Result of GSP Assistance

Indicator #18: Number of Service Delivery Issues Reported to Line Service Ministries as a Result of GSP Assistance	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	200	20	N/A	40	20	N/A	20	N/A	20	N/A	20	N/A	20	20	N/A	20
Actual (2014)	1148	30	N/A	422	23	N/A	171	N/A	15	N/A	50	N/A	47	206	N/A	184
Variance	948	10	N/A	382	3	N/A	151	N/A	-5	N/A	30	N/A	27	186	N/A	164

Description: Total number of service delivery issues (i.e., water, sewer, trash pick-up, road pavements, health, and education) reported to the line ministries by provincial government after receiving complaints through citizen service desks. Complaints are transmitted to the line ministry directorates in the province through official letters.

Variance Analysis: The positive variance is due to finding a good way in getting the verification documentation especially in the first two quarters, especially after the use of Issue Tracking and Reporting System (ITRS) as ITRS became more widely used. The reported number of service delivery issues was gotten by GSP/ Taqadum only in Q1 (788) and Q2 (360) as the focus was changed to decentralization in Q3 and Q4.

LOP actual is 1,560 against LOP target of 720.

Indicator #19: Number of Issues / Complaints Captured by Citizen Service Desks and Reported to Provincial Government

Indicator #19: Number of Issues / Complaints Captured by Citizen Service Desks and Reported to Provincial Government	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	10,000	1,000	N/A	1,000	1,000	N/A	1,000	1,000	1,000	N/A	1,000	N/A	1,000	1,000	N/A	1,000
Actual (2014)	6,150	17	N/A	296	1,117	N/A	1,205	86	185	N/A	151	N/A	2,541	329	N/A	223
Variance	-3,850	-983	N/A	-704	117	N/A	205	-914	-815	N/A	-849	N/A	1,541	-671	N/A	-777

Description: Issues and complaints are actionable requests and general complaints communicated by citizens to the GO and PC through established mechanisms for receiving public input including citizen service desks and on-line methods (web pages). Reporting to provincial government includes formal, documented communication of individual complaints or of aggregated complaints and complaint trends.

Variance Analysis: The negative variance would have significantly been positive if GSP was better able to access the required evidence. GSP anticipated that with the proliferation of ITRS in 13 of the 15 provinces, however, GSP collected data only from 10 provinces as they were the targeted in terms of CSD enhancement; collecting information for this indicator would be enhanced and the number of issues reported would be likely much higher.

The LOP actual (49,900), however, has a positive variance of 16,400 against the LOP target (33,500).

Indicator #20: Number of Essential Service Delivery Oversight Entities Established or Expanded through GSP Assistance

FY 2014 Annual Target was restated to 0 since the targeted Essential Service Delivery Oversight (ESDOs) (11) were achieved through the end of FY 2013 and the focus shifted to enhance the same established ESDO's with no additional targeted.

LOP actual is 11 against LOP target of 9.

Indicator #21: Number of Provinces that have established a Sub-legislation Implementation Tracking System

Indicator #21: Number of Provinces that have Established a Sub-legislation Implementation Tracking System	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	10	0	1	N/A	1	1	1	1	1	N/A	N/A	0	1	1	1	1
Actual (2014)	12	1	1	N/A	1	1	1	1	1	N/A	N/A	1	1	1	1	1
Variance	2	1	0	N/A	0	0	0	0	0	N/A	N/A	1	0	0	0	0

Description: As a law-making body, the issuance of sub-legislation is a major responsibility of the Provincial Council and reinforces its statutory authority. A major weakness in the application of sub-legislation is the absence of a systematic way to track its implementation. GSP's Sub-legislation Implementation Tracking (SLIT) work with local government is focused on addressing this shortcoming. The approach being taken is to form provincial SLIT working group, unit or sub-committee consisting of PC and GO staff to perform the necessary interventions to establish provincial SLITs.

To be counted, a province must meet 4 of the 6 criteria as follows:

- SLIT working group (composed of PC & GO staff) established

- Existing legislative process mapped and analyzed
- PC receives training on legislative drafting
- A SLIT database archives sub-legislation
- SLIT database used to track implementation
- Provinces take corrective action to ensure implementation

Variance Analysis: Positive variance is due to the fact that GSP/ Taquadum targeted 12 provinces instead of the required 10. It has managed to meet the thresholds of all 12 provinces.

LOP results is exactly as FY2014's. Positive variance is 2 since this indicator is specifically for FY2014.

Indicator #22: Number of Provinces that have Strengthened Institutional Service Delivery Performance Standards

Indicator #22: Number of Provinces that have Strengthened Institutional Service Delivery Performance Standards	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	8	N/A	I	N/A	N/A	N/A	I	N/A	I	I	I	I	I	N/A	N/A	I
Actual (2014)	8	N/A	I	N/A	N/A	N/A	I	N/A	I	I	I	I	I	N/A	N/A	I
Variance	0	N/A	0	N/A	N/A	N/A	0	N/A	0	0	0	0	0	N/A	N/A	0

Description: Service delivery performance standards serve as a reference for gauging the quality or level of service delivery to citizens. Currently, provincial performance standards have been developed to cover three basic municipal services - water, sewerage, solid waste management – and field test conducted to apply these performance standards. The field tests have revealed valuable information on service delivery shortcomings and some provinces have responded to these deficiencies by providing expedient solutions while at the same time, noting the longer-term infrastructure planning needs.

To be counted as meeting the indicator threshold, provinces must meet the 2 REQUIRED criteria and at least 2 of the 4 remaining criteria listed below:

- 7 ESDO sites visits impacts 7,000 citizens (REQUIRED)
- ESDO adopts SOP process map (REQUIRED)
- ESDO is institutionalized (space, staff, etc.)
- ESDO database captures SD standards and site visits data
- ESDO delivers report on standards and site visits indicators to PPDC
- Post-intervention survey report available to the public (website or newsletter)

Variance Analysis: GSP has hit the target in strengthening the ESDOs of eight provinces. However, GSP was targeting 10 provinces' ESDOs some of which have met some thresholds but not the required criteria such as Anbar and Diyala that were not counted.

Indicator #23: Number of Provincial Performance Standards Developed in Coordination with Line Ministries to Address Service Delivery Issues through GSP Assistance

Indicator #23: Number of Provincial Performance Standards Developed in Coordination with Line Ministries to Address Service Delivery Issues through GSP Assistance	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	16	2	3	N/A	N/A	N/A	2	N/A	3	2	N/A	2	N/A	N/A	N/A	2
Actual (2014)	70	6	12	N/A	N/A	N/A	17	N/A	18	3	N/A	3	N/A	N/A	N/A	11
Variance	54	4	9	N/A	N/A	N/A	15	N/A	15	1	N/A	1	N/A	N/A	N/A	9

Description:

Performance standards would serve as reference for gauging the quality or level of service delivery to the citizens. Provincial performance standards will be developed to cover at least the three basic municipal services (water, sewerage and solid waste management). Standards will be eligible to be counted in a province when it is adopted by an oversight body who agrees to implement the standards to monitor service delivery, at a minimum, in water, sewerage, and solid waste management.

As *Essential Service Delivery Oversight (ESDO) Entities/ Workgroups* established in 11 provinces last program year were strengthened by GSP/ Taqadum especially the provinces reported in Indicator #22 that gained better knowledge and experience during this program year. Consequently, the actual values correspond to the actual provinces that established and enhanced their ESDOs.

Variance Analysis: The positive variance is because each performance standard within each of the four sectors for some of the provinces has yielded a more substantial amount of performance standards developed than originally envisioned.

The diagram below shows the *Service Delivery Performance Standards (SDPSs)* developed by each province.

SDPSs Figures Distribution

Province	Water	Sewage	Solid Waste	Storm Drains	Sub total
Anbar	-	1	-	5	6
Babil	5	2	4	1	12
Diwaniya	5	5	4	3	17
Karbala	6	5	4	3	18
Kirkuk	-	-	-	3	3
Muthanna	-	-	-	3	3
Wasit	6	1	4	-	11
Total	22	14	16	18	70

The LOP actual is 214 against 64 LOP target.

Indicator #24: Number of Sub-National Government Entities Receiving GSP Assistance that Improves their Performance

Indicator #24: Number of Sub-National Government Entities Receiving GSP Assistance that Improves their Performance	All Provinces	Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala	Erbil	Karbala	Kirkuk	Maysan	Muthanna	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2014)	80	3	6	6	6	3	6	6	6	6	3	3	3	6	6	5	6
Actual (2014)	588	5	28	61	50	22	59	30	41	33	9	14	14	34	25	22	141
Variance	508	2	22	55	44	19	53	24	35	27	6	11	11	28	19	17	135

Description: This is an F indicator. Sub-national entities refer to government units administratively responsible for a specific sub-area within the nation's territory, including their departments and divisions. Sub-national entities may be at the regional, state/provincial, district/county or municipal level. Improved performance is measured by an increase in quantity, increase in quality (as measured and/or as perceived by end users), and decreased unit cost of provision of service. Services on which they might be working to improve performance will vary by country, but may include water, sewerage, solid waste, and storm drains.

GSP assistance efforts not only aim to improve the quality and quantity of select services, but to impart rational management approaches to ensure their long-term viability.

Operating units should define the services targeted for improved performance, the type of improvement targeted, and the specific entities receiving assistance in the indicator reference sheet and performance narrative.

GSP/ Taqadum has developed an assessment tool to count the eligible sub-national entities as follows:

Assessment Tool:

GSP used to count sub-national entity as long as a representative had been involved in a training, workshop, or a conference in which they gain potential skills, new methodologies, management qualifications or capacity buildings in areas of Organizational Development, Financial Management, Planning , Project Monitoring and Oversight, Service Delivery, Performance Standards, Citizen Service Desks, Provincial Council Capacity Building, Sub-legislation Implementation Tracking, or Citizen Satisfaction Survey.

GSP has developed this assessment tool to, starting from Oct 1, 2013, count the sub-national entity belongs to a province only if this province achieved the related required thresholds associated with the following indicators incorporating actual improvement:

- Organizational Self-assessment and Transformation Project (Indicator #5)
- Financial Management (Indicator #7)
- Planning Councils (Indicator #9)
- Citizen Participation (Indicator #13)
- Monitoring & Oversight of Capital Projects (Indicator #15)
- Citizen Service Desks (Indicator #16)
- Sub-legislation Tracking (indicator #21)
- Service Delivery Performance Standards (Indicator # 22)

Method of Calculation:

Sub-national entities will be considered in counting if meet the two following thresholds:

First: a representative of the sub-national entities is engaged in a training, workshop, or conference involving one of the following GSP elements:

- Organizational Development
- Financial Management
- Planning
- Project Monitoring and Oversight
- Service Delivery Performance Standards
- Citizen Service Desks
- Provincial Council Capacity Building
- Sub-legislation Implementation Tracking
- Citizen Satisfaction Survey

Second: the province whose sub-national entity belongs to the one of the following indicators related to the same

Sub-national entities comprise organization such as:

- Provincial, District, and Sub-district Councils
- Provincial, District, and Sub-district Council Committees
- Provincial Governor's Office, Mayor's Office, Departments, and Units
- Provincial Line Ministries Directorate Generals, Directorates, Department, and Units

has to meet the required thresholds of element that entity took training on:

Indicator No. 5: Number of Provinces that Join the OSTP Practitioner's Excellence Network and Share Solutions that Enhance Organizational Functions
Indicator No. 7: Number of Provinces that Enhances Budgeting, Financial Management, and Internal Control Systems
Indicator No. 9: Number of PPDCs Strengthened Through GSP Assistance
Indicator No. 13: Number of Provinces that have established a Systematized Process for Citizens to Effectively Participate in Provincial Government
Indicator Number 15: Number of Provinces that have established a Systematized Capital Project Monitoring and/or Oversight Process
Indicator No. 16: Number of Provinces that Use CSD Monitoring and Oversight Tools to Understand Community Needs
Indicator No. 21: Number of Provinces that have established a Sub-legislation Implementation Tracking System
Indicator No. 22: Number of Provinces that have Strengthened Institutional Service Delivery Performance Standards

As GSP assistance efforts not only aim to improve the quality and quantity of select services, but to impart rational management approaches to ensure their long-term viability, this tool will ensure improved performance of these entities.

Variance Analysis: The positive variance is due to the high number of unduplicated entities that participated in GSP interventions and is consistent with the structure of provincial government with its many varied committees, units, and departments

In spite of using the strict assessment tool above, GSP recognized that lots of entities were interested in engaging in GSP activities to increase their performance leading to that positive variance far much bigger than anticipated sub-entities that participated in GSP interventions.

The LOP actual is 963 against LOP target of 251.

EVALUATION OF MAJOR PROGRAM AREAS

Fundamentally, GSP/ Taqadum's work with local government is responsive to the authority and responsibility given to local government under Law 21. Consistent with GSP/ Taqadum's development objective, the program's interventions are focused on the citizen.

During the FY2014, GSP/ Taqadum continued to shape, re-shape, and solidify the foundation of local government by building counterpart capacity and implementing local government systems to impact better public service delivery. GSP/ Taqadum provided assistance to:

- Increase provincial self-governance through consolidating planning and resource allocation;
- Strengthen provincial government's role by expanding critical functions;
- Enhance data-driven decision-making capability;
- Diagnose organizational deficiencies and implement solutions to address these deficiencies;
- Implement inclusive resource allocation and decision-making processes that are responsive to citizens and involves stakeholder collaboration; and
- Empower provincial government's relationship with central government and enhance the ability to hold line ministries accountable for better service.

In the narrative that follows, each program element is examined and evaluated based on the criteria related to improvements in structure, systems, and skills as described below:

- (1) *Structure* responds to the question as to whether organizational structures in local government are augmented as a result of the specific GSP/ Taqadum intervention.
- (2) *Systems* respond to the question as to whether local government processes have improved or are improving as a result of the specific GSP/ Taqadum intervention.
- (3) *Skills* respond to the question as to whether organizational skills in local government have increased as a result of the specific GSP/ Taqadum intervention.

Colored arrows denote the evaluation of each criterion: a green arrow indicates that the criterion is responding positively to GSP/ Taqadum interventions and trending upward while an orange arrow indicates that the intervention is on-going and still working on by provincial governments following the strategy set by GSP/ Taqadum and counterparts. In some instances, the criterion is not applicable and is denoted as N/A. The Not Applicable label is also used when the program element was consolidated into another program element or deleted completely in accordance with modifications made to the GSP/ Taqadum work plan.

The evaluation presented here is based on internal reporting, program element insights and discussions among GSP / Taqadum staff during the course of the program year.

I.1 Organizational Self-assessment and Transformation Program (OSTP)

Impact	Identifying gaps, Effectively implementing solutions to fill the gaps, and sharing them with OSTP Excellence Network (EN) Members
Accomplishments	2 additional provinces completed the benchmark report to be added up to the already 6 provinces of last program year to reach total of 8. 5 of 6 provinces met the three thresholds of being a member of EN, at least 2 solutions implemented, and shared with other EN members 7 of 8 provinces became members of EN. 31 Solutions were implemented in six provinces

Background to Program Element

The Organizational Self-assessment and Transformation Program (OSTP) is a comprehensive and holistic approach for building the capacity of public sector organizations to continuously improve their performance. It is based upon a model of government excellence with three pillars: Citizen Focus, Effectiveness, Transparency. The organizations conduct a benchmark assessment using the five OSTP criteria - Leadership, People (Human Resources), Knowledge, Processes, and Finance – to measure performance in relation to the three pillars, and implement improvements based on the findings. The OSTP model includes five phases implemented in a continuous cycle to achieve and maintain organizational excellence.



Citizen Service Desk Before



Citizen Service Desk After

and self-

Ninawa: Knowledge Criterion – Implemented solution of engaging technical staff in the GO reception front desk to ensure fast response to citizens' complaints and saving time

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

By default, OSTP requires the creation of an internal consulting team to deploy its methodology. This team is made up of individuals selected from a mix of functional units that comport to the OSTP focus areas. The Governor (or PC Chair in the case of Baghdad) champions the work of the OSTP team whose members are allowed to use up to 25% of time in a normal workweek to conduct OSTP related activities.

System (improved processes):

The continuous improvement cycle that is central to OSTP is synonymous with seeking organizational improvement opportunities and implementing solutions. Thirty one improvements have already been implemented across six provinces including the involvement of technical staff in the GO reception front desk in Ninawa (before and after pictured above).

Skills (increased level of counterpart capability):

In general, OSTP team members have acquired change management skills and this is evidenced by the improvements solutions that have been implemented.

Summary Evaluation

OSTP has progressed to the point that six provinces' OSTP teams implemented 31 solutions that enhanced the effectiveness and efficiency of the GO, which in return raised citizens' satisfaction on delivered services. Besides, these solutions can be replicated across the OSTP teams in the different provinces and the Excellence Network will be strengthened sufficiently to ensure the sustainability of OSTP.

Implemented Solutions by Province & Criterion

Province	Total # of Implemented Solutions	Leadership Criterion	Knowledge Criterion	Finance Criterion	Process Criterion	People Criterion
Babil	5	2	1	1	1	-
Baghdad	4	1	1	-	2	
Basrah	4	1	-	2	-	1
Karbala	1	-	-	-	1	-
Kirkuk	4	1	1	1	1	-
Ninawa	13	5	3	3	2	-
Total	31	10	6	7	7	1

Implemented Improvement Solutions in Detail

Baghdad

Criterion	# of Solutions	Solution Description	Impact
Leadership	1	Document and publish staff's "Code of Conduct"	Raise the awareness on the business' code of conduct among all employees. All staff has read and would adhere to the code of conduct that they signed off.
Knowledge	1	Activating Baghdad PC's website	The PC website has started publishing the news from different committees of the PC. The website visitors has increased from 228 visitor on July 11, 2013 to 42,289 on Jan 6, 2014 after implementing solution The PC started encouraging citizens to participate by voting on the website on issues touching their daily life and expressing their badly needs in Baghdad
Process	2	Establishing an electronic system for Archiving	Quick and easy access to the incoming or outgoing letters. The software is easy to use by simple training to the future users. Easy to integrate and consolidate information in a centralized database to be used in the planned electronic government project in the future
		Establishing a database for employees (Knowledge map). <i>This solution has been implemented through cooperation between Process and Knowledge criteria</i>	Have a good roster of staff's info such as full name, academic certificates, department, job title, the courses attended with location and dates as well as uploading a picture of the employee and certificates s/he obtained Enable Department of Administrative Affairs and to identify the staff who has not participated in any training course to raise the capacity of the largest number of staff.

Babil

Criterion	# of Solutions	Solution Description	Impact
Leadership	2	Design a website and publish the strategic plan, the annual projects plan seeking citizen feedback	Babil Governorate has got a new website and all citizens, staff, and any user can access the website at www.babilgov.com GO can get the feedback of citizens immediately about planned projects
		Establish a survey unit in the citizen's affairs department	Via this questionnaire, citizen evaluates the basic services: Trash collect service. Water service. Electricity service. Sanitization service. Citizens give suggestions directly. This study provides the real evaluation of each service from the beneficiaries' view and consequently, how to improve these services
Knowledge	1	Inventory for knowledge needs and fill the knowledge gaps by distributing required manuals and CD's for Finance, Administration, Legal and Projects departments.	Reduce the lack of information that all departments always suffer from. Establish a new sharing base of information inside the governorate. Reduce time spent to search for the required information. Foster the OSTP status and the team morale and reputation. Good reference for the decision makers
Finance	1	Produce specific form for the GO departments to help preparing the annual estimated budget for both investment and operational.	Internally questionnaire distributed for accounting staff to revise the developed budget form Inputs came from departments with fiscal information Data could be analyzed and taken into consideration for developing the annual operational and investment budget
Process	1	Design a clear process map for obtaining compensation money for victims of terrorism and military mistakes	Speed up the procedures and increase the number of cases closed. Meet the victims needs as quickly as possible and raise their satisfaction on government service delivery

Basrah

Criterion	# of Solutions	Solution Description	Impact
Leadership	1	Train the technical staff of the Directorate of Government Contracts on project management	Help the staff of the Directorate of Government Contracts to perform more professionally and effectively. Facilitate the payment schedule of the contractors Speed up execution completion of projects
Finance	2	Referring to the finance department/ balance allocations to make sure of the availability of fund before awarding new projects	helped the finance department and all other concerned departments to avoid any problems that may occur when exceeding the reserve amount
		Prepare a flowchart of transaction procedures displayed at the front door	solution facilitates and helps the citizens to be aware of the transaction procedures
People	1	Apply the necessary procedures to keep the permanent and the contracted employees	Fair treatment for all staff with equal duties and rights Fair pay scales and grades for all staff Contracted staff are eligible for all applied privileges and benefits



- The flowchart has been approved and fixed on all the notice boards to be seen by the citizens and the companies' agents.

The GO OSTP Finance Criterion Team managed to complete this solution by implementing the following activities:

- The team took the approval of the Deputy Governor on the flowchart to facilitate the transaction procedures.
- The team held a meeting with the directorate of governmental contracts and the auditing department to approve the suggested flowchart.

Karbala

Criterion	# of Solutions	Solution Description	Impact
Process	I	Governor approved the process map for project implementation stages	Help the staff of the Directorate of Government Contracts to perform more professionally and effectively. Facilitate the payment schedule of the contractors Speed up execution completion of projects

Kirkuk

Criterion	# of Solutions	Solution Description	Impact
Leadership	I	GO Vision Generation	Make the GO staff aware of the governor vision to develop the province and improve serving the citizens. GO staff has a common objectives and are on the same page of the put forward plans
Knowledge	I	Increase knowledge of the staff	Raise the capacity of GO staff after needs analysis of required skills in various areas of knowledge
Finance	I	Create electronic storage Department	Have control on the inventory of GO Generate new job opportunities for IT, store keeping ...etc.
Process	I	Operationalize hotlines to receive proposals and complaints from citizens	Getting citizens' feedback on service delivery Interact directly with citizens via hotlines for any raised issue Receive suggestions from the citizens to improve GO services

Ninawa

Criterion	# of Solutions	Solution Description	Impact
Leadership	5	Increase communication between Governor, his assistants, and the directors of executive line ministries to discuss citizen's complains on each service	Work between GO and departments has been activated and better communicated.
		Official document of national goals must be distributed to all departments and sub departments making sure that managers understand these goals and their roles to achieve them	Clarified national goals to all staff
		Conducting training workshops about roles and responsibilities to encourage staff using their full authorities and stand for their responsibilities; besides conducting joint workshops between departments and monitoring entities	Employees became more active and knowledgeable in his/ her entity
		Publishing the code of conduct to all employees and encourage GO office to reward the employees who are excellent in their job	Employees became more active and competent to do their roles in his/ her entity
		Ensure that vision reach every employee every year by getting it published on GO website, besides documenting all amendments after each review ,also publishing the vision through Leaflets and posters and conducting development training for vision and mission preparation.	Unified employees' vision to serve the GO vision
Knowledge	3	Engage technical staff in the GO reception front desk to ensure fast response to citizens' complaints and saving time	Reduced both employees' suffering and citizens' congestion The reception entrance now is more organized and more effective.

			The citizens don't have to enter to GO offices and asking guidance, The employees' workplace is better without crowd of citizens in corridors & offices.
		List knowledge needs and determine the gaps for each department	All Employees have the knowledge of their duties and about the institute s/he works at
		Dissemination of knowledge through individuals who got specific training	Used the appropriate individual sharing information and reducing the monopoly of information
Finance	3	Formation of a committee for assessment of budget preparation of last years and determining the strength and weaknesses ,the committee including staff from GO and other entities	Preparation of realistic and integrated budget without gaps facilitating work of finance department
		Preparing software for assets management to assist reduce unapproved purchases and put in use modern assets management procedures as well as determining the authorities of moving assets in-out the warehouses.	Reduced routine in asset management process ensuring speed and accuracy
		Clarifying roles and authorities of PC and GO according to Law 21	Clarified roles and authorities and ensure non-interference
Process	2	Prepare proper place for The Compensation Committee enough for the massive service done by this committee for the citizens.	Reduced citizens' suffering due to large number of cases
		Issue flow chart showing the process through the related departments	Reduced the routine in the GO

I.4 Financial Management

Impact	Good budget management and transparency through streamlining the payment cycle, strengthening financial management control and reporting systems in Provincial accounting
Accomplishments	6 provinces participated in national conference on legal and regulatory framework. 7 provinces proposed at least 5 modifications to improve budgeting process. 3 provinces developed streamlined contractor process. 3 provinces submitted trial balance on time. 6 provinces adopted self-audit tool

Background to Program Element

Strong provincial financial systems support the ability of the GO to propose reasonable budgetary plans and to follow up with oversight of those plans. Likewise, the same systems allow PCs to make reasonable decisions on resource allocation and monitoring of the implementation of their decisions. In an ongoing effort to promote



strengthening of provincial financial management systems, GSP/ Taqadum worked with accounting and audit staff in PCs and GOs to identify the weaknesses and limitations of existing systems, and to identify and implement improvements to enhance these systems.

The First National Conference for Improving the Provincial Management Regulatory Framework and the Execution Rate of the Provincial Investment Budget brought together high-level central and provincial officials to agree on changes to increase budget execution rates

Hospitality Palace in Najaf on March 2, 2014

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

Five-target provinces have established letters of credit units and Dhi Qar successfully used ten letters of credit for procurement of items such as importing spare parts for power plants and radiation detectors during the program year, All. This is an important development. An LC facility is used to purchase goods and services from foreign companies, providing access to a wider range of quality solutions, especially in infrastructure development.

System (improved processes):

During FY2014, GSP/ Taqadum continued to build upon its previous successes of implementing new systems, processes, and tools for improving the overall provincial financial management systems. Manuals are used on a frequent basis, rather than being left on a shelf to gather dust. Capital improvements moved forward due to changes in methods of acquiring goods and services and improved timeliness of contractor's payments.

The Self-Audit Tools Manual, the Planning and Budgeting Manual, and the Simple Budget Guide for PC Members have been well received in the provinces, and are already being put to good use.

Best of all, these changes in the way of doing business seemed to have become a part of the daily routine of financial management life in the provinces, ensuring their sustainability even after the GSP/ Taqadum project has closed.

Skills (increased level of counterpart capability):

For example, the Self-Audit Tool Manual was used by staff in the Wasit PC's Accounting Section to ensure that bank statement reconciliations were prepared properly. They also used the Manual to prepare and submit the final accounts and related financial tables to the Ministry of Finance (MoF) and State Audit Board (SAB). In Diyala, the GO's Internal Audit and Accounting Sections referred to relevant sections of the Manual to audit expenses against receipts. Baghdad PC officials were better able to respond to findings in the SAB report using information from the Manual, and the Basrah GO Accounting Section used it to propose solutions to identified problems in the preparation of the final accounts to ensure timely submission of annual reports

GSP/ Taqadum worked with provincial officials to develop three manuals to guide financial systems and processes: the Planning and Budgeting Manual; the Self-Audit Tools Manual; and the Simple Budget Guide for PC Members

Summary Evaluation

GSP/ Taqadum's process improvements in financial management made the most significant contribution to our counterparts and ensure sustainability. The impact of streamlining the contractor payment system accelerated the implementation of capital investment projects, which resulted in services being provided to citizens more quickly as well as increasing the budget execution rate.



I.5 Provincial Planning and Development Council (PPDC)

Impact	Meeting community needs through integrated provincial and economic development planning by Provincial Planning and Development Councils
Accomplishments	8 PPDCs developed regional cooperation framework 9 PPDCs used SD data to close gaps in standards for water, solid waste, sewer or storm drains 6 PPDCs established formal mechanism to receive women / VP 2014 PPL 10 PC & PPDC trained on creating provincial vision

Background to Program Element

The Provincial Planning and Development Councils (PPDCs) were mandated by the MoP to formalize coordinated and inclusive capital planning and implementation, and to bring NGOs, academia, citizen representation, and the private sector into the planning process. GSP/ Taqadum provided technical assistance to develop PPDC structure, bylaws, objectives, roles and responsibilities, and drafting of quarterly action plans.



Dr. Eric Milstrey, Regional Representative/Senior Development in USAID, from the US Consulate in Erbil addressed the participants including PC members, PPDC members, and service delivery directorate officials from 10 provinces on Policy/Goal Setting for the 2015 Budget Erbil on March 2-4, 2014

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

PPDCs continued to transform the planning and budgeting process this quarter. PPDC members worked with district councils (DCs) and neighborhood councils (NCs) to finalize their project priority lists (PPLs), and sectorial committees reviewed service indicators and other data to ensure that the PPDC was providing reasonable recommendations by using reliable data. As nascent advisory bodies, PPDCs practiced “learning by doing” and made adjustments as necessary. Some PPDCs made changes to their membership policies to ensure the complete and active representation of the entire province, and others adjusted their action plans or meeting format to improve effectiveness and efficiency.

System (improved processes):

For the 2015 budget decision-making process, nine out of ten target provinces have established sector-specific policies and goals based on a provincial vision and are moving forward with identifying projects to bridge service delivery gaps to ensure that they reach their vision.

Skills (increased level of counterpart capability):

The PPDC budget recommendation process is moving smoothly into its second year of implementation. Provinces have demonstrated their ability to gather and use various pieces of information to determine service delivery gaps. Some provinces are much more advanced than others, but stragglers are moving forward as well.



PPDC members from six provinces met to discuss joint projects among bordering provinces. January 2014

PPDCs Influencing PC Decisions:

The positive influence of PPDCs and their efforts to improve life for citizens are being demonstrated as PCs approve PPDC-recommended projects. For example:

- The Karbala PC approved 111 of the 119 projects proposed by the PPDC for the 2014 PPL. The recommended projects were either identified by citizens during public meetings or during the numerous meetings held between PPDC members and District and Sub-district councils;
- In Wasit, nearly 80% of the projects included in the approved 2014 PPL had been recommended by the PPDC and were originally identified as priorities by citizens who attended public meetings;
- In Dhi Qar, before finalizing and adopting the 2014 PPL, the PC proposed amendments to the proposed PPL based on needs identified in District and Sub-district meetings supported by Taqadum – the following three projects were added to the PPL:
 - Building specialized medical centers for cancer and respiratory diseases;
 - Constructing a building to be used as the Nasiriyah (capital of Dhi Qar) Gymnastics Club; and
 - Supplying 200 caravans (mobile structures) to be used as a temporary solution to replace schools made of mud.
- After Taqadum training, NGOs from seven provinces (Diyala, Wasit, Salah ad Din, Karbala, Diwaniya, Dhi Qar, and Najaf) have now used the formal PPDC input mechanism recommended by Taqadum to send 2015 PPLs to the PPDC;
- Preparations for the 2015 budget process are the first year that local governments have actually complied with the Budget Calendar from the Planning and Budgeting Manual.

Additionally, The PPDC budget recommendation process was moving smoothly into its second year of

implementation. Provinces have demonstrated their ability to gather and use various pieces of information to determine service delivery gaps. Some provinces are much more advanced than others, but stragglers are moving forward also.

Two provinces—Wasit and Babil—also used Essential Service Delivery Oversight (ESDO) information in formulating policies and goals, demonstrating the ability to build on and interconnect information for multiple decision-making purposes.

Summary Evaluation

GSP/ Taqadum has succeeded in having counterparts embrace what was a paper-based MoP mandate into an operating reality. Sustainability was proven as PPDCs continued to embrace and evolve the data driven and inclusionary operating premise.

I.8 Citizen Participation

Impact	Systematic public engagement that results in inclusive resource allocation and decision-making processes that are responsive to citizens and involves stakeholder collaboration
Accomplishments	4 provinces' PCs passed citizen participation law to establish citizen participation unit within PC structure 4 Citizen participation units have staff designated 4 Citizen participation units have action plans developed 2 Citizen participation units organized at least one public meeting 71 public meetings held by PCs, DCs and NGOs without GSP/ Taqadum support

Background to Program Element

GSP/ Taqadum citizen participation intervention provided hands-on training and technical assistance enabling provincial officials to conduct public forums to identify citizen priorities and develop citizen- recommended project priority lists (PPLs) for consideration in the provincial planning and budgeting process. These public meetings are also an important step to engage citizens as partners in shaping and monitoring public service delivery.

Women and youth identifying priorities at a public meeting organized by an NGO in Diwaniyah



Evaluation of Structure, Systems, and Skills

Structure (augments

organizational structure):

Baghdad, Diwaniyah, Diyala and Ninawa have passed a citizen participation law institutionalizing citizen participation units within in their respective provinces. These units were designated with skilled staff developing related action plans.

System (improved processes):

In place now, citizen participation mechanisms have been established through public meetings where citizen focused PPLs are developed and serve as inputs into the PPDC planning process. A system for public participation in the resource allocation process is now clearly in place. However, not approving the public budget of FY2014 has delayed allocating funds to conduct public meetings in many provinces.

Skills (increased level of counterpart capability):

Now we see the improved capacity of government officials and local NGOs in conducting public meetings. Explicit significant indication of the increase in the capacity of these officials and civil societies to conduct public meetings is the fact that 71 public meetings across the country were conducted without GSP/ Taqadum assistance.



An elderly man expresses his opinion during the public meeting hosted by the Awan Association in Diwaniyah.



Orphans and disabled children participate in identifying their priority needs.

Summary Evaluation

The four provinces that recognized the importance of institutionalizing public participation is a strong indication of sustainability moving forward. In addition, organizing public meetings by PCs and Civil societies is a strong evidence of sustainability and success of transitioning responsibility from GSP to the local government.

I.9 Provincial Council Capacity Building

Impact	Assist the new councils adopt bylaws and provide targeted training on roles and responsibilities; and tools available to achieve council's functions
Accomplishments	<p>14 Provinces' PCs members got orientations on roles and responsibilities. Compiled and distributed a collection of documents that included Law 21, PC bylaws, Constitution, and prior PC sub-legislation in a compendium of materials for local government.</p> <p>Hosted the First National Conference on Developing a Roadmap for Implementing Law 21 as amended with participation of local and central government.</p> <p>Participation of local private sector in the EXPO to link them to the public sector presenting their products and services for future Public Private Partnership (PPP)</p>

Background to Program Element

Provincial Council elections were held in April 2013 and resulted in a turnover of approximately 70% in council membership. Following the elections, Taqadum assumed responsibility for building the capacity of these newly elected Provincial Councils in 14 provinces. Given the high turnover in council membership, GSP/ Taqadum's capacity building program, which began in mid-Q4, is focused on basic and intermediate topics that are designed to develop effective legislators.

Additionally, the passage of the Second Amendment to Law 21 which devolves duties, services, and competencies to local administrative units, requires capacity building just to develop basic awareness of a complex undertaking. GSP/ Taqadum is duly providing this assistance to local government.



Referencing implementation of Law 21 as amended, the Prime Minister told conference participants, "This is a critical time; the future of Iraq depends on it."

In response to the passage of amendments to the Provincial Powers Act (Law 21) by the Iraqi Parliament in August of 2013, GSP/ Taqadum hosted the First National Conference on Developing a Roadmap for Implementing Law 21, as Amended, on January 12-13, 2014.

The conference provided an opportunity for central and governorate officials to directly discuss decentralization in a public forum. The conference was held under the auspices of Mr. Nouri Maliki, the Iraqi Prime Minister and Chair of the Higher Commission for Coordination among the Provinces (HCCP), and under the patronage of Dr. Torhan Al-Mufti, State Minister for Provincial Affairs and Secretary of the HCCP. Both officials emphasized the importance and the duty to provide quality services to citizens. Prime Minister Maliki reminded officials that, "with authority, comes responsibility."

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

Their final recommendations, upon implementation, helped local governments better allocate resources and prepare them for their new responsibilities when service delivery is shifted from the ministry to the provincial

level. The premise of this activity is built around the need for a more progressive, effective, and efficient model of operations for a local government legislative body and organizational structure.

System (improved processes):

Developing basic functional principles, defining the functions that are going to be transferred, and Studying the Ministerial laws and making recommendations to the provincial council on new laws that corresponds to the devolution are all linked in processes to the adoption of a model organization structure.

Skills (increased level of counterpart capability):

Most capacity building workshops focused on authorities, roles and responsibilities of the PC and GO based on Law 21 Amendment 2 including: (1) Legislation, (2) Strategic Planning, Prioritization, Policymaking, Planning and Budgeting, (3) Revenue Generation and Financial Management, and (4) Monitoring (PC) and Oversight (GO). Officials have got lots of skills on the said areas.



US Ambassador Stephen Beecroft shared his thoughts on democracy by quoting US President Abraham Lincoln who “set forth the guiding principle for our government when he said that a successful and legitimate government must be of the people, by the people, and for the people.”

US Ambassador told participants, “I encourage you to work closely ... to carry out your responsibilities as smoothly, transparently, sustainably, and successfully as possible.”



The

On January 30, 2014, GSP/ Taqadum convened a review committee meeting of PC and GO leaders from Babil, Baghdad, Diyala, Karbala, and Wasit, and the Ministry of State for Provincial Affairs to incorporate comments, refine and endorse the proposed roadmap GSP/ Taqadum presented at the EXPO

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force per the roadmap, set a timetable, and allocate funding to implement the consensus roadmap. GSP/ Taqadum assisted the participants prepare for a productive meeting by outlining their discussion objectives (as summarized in the chart below) and provided the subject matter experts. GSP/ Taqadum's National Legal Advisor introduced the project's road map, and the Financial Advisor reviewed international best practices in decentralization.

Policies, Laws, and Systems	Financial	Management
<ul style="list-style-type: none"> • Developing basic functional principles for provincial tasks force and creating sub committees based on needs. • Defining the functions that are going to be transferred (in the departments) and agreeing on these functions with local government. • Studying the Ministerial laws and making recommendations to the provincial council on new laws that corresponds to the devolution. 	<ul style="list-style-type: none"> • Getting a complete understanding (through surveys) of the current process in budget preparation (operational and investment) in the directorates that are mentioned in the amended Law 21. • Defining the role of the provincial treasury and its relationship with the Governor and the directorates mentioned in the amended Law 21. • Preparing procedures for budget preparation at the local level for the directorates mentioned in the amended Law 21. • Identifying a new mechanism for funding between Federal and local government (between MoF and the directorates mentioned in the amended law 21) • Gaining a clear definition of local and Federal revenues. 	<ul style="list-style-type: none"> • Defining the current situation through surveying directorates mentioned in amended law 21 including structures, human resources, budgets, revenue commitments, type of services provided, method of delivery, and creating a comprehensive database of information. • Developing a GO structure corresponding to the amended Law 21. • Creating job descriptions. • Identifying roles and responsibilities for Governor and the 8 directorates.



Erbil Mayors and Sub-district Mayors are seen here during the Project Prioritization and Conflict Management Workshop.

Taqadum conducted a series of capacity building workshops for Erbil Mayors and Sub-district Mayors. Based on the results of a recent focus group with Erbil GO officials to identify their priority training needs, the workshops were designed to increase their capacities in leadership, decision-making, prioritization, and conflict management.

In addition, participants learned about the types of conflict and were introduced to useful ways of resolving conflict. Practical exercises were used during the workshop to increase participant knowledge and skills.

Summary Evaluation

Capacity building for Provincial Councils and governors' offices continued after starting late of last program year. GSP/ Taqadum has been well placed in increasing the *skills* level of GSP/ Taqadum counterparts. *Structural* enhancements and *system* improvements had their share of development but may take a longer time to realize their improvements.

2.1 Project Monitoring & Oversight

Impact	Provinces assisted to improve monitoring and oversight of capital projects and trained on project construction site management.
Accomplishments	6 provinces' PCs and/or GOs developed and adopted procedures for monitoring and oversight respectively. 7 provinces' PCs and/or GOs formed working group to conduct site visits 7 provinces' working groups conducted at least one pilot project and issued site visit reports with gaps identified and recommended.

Background to Program Element

In response to the new provincial governments' responsibility for efficient processes and tools with which to conduct PC monitoring and GO oversight of capital projects, GSP/ Taqadum proposed process improvements to ensure quality execution of projects. The process improvements were adapted to the needs of each province ensuring that standardized practices being used within each province. As PC and GO working groups were formed, GSP/ Taqadum has provided training on monitoring and oversight best practices as well as conducting site visits.



Above: Salah ad-Din workshop participants engaged in practical exercises utilizing the site visit checklist introduced by Taqadum.



Right: Officials and staff from the Erbil GO's oversight section learn about the relevant laws in project construction management.

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

The formation of monitoring and oversight working groups made up of engineers is a requirement in this program element. Taqadum worked through these teams on best practices employed in monitoring and oversight activities during projects site visits. During the program year, other three working groups have been established: Baghdad, Basrah, and Erbil to be a total of 7 achieved.

System (improved processes):

Six provinces have developed and adopted process maps of steps in monitoring and oversight after testing and refinement. Additionally, a (best practices) standard operating procedure as well as a Monitoring and Oversight Guide augmented the process maps to strengthen monitoring and oversight of capital projects as a standard reference in the future.

Skills (increased level of counterpart capability):

The skills developed by Taqadum for counterparts included: Project Construction Management, using Construction Schedules; Monitoring and Evaluation of Capital Projects; created a Checklist for Project Inspection; tools to Identify the Causes of Project Delays; understood Stages of the Project Life Cycle; the difference between Successful and Unsuccessful Projects; Process Mapping; and an overview of the Primavera P6 Project Management software.

International Federation of Consulting Engineers (FIDIC) Standards Training

At the request of the Erbil GO, Taqadum provided training on FIDIC standards for Erbil GO officials and engineers. The four-day training helped build the capacity and skills of engineers on the general terms of contracts for construction works; and taught the principles of and contents included in the FIDIC Red, Yellow, and Silver Manuals. Participants also compared current standards used by the Erbil GO with the standards accepted by FIDIC.



Delays in the Zubair - Safwan road construction was caused primarily by the lack of coordination between contractors and Directorate of Communications

Resolving Project Delays

Provincial monitoring and oversight working groups quickly applied their newly learned skills to the pilot projects selected, identified the issues that had resulted in the delays, and made recommendations to resolve the problems. In Basrah, the working group found a temporary solution to help construction on the new Zubair District Municipality building move forward until a problem with illegal squatters could be resolved.

The Basrah team also intervened to help resolve delays on the Safwan Road construction project. For the last 8 months, construction at this location was stopped and is pending an investigation by the Ministry of Culture that

declared that the land on which the flyover is being constructed belongs to the ministry and is archeologically protected.



The Basrah PC-GO working group has developed a report of its findings on the three delayed projects and submitted the report to the PC/GO for further action while also

Zubair – Imam Ali Mosque Flyover Interchange in Basrah City is a high profile construction project that is emblematic of how the lack of coordination among government agencies and contractors contributes to project delays

underscoring the need for better coordination and sharing of information among contractors and government agencies.

In Karbala, the PC-GO working group consulted with the resident engineer to resolve issues that delayed the construction project of a desperately needed 18-classroom school building.

In Salah ad Din, the GO working group assisted in developing a recovery plan for the Justice Palace and Library project to ensure continuity in construction work while at the same time, minimizing the risk of further delays.

Summary Evaluation

Process improvements in project monitoring and oversight are where Taqadum has made the most meaningful contribution to GSP/ Taqadum counterparts ensuring sustainability. As the most challenging aspect for this program element was the adoption of an improved monitoring and oversight process and measuring its effectiveness, GSP has succeeded despite the time constraint.

2.2 Essential Service Delivery Oversight (ESDO) / Service Delivery Performance Standards (SDPS)

Impact	Improving provincial service delivery units, establishing Standards of Performance (SoPs), and through cooperative interventions with provincial ministry directorates, documenting service improvements in neighborhoods and publically posting results.
Accomplishments	9 provinces conducted 7 ESDO sites visits impacting 7,000 citizens 10 provinces' ESDOs adopted SOP process map 6 provinces' ESDOs were institutionalized (space, staff, etc.) 8 provinces' ESDOs database captured SD standards and site visits data 8 provinces' ESDOs delivered reports on standards and site visits indicators to PPDC

Background to Program Element:

To guarantee quality service delivery to their citizens, provincial governments and local departments have formed Essential Service Delivery Oversight (ESDO) working groups to measure and increase the level of essential services in underserved neighborhoods.

Using adopted SDPS, ESDO working groups are conducting site visits and citizen surveys to gauge services; make recommendations for improvement; coordinate and oversee implementation of these improvements; and conduct follow-up site visits and surveys to measure progress in closing service gaps. Findings are reported to provincial decision makers.



On October 9, 2013, the Karbala ESDO conducted a field test in the Al-Gatheer neighborhood. Excessive water turbidity at the Al-Orobah water transfer station was discovered, documented, and reported.

The PC Committee Chair revealed that the "lack of alum or use of expired alum in water treatment is contributing to high turbidity levels that reduce the overall effectiveness of chlorine. Labs confirm positive bacteriological and chemical tests."

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

Establishing ESDO workgroups to conduct activities within this intervention needed structuring these workgroups. During this program year, six of the eleven provincial ESDOs were institutionalized with Taqadum assistance. ESDOs members were formally designated to meet regularly, and had a defined action plan from which to conduct their adopted work plan. The membership of the ESDO workgroups is largely composed of staff from both the PC and GO. Structures were developed during the course of program year.

System (improved processes):

Service delivery performance standards (SDPSs) were pre-defined through conducting field tests and reporting their outcome. The shortcomings of the level of services on the ground were pointed out through the established performance standard. This resulted in improving services in the neighborhoods where the field tests are conducted. Prior to the systemized field-testing done by ESDO, there was no reliable process to evaluate services.

Skills (increased level of counterpart capability):

ESDO, members have got lots of on and off the job trainings, workshops and technical assistance without which they could not properly perform the work of the ESDO. They have learned to apply the ESDO methodology beginning with a rapid citizen scan, actual field tests, analyzing test results, writing recommendations based on the test results, and resurveying the field location after improvements are made. The knowledge gained last year was further reinforced though applying the know-how, lessons learned and best practices of the ESDO teams.



The Department of Sewage cleaning blocked manholes in response to the Anbar ESDO unit request

Water service delivery was also improved in targeted provinces this quarter, particularly in Anbar, Wasit, and Muthanna. The Water Department in Anbar replaced broken pipes in the main water lines to the 8 Shbat Neighborhood, and in Wasit a compact water treatment unit in the underserved Al-Hakeem Neighborhood has been installed to resolve a severe water shortage. In Muthanna, a new unit to ensure chlorine levels were in an optimal range was purchased to resolve water quality problems.

As a result of GSP/ Taqadum’s interventions, provincial governments and directorates have worked together in each of the 10-targeted provinces (Anbar, Babil, Diwaniyah, Diyala, Karbala, Kirkuk, Maysan, Muthanna, Najaf, and Wasit) to improve water, sewer, storm water, and/or trash collection services in underserved neighborhoods. ESDO recommendations focused on quick action to immediately address service gaps while planning for permanent solutions for sustainability.

ESDO achievements took a fundamental upward turn this quarter with the adoption of official ESDO units/divisions, staffed and funded in six provinces: Wasit, Maysan, Diyala, Kirkuk, Diwaniya and Najaf. In Maysan, the second province to formally institutionalize the ESDO process, the Governor approved the establishment of an “ESDO Division,” which will report directly to the Governor. The Division consists of four units: Performance Monitoring, Field Surveying, Data Analysis, and Public Awareness units.

Number of ESDO Site Visits	
Anbar	17
Babil	25
Diwaniyah	31
Diyala	8
Karbala	21
Kirkuk	24
Maysan	26
Muthanna	19
Najaf	16
Wasit	22
Total	209

Fifty-six PC, GO, and directorate officials from 10 provinces participated in the workshops held on March 10-11, and March 13-14, 2014. Taqadum brought the officials together so that the provinces could officially adopt the ESDO manual and database developed by Taqadum in coordination with service delivery officials in the provinces to better manage service delivery monitoring and oversight.

The newly developed ESDO database was installed on staff computers and will be used for better management of data, survey analysis, identification of service delivery gaps, and for more effective reporting.

Summary Evaluation

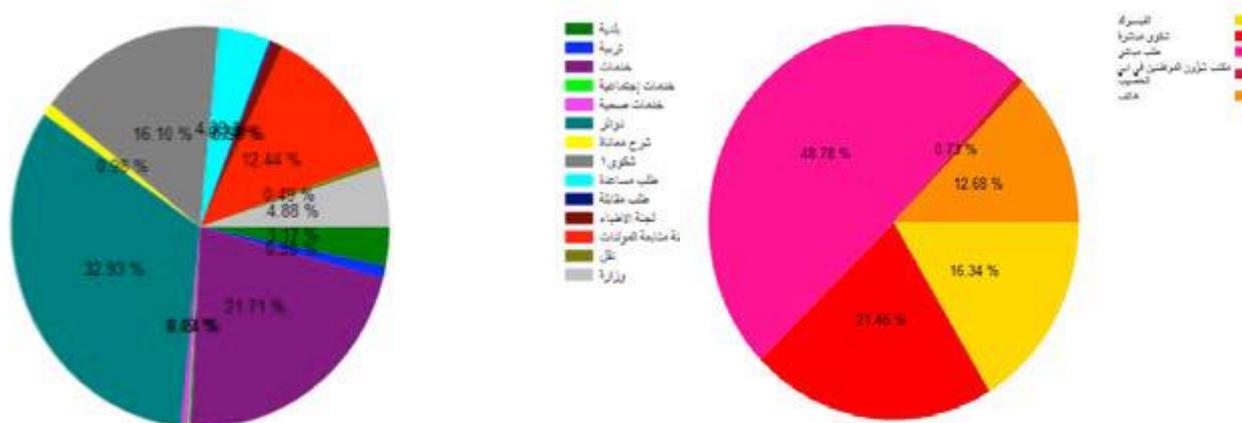
The most successful Taqadum intervention was in this program element as evidenced by the improvements in services in the areas that were field-tested and the associated cost of these improvements. As evidenced, officials demonstrated their commitment to ESDO interventions by USD \$47,897,248 to purchase heavy equipment for the municipalities department, Pipe cleaning, supply and test Chlorine Equipment, and water network strengthening to improve services. This ensures sustainability in addition to institutionalizing ESDO units in six provinces.

2.7 Citizen Service Desks (CSD)

Impact	Improving service delivery quality by establishing functional oversight units and measuring line ministry level of services
Accomplishments	10 Provinces have ITRS Standard Operations Process (SOP) adopted and implemented 10 Provinces have ITRS reports generated and submitted to PC or GO 8 Provinces have COMSEC provide PC CSD with hotlines 8 Provinces have GO or PC hotline data recorded into ITRS 9 Provinces posted CSD services and contact information posted 9 Provinces published Line ministry performance information from ITRS 6 Provinces have Customized ITRS reports submitted to PPDC

Background to Program Element

Citizen Service Desks (CSDs) are an interface connecting citizens and local government. GSP/ Taqadum interventions have resulted in the establishment and/or enhancement of CSDs in PCs and GOs in 15 provinces. A key contribution of GSP/ Taqadum's CSD support is the Issue Tracking and Reporting System (ITRS). GSP/ Taqadum developed this electronic system to serve as a tool to record citizen issues reported to provincial officials and to facilitate the PC monitoring and GO oversight of directorates that provide citizen services. The system can sort information to facilitate analysis and producing summary reports for decision makers. Additionally, reports from the ITRS provide documented evidence of citizen needs that can guide ESDO units in identifying service delivery gaps, and can be used by PPDCs, GOs, and PCs when formulating provincial plans and budgets.



The above charts are from Basrah's February 2014 ITRS report. The chart on the left shows issue reported by sector or type (health, education, etc.), while the chart on the right shows issues reported by source (walk-in, hotline, etc.). In February 2014, 411 new issues were reported and entered into the ITRS.

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

In coordination with the Council of Ministers Secretariat (COMSEC) which guides the CSDs - to better understand systems, and more effectively implement the ITRS database application that records and analyzes

citizen issues. This program year, as part of the ITRS adoption and capacity development, provinces accepted coherent standard operating procedures. COMSEC was using the created automated national ITRS GO database with Taqadum assistance.

System (improved processes):

The summary ITRS automated reports include tables and charts that allow the reader to quickly understand the status in the province. The advanced system of ITRS (version 2) installed could generate graphics summarizing citizen issues by sector, the location of issues by district, the proportion of issues that have been resolved (closed), etc. are automated and available in the system.. Prior to ITRS, this capability did not exist.

Skills (increased level of counterpart capability):

PC and GO CSD Managers from 13 provinces learned how to adopt and apply standard operating procedures and basic management tools to continuously improve their CSD function. In addition, workshop participants learned data-based evaluation techniques for analyses, developing reporting routines, and implementing changes or improvements as needed.



One of the

USAID officials and Taqadum COP and staff met with the General Director of the Citizen Affairs Office at COMSEC, Mr. Mohammed Al-Temimi.

promising outcomes, Mr. Al-Temimi announced that he would propose that the Council of Ministers draft a law on CSDs to grant them the authority to directly contact service delivery directorates and request action. Currently, most of the CSDs contact directorates via the GO or PC, which causes unnecessary delays in resolving service delivery problems.



At the Taqadum CSD workshop in February 2014, participants discussed ways to standardize and improve upon the management of CSDs in the provinces.

Summary Evaluation

The ITRS system and the SOPs adopted were of great help to the CSDs in PCs and GOs that the auxiliary reports with the detail of each case entry are also automated and available as necessary. By glancing at the summaries, CSD Managers can understand workload, time and day of requests, and other variables that can help them more efficiently deploy the CSD staff.

Additionally, GSP/ Taqadum has succeeded to facilitate the process and speed up the response since policy makers can quickly understand the areas of need by tracking the originating district of the issues reported and the sectors of greatest concern to citizens reporting. The responsiveness and performance of ministry directorates can be monitored by viewing the average number of days elapsed until the ministry first responds and the average numbers of days until issues are resolved.

2.9 Sub-legislation Implementation Tracking System (SLIT)

Impact	Analyze the legislative process and propose improvements, develop a system to archive valid sub- legislation passed in the province and track it over time to assure implementation.
Accomplishments	12 provinces' SLIT working groups (composed of PC & GO staff) were established 12 provinces have mapped and analyzed existing legislative process 12 provinces' PCs received training on legislative drafting 12 provinces have SLIT databases archive sub-legislation 11 provinces used SLIT databases to track implementation 1 province took corrective action to ensure implementation 4 provinces have institutionalized SLIT units under PC structure

Background to Program Element

Provincial councils (PCs) pass orders, rules, regulations, and other types of legislation under the authority granted to them under Law 21 and its amendments. Once passed, legislation must be implemented by the provincial executive, the governor's offices (GOs). Legislation must be properly formulated and enacted; structured so that it is easily understood, the responsibility for its implementation defined; funding identified, if necessary; and its Implementation must be tracked. GSP/ Taqadum developed the electronic Sub-Legislation Implementation Tracking (SLIT) system to provide a sustainable tool that can be used by provincial officials to archive legislation and produce regular reports on the implementation status of legislation for appropriate decision makers.

Number of Laws and decisions Archived into SLIT Database during FY2014	
Anbar	315
Babil	40
Basrah	40
Dhi Qar	114
Diwaniyah	52
Diyala	71
Karbala	170
Muthanna	92
Najaf	56
Ninawa	44
Salah Ad Din	24
Wasit	174
Total	1,192

GSP/ Taqadum continued to build the capacity of the nascent SLIT Sub-committees to enter and archive PC decisions. The system now serves as a legislative archive and generates implementation-tracking reports in 12 provinces.

As the archives were populated and reports were generated, questions arose regarding legislation not implemented. As a result, reports and inquiries were sent to GOs asking for the reasons why specific PC legislation has not been implemented. Once officials are aware of problems, barriers to implementation can be identified and cleared.

Evaluation of Structure, Systems, and Skills

Structure (augments organizational structure):

Four provinces (Babil, Basrah, Diwaniyah, and Wasit) have institutionalized SLIT units under the structures of their PCs. Including these units, a total of twelve joint PC and GO task forces were formed to track sub-legislation. GSP/Taqadum worked through these task forces in developing an action plan to better track sub-legislation and to

take corrective action.

System (improved processes):

Process maps were developed to represent a system in place to follow. After the joint task forces defined and clarified the current legislative process through process maps, PCs passed and identified implementation status of located legislation and used the electronic database as a tool for monitoring implementation status. Previously, before GSP/ Taqadum's intervention, such systemized approach to track sub-legislation was not there.

Skills (increased level of counterpart capability):

During this program year, Legislative Drafting and Creating a Legislative Process Map were conducted for 12 provinces. PC members and staff have been trained on the principles of effective legislative drafting, legislative drafting standards, and how to develop and adopt a process map to track the implementation of legislation issued by the PC.



Participants at the legislative drafting workshop in Basrah posed numerous questions to Taqadum's National Legislative Specialist

Summary Evaluation

In response to understanding the importance of good drafting, some PCs have established legislative drafting committees to review all legislation issued. These committees allow experienced drafters to correct drafting errors and serve as a training ground for less experienced staff. The SLIT program element has gained the buy-in by the provinces targeted with this intervention. This program year, GSP/ Taqadum succeeded in consolidating these gains and worked to institutionalize this function to ensure its sustainability. Additionally, through this element the door was opened widely for the Administrative Decentralization.

Implementation of trainings on gender responsive budgeting; support to establish the National Gender Network with bylaws and advocacy training for members.

- Taqadum held the “National Conference on Developing Local Legislation to Stop Violence against Women” in Karbala, March 22-23, 2014. The conference was attended by approximately 90 participants including the Prime Minister’s Advisor for Women’s Affairs, the Governor and PC Chair of Karbala, women PC members, activists, academics, representatives of civil society organizations, USAID and UNAMI.



National Conference on Developing Local Legislation to Stop Violence against Women

- During the month of March, GSP/ Taqadum supported International Women’s Day celebrations in 11 provinces. This year, GSP/ Taqadum organized activities around the idea of female PC members being advocates of devolution. GSP/ Taqadum designed and supported these events in a university setting where female PC members delivered a presentation to students and faculty on *Why the Second Amendment to Law 21 is Important to Local Government*.

Approximately 1,319 individuals attended the 10 province-level celebrations. The VIPs attending included Dr. Bushra Zweini (in Salah ad-Din), several Governors and PC Chairs.



Dr. Ebtihal Al-Zaydie, Minister of State Ministry for Women’s Affairs speaking at the International Women’s Day event in Muthanna.

Woman's International Day Celebrations

#	Province	Venue	No of Attendants
1	Babil	College of Fine Arts	160
2	Baghdad	AL-Mansour Milia Hotel	204
3	Basrah	ManAWI Basha Hotel	40
4	Diwaniyah	Diwaniyah Teachers Prerations Institute	83
5	Diyala	Diyala University/ Cultural Center	300
6	Karbala	Bait Al-Jood Hotel	96
7	Kirkuk	Kirkuk University Hall	83
8	Maysan	Maysan University/ College of Law	59
9	Najaf	College of Arts	117
10	Salah Ad Din	Culture Palace	105
11	Wasit	Cultural Center	72
Total			1,319

Summary Evaluation

GSP/ Taqadum intervention had a key role in empowering women to take ownership of the National Gender Network and to work towards passing provincial level law prohibiting violence against women. Additionally, NGOs adopted GSP/ Taqadum’s approach of holding public meetings to integrate different stakeholders into the planning process; particular attention was paid to the needs of vulnerable populations in the provinces of Ninawa, Salah ad-Din, Diyala, Babil, Diwaniyah, Karbala, Najaf, Wasit, and Dhi Qar.

COST EFFECTIVENESS

GSP/ Taqadum’s streamlined and integrated approach to M&E helps make evaluating impact a cost effective initiative. By integrating monitoring and evaluation into staff’s scope of work, GSP/ Taqadum ensured that M&E was happening in a cross-cutting comprehensive manner and that data was being collected and analyzed from the ground up. This approach helped contain costs as no additional funds were needed to implement daily M&E activities. GSP/ Taqadum also had a dedicated M&E team to manage the project’s M&E platform to control documenting activities, counterparts, participants and the government cost share. M&E database and filing system was improved during this program year to make the reporting data and documentation as precise and easy to gather.

LESSONS LEARNED

In this section, the lessons learned are specific to Monitoring and Evaluation. These have nothing to do with the separate *Lessons Learned and Best Practices* report

Lesson Learned #1:

Setting a Measuring System to Manage Well

Forming monitoring and oversight units and developing field test performance standards were targets in common among most of GSP/ Taqadum elements. The project has been successful in its application and impact as evidenced by the remedial actions taken by directorates to improve services.

This approach and its application is the core of strengthening management and in turn governance. It needs to be considered in most of future development programs.

Lesson Learned #2:

Program Indicators has to Account for the Duration of Executing

During the program year, the timeframe for implementation was only six months. The 24 indicators set to measure performance were too much that caused a big load on collecting supporting documentation on GSP/ Taqadum's M&E platform. Especially, GSP/ Taqadum had to release field staff after the six months of implementation making it so hard to collect the evidence such as official letters, government reports and late events documentation.

Since some of indicators are inter-related, the number can be reduced in order not to put another burden on field staff in collecting documents, especially M&E team is highly cost effective in this project. This will ensure that field staff being more focused towards achieving the project targets.

This needs to be taken in consideration when setting up related indicators and number of indicators should be balanced with the life of project.

Lesson Learned #3:

Improving the Roadmap towards Efficient Decentralization

As GSP/ Taqadum reached the point that local governments have improved structure, system, and skills, it's time now to prepare these governments for the decentralization mentioned in Law 21 with its amendments to correspond to the devolution. During the life of GSP/ Taqadum, local governments became more independent and had the confidence to be better than the central government in delivering services to Iraqi citizens.

It's time for USAID to think deeply in designing mature programs for planning and executing the devolution of authorities and functions from the center to the local governments.

RECOMMENDATIONS FOR FUTURE GOVERNANCE SUPPORT

This section outlines future governance support. This support is not considered a part of current activities but is illustrative of future governance support.

The four recommendations below, related to measuring local government ahead of devolution as a consequence of the Second Amendment to Law 21, are linked together.

Recommendation #1:

Establishing Monitoring and Evaluation Units in PC and GO

The establishment of a monitoring and evaluation unit in the PC and GO is designed to ensure that key decision-makers during the devolution phase can quickly grasp the progress of this considerable endeavor by reviewing key performance indicators and take the necessary actions to remedy potential problems.

Additionally, the work of the M&E unit can be linked to the variety of improvements being conducted by the internal consulting units working on organizational development improvement solutions. The M&E unit could also be used to collect other important management data for planning and decision-making processes.

Recommendation #2:

Enacting Local Revenue Collection Laws and Instructions

Law 21 includes several sources for local governments to collect revenue. However, it lacks laws and instructions for the collection and use of these revenues. Enacting such laws and guidelines will assist local governments in generating revenue and help them meet citizen's needs with fewer instances of corruption and misuse.

Recommendation #3:

Scientific Citizen Satisfaction Survey of Public Service Delivery Prior to Devolution

Article 45 of the Second Amendment to Law 21 devolves the functions and authorities of eight key ministries. Ahead of this move to decentralize duties, services, and competencies to local administrative units, a set of baseline surveys to gauge citizen satisfaction with the services provided by these ministries needs to be conducted. The survey will be scientific in nature to establish a level of confidence in its results and so that future surveys and competent comparisons can be made.

The support for a scientific survey of current public services establishes a respected benchmark for local government to hurdle upon partial or full devolution, a minimum expectation from citizens that will surely increase over time. This is a critical step because it immediately frames performance through a measurement platform from which a default goal is established.

Recommendation #4:

Benchmarking Public Services at the Start of Devolution

The support articulated here is to benchmark key current processes that impact public services, delivered directly or indirectly, from the devolved ministries. Benchmarking these services lays the foundation to improve back-end processes that are being transitioned to local administrative units and helps to ensure that local government is at least positioned to gradually improve service delivery and by extension, citizen satisfaction of the services provided. Two important issues for managing public services efficiently and effectively in Iraq are 1) establishing a performance management plan and benchmarking indicators within and with other countries, and 2) establishing a local government code to guide and help public officials in decision making without being paralyzed by unknown or conflicting laws.

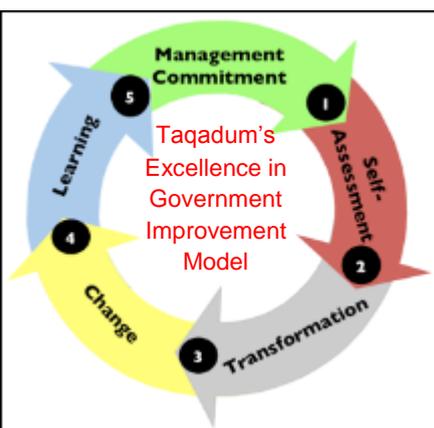
Annex A. Program Highlights and Success Stories



Impact

Creating Sustainable, Continuous Self-Improvement in Local Government

The Organizational Self-assessment and Transformation Program (OSTP) is a comprehensive and holistic approach for building the capacity of public sector organizations to continuously improve their performance. It is based upon a model of government excellence with three pillars: Citizen Focus, Effectiveness, and Transparency. The organizations conduct a benchmark self-assessment using the five OSTP criteria - *Leadership, People (Human Resources), Knowledge, Processes, and Finance* – to measure performance in relation to the three pillars, and implement improvements based on the findings. The OSTP model includes five phases implemented in a continuous cycle to achieve and maintain organizational excellence.



Institutional Development

“The success of our continuous improvement effort is due to Taqadum’s guidance and the dedication of our staff who made meaningful decisions and did the work. I have never worked with such a worthwhile program before.”

Mr. Mohammad Omran, Babil Province Governor’s Office

Taqadum is implementing a program of continuous institutional development and self-assessment for provincial governments, based on proven improvement methods used in post-conflict countries. Fundamentally, Taqadum’s Excellence in Government endeavor, the Organizational Self-Assessment and Transformation Program (OSTP), is a bottom-up approach to organizational self-assessment against standard best practices, develop a roadmap to address deficiencies and implement changes. The cycle is then repeated.

The unique features of this program are:

- A bottom-up driven process complements management commitment from the top. This is a significant departure from the organizational norm in Iraq, where a position-based hierarchy is common and manifests itself in a “directive” approach, which suppresses individual or group initiative.
- Team members are trained to use the methodology and immediately apply it to the functions and processes of their own offices. Progress and improvement are then measured. After one improvement cycle is completed, the teams can operate on their own to repeat the next improvement cycle. From inception, the program builds a sustainability premise through learning by doing and allows team members to make substantive recommendations for management consideration.
- Sharing knowledge among a network of practitioners is a defined activity in the continuous improvement cycle. In a society that does not yet understand the power of shared information and shared governance, Taqadum’s OSTP is breaking down barriers—leading to positive change in organizational behavior.

Revised Provincial Finance Results in Citizen-centered Planning and Budgeting

TAQADUM'S APPROACH

Taqadum's holistic approach addresses public financial management systems, as well as planning and budgeting. It is demand-driven and emphasizes the integral role the provincial government plays in achieving a coordinated, citizen-driven, fiscally responsible provincial development strategy. It is dependent upon transparent and accountable financial systems.

Taqadum presented its framework for strengthening the provincial financial management system this February in its First National Workshop for Provincial Financial Systems Reform. Eighty-three senior financial managers from the PCs and GOs responsible for the management and operation of the provincial financial systems attended the workshop from 14 provinces.

Under the guidance and direction of Taqadum staff, participating Governor's Offices and Provincial Councils gained a common understanding of the weaknesses and limitations inherent in the existing financial system. Together they looked for opportunities to improve, and agreed on an action plan. Immediately following the workshop, Taqadum received letters signed by Governors and PC Chairmen requesting support in reforming existing Provincial Financial Management Systems, indicating willingness and commitment to cooperate with Taqadum to implement financial system reform.

Based on the recommendations of the workshop, Taqadum offered solutions to the challenges identified with regard to the legal framework related to provincial financial systems, in addition to capacity building assistance in the provinces.



Eighty-three senior financial managers from the PCs and GOs of 14 provinces participated in Taqadum's National Workshop for Provincial Financial Systems Reform, February 13-14.

PFM and Planning and Budgeting in the provinces each showed significant improvement according to the GSP index gauging Taqadum's impact

The Issue

The ability of Provincial Government to respond to the need of citizens, exercise monitoring and oversight, and comply with Ministry of Finance and Ministry of Planning requirements demands strong, integrated financial processes supported by skilled officials trained to carry out their fiduciary responsibilities to the citizens of Iraq.

TARGETED, DEMAND-DRIVEN

Enlightened and empowered by the workshop, the Dhi Qar GO requested that Taqadum build their capacity in one specific financial management process, letters of credit (LOC). The LOC is an important tool enabling local governments to expeditiously purchase goods from external suppliers and facilitate foreign companies working in Iraq. At the time, Dhi Qar outsourced its LOC requirements to an institution affiliated with the Ministry of Industry. This lack of internal capacity meant that the Dhi Qar local government was forced to expend additional resources for a service that was not always available—slowing down local government operations and impeding their ability to effectively deliver basic services to citizens.

Taqadum conducted a LOC training session for the Dhi Qar GO Audit and Accounting sections. The training included a general introduction to the LOC concept, LOCs types and respective elements, international commercial terms, and Article 9 of the Iraqi governmental contracting law related to documentary credits. The practical capacity building session centered on a real world Dhi Qar requirement. The GO Audit and Accounting Sections wanted to issue a LOC to a French company they had contracted to build a bridge in the provincial capital, Nasiriyah. Mr. Hazem Mohammed, Deputy Head of the Budget Accounts Section, thanked Taqadum for the timely intervention and stressed that this training would enable the GO to open a documentary letter of credit without resorting to outsourcing. In fact, shortly thereafter, the Governor of Dhi Qar issued an administrative order for the GO to establish a Letters of Credit Section, naming Hazem as the Head of the new section.

Taqadum has since assisted five provinces in opening Letter of Credit sections, which have collectively issued nine LOCs. This has increased the provincial capacity to contract international companies and speed up the completion of capital projects.



Taqadum works with Dhi Qar Governor's Office Audit and Accounting staff at a training on Letters of Credit

“Taqadum provided us with a very useful and needed training. We were not able to issue our own letters of credit before, so we had to depend on third parties in this regard. Now, we can do it by ourselves.”

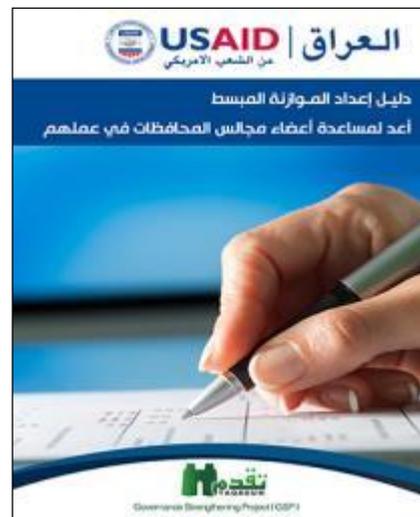
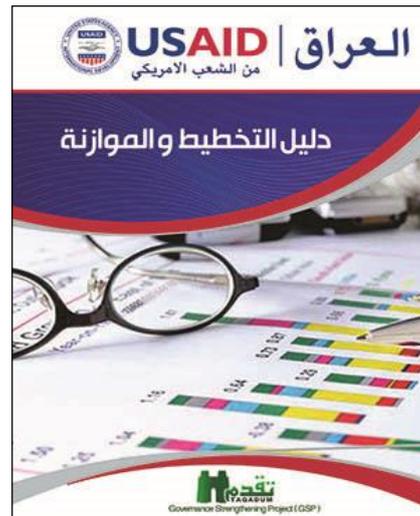
~ Mr. Hazem Mohammad Al-Jali

Head of the newly formed Letters of Credit Section in Dhi Qar

SUSTAINING PUBLIC FINANCIAL MANAGEMENT, PLANNING, AND BUDGETING BEST PRACTICES

Taqadum developed a number of manuals to guide financial staff in PCs and GOs in their effort to improve financial management systems, including the Provincial Planning and Budget Preparation Manual. This manual was developed in close collaboration with relevant stakeholders including SMO PA and participating GOs and PCs. Key objectives for the Provincial Planning and Budget Preparation Manual are to: improve overall budget planning practices; integrate development planning with the budgeting process; link planning functions to the PPDC; and, outline mechanisms for citizens' participation in the provincial decision and policy-making processes.

Taqadum also developed a Self-Audit Manual which will contribute to inventory control and the internal audit process; and a Simple Budget Guide to aid PC members in the role in the budget process, especially in addressing the needs of their citizens. Taqadum will distribute these three manuals in 15 provinces to aid provincial officials and financial staff as they endeavor to resolve their financial management issues.



Baghdad Citizens Take Active Role in Provincial Service Delivery

They turned out from all over Baghdad to attend their Provincial Council's (PC) first ever citizen participation meeting. One hundred and forty three representatives from the media, local District Councils, NGOs – even tribal leaders – came to listen to, and speak about, Citizen Participation in local government processes – a concept supported by recently passed provincial Sub-Legislation. Citizen-inclusive policy-making is one of the USAID Governance Strengthening Project's (GSP) many activities in support local governments throughout provincial Iraq.

The PC meeting, held in February of 2013, was the most highly attended provincial meeting since the 2009 local elections. It was organized with the assistance of GSP – also known as Taqadum – which had been working with the provincial government less than six months.

Top on the agenda was to determine how best to generate and incorporate citizen feedback into everyday provincial decision making. After listening carefully to its constituents, the PC decided to publish a booklet on the Citizen Participation Sub-Legislation; the importance of citizen engagement in local government; and how citizens can get involved in this process. It was decided that the booklet would be distributed to citizens through district councils, government entities and schools.

As has been the case throughout history, young people are often the most enthusiastic about taking part in local government. Educating youth on the importance of citizen participation is particularly crucial to the sustainability of the process – a first step in developing a new generation of democratic citizen activists. The Baghdad PC held a similarly successful public meeting in its Rusafa District later that month.

At both meetings, participants wanted to know how the provincial government intended to meet service delivery performance standards, which were introduced by Taqadum. These standards are intended to hold local governments accountable to citizens.

Participants voted to establish service delivery working groups, which will regularly elicit citizen feedback and evaluate the quality of service delivery.

Despite the hectic campaign and election period, the Baghdad PC plans to move quickly to pass a new service delivery performance standards law. The first services to be monitored will be potable water, sewage disposal, solid waste collection and road quality.

Taqadum has worked with PCs to pass and implement Citizen Participation Sub-Legislation in four provinces. Such legislation actively supports other successful Taqadum interventions, such as Service Delivery Performance Standards and Citizen Services Desks.



The **first** provincial-level public meeting in Baghdad attracted 143 participants.

Citizen-centered Local Government in Baghdad Province

“The participation of citizens in decision-making is the most important pillar of the local government and one of the most important ways to promote democracy.”

~ Mr. Ali Banyan, Baghdad Provincial Council Chair Representative

“...the community should contribute in the vision and decisions of the council.”

~ Mr. Sabbar Al-Sai'dy, Baghdad PC Member and Legal Committee Chair

Citizens' Voices Heard

SUSTAINABILITY OF PUBLIC PARTICIPATION

In 2013, 82 public meetings were conducted across 15 provinces with direct Taquadum support, and an additional 35 were conducted independently as a result of Taquadum capacity building.

117 PUBLIC MEETINGS In 2013



Dr. Ameer Khowa Karam, Daquq District Council Chair

TELKAIF CITIZENS OFFER LAND FOR COMMUNITY PROJECTS

In response to the education directorate's explanation that there was no available land for the school, citizens offered to donate the land.

Dr. Ameer Khowa Karam, Daquq District (Kirkuk) Council (DC) Chair was eager to begin conducting public meetings with Taquadum support. "It is important to improve communication between the [district] council and the citizens," he stated when planning the meeting early in 2013. In February 2013, men and women of various ages and backgrounds attended the Daquq DC meeting, many of whom voiced their opinions on the needs of the community. When citizens voted, the message was clear: water, electricity, and health services were priorities for their homes; and education and recreation were priorities for their youth. The Daquq DC thanked their citizens for their input, and took the citizen-recommended project priority list (PPL) under consideration.

Recently Dr. Ameer confirmed that the DC also cares about Daquq youth. He scheduled a special public meeting for youth, announcing the meeting through the Daquq Youth Center and similar organizations. Dr. Ameer announced to the young women and young men that were in attendance that the DC had adopted the priorities selected by the citizens in the February meeting, and the official Daquq PPL had been submitted to the Provincial Council. The youth were grateful, and they seized the opportunity to ask for more.

One of the concerns voiced was the Daquq Girls' Nursing School that has been under construction for two years and not yet completed. The youth also expressed concern over the 77 historic sites in Daquq that are in need of maintenance. Lastly, they asked about the amusement park that is under construction. Dr. Ameer promised follow up on all three issues: pressuring the contractor to complete the nursing school; having the DC tend to the historic sites; and follow up on the amusement park. The second phase of construction of the amusement park, the six-acre Daquq Park, which includes gardens, playgrounds, a large hall,

Provincial Officials Embrace New Roles and Responsibilities and Develop Understanding of Amendments to Law 21



Law 21 workshop participants found the give and take with Taqadum specialists to be particularly helpful.

Workshops Help Prepare Provincial Officials for Variety of New Duties

For more than two years Taqadum has worked with provincial governments to build capacity. The program recently picked up the pace, and its Institutional Strengthening Component is holding a nearly non-stop series of workshops to prepare newly elected officials for the new roles and responsibilities they will acquire through the passage of the 2nd Amendment to Law 21 – devolving new powers and authorities to local governments.

In November and December 2013 Taqadum held Law 21 capacity building workshop for 275 participants from 14 provinces. Attendees included Provincial Council (PC) members, key officials from Governors' Offices (GOs), and directorate heads of the eight ministries to be devolved. To increase participants' grasp of the law and its amendments, and to encourage discussion and knowledge sharing on effective and efficient implementation, Taqadum's legal specialists outlined the major authorities that will soon be the providence of the PC and the Governor.

Some of the skills the local officials seek to quickly acquire include legislative drafting, strategic planning, prioritization, policymaking, planning and budgeting, revenue generation, and financial management. PCs also need to master monitoring; and the GOs, oversight.

These workshops were designed to increase participants' understanding of upcoming challenges and to encourage discussion, so attendees could share knowledge. For years the provinces had to align with an external vision for provincial governance that came from the Central Government. Although the provincial vision must still align with the central government, it can now be tailored to the vision of local provincial leaders. Ultimately, they will have to function efficiently and effectively to deliver devolved services to their citizens and responsibly run their local governments.

During one of the workshop sessions, while participants were hearing about the tools they could use to implement their provincial vision, there was a sudden agitation, which spread across the room and hands shot up. One PC member stood and announced “But we don’t **have** this vision.” The session was immediately halted and provincial council members met with one another to rough out a mental sketch of what they wanted to see for their provinces. These local government officials had never before linked vision to policy.

At the post-discussion read out, some provincial council members were still discussing provincial vision. They continued to debate priorities. One official said his province should prioritize health because they had no doctors. Another said: “We need transportation because people have no jobs and need transportation to find work.” Finally, a woman PC member said with authority: “What we need is education, so we can have our own doctors and engineers.”

At the end of the workshop, participants said that they had a better understanding – and concern – regarding the upcoming changes in provincial roles, responsibilities and authorities as cited in Law 21, Amendment 2. They also had become familiar with the concept of such tools as Provincial Planning and Development Councils (PPDCs), Issue Tracking and Reporting System (ITRS) software, Essential Service Delivery Oversight (ESDO), and Citizen Service Desks (CSDs).



Provincial officials discussed the challenges they anticipate in implementing the second amendment to Law 21.



Baquba's Al-Ma'ahad Street to Rise Again

A vital 4.8 billion IQD project in Baquba to construct storm water sewers, pave, and install landscaping on Al-Ma'ahad Street, which serves the city's center, was stalled due to poor planning, inadequate scopes of work, and inaccurate bills. The **Diyala** GO's oversight working group, formed with Taqadum's assistance to improve oversight of capital projects, utilized Taqadum process maps, guidelines, and checklists to assess the stalled project. The working group identified the problems that caused the delay with the resident engineer, site engineer, and contractor. The discussion resulted in a workable plan to restart the project. The engineers are now reviewing options for a recovery plan in order to finish the project on schedule.



Process maps, guidelines, and checklists developed with Taqadum, helped the Diyala GO to restart a stalled 4.8 billion IQD project along Baquba's Al-Maahad Street.

Working with Contractors: Trust, but Verify

With provincial project oversight, the importance of a site visit is often overlooked. But without a provincial oversight presence, projects can easily slow to a crawl. This is the case in **Salah ad Din**, where renovation of the Tikrit Palace of Justice is behind schedule.

Taqadum accompanied the project oversight working group to the site and met with the project manager, resident engineer and contractor. The presence of all concerned at the site, at the same time, resulted in all parties agreeing on what was causing the construction delay and, as a result, what a revised production schedule for completion should look like. Meeting participants agreed to develop and implement an expedited recovery plan in cooperation with Taqadum.



Members of Salah ad Din working group during the site visit at the Palace of Justice construction site

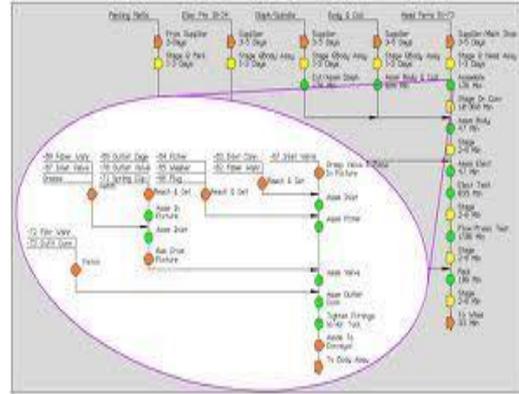
Taqadum accompanied the **Baghdad** PC project oversight working group as they conducted a recent site visit to the Al Fadael Elementary School in the Al Huria neighborhood. On this tour, Taqadum brought specialized site visit checklists for provincial working group members to fill out as they evaluated the quality of the work implemented at the school. They took in safety issues and noted other matters delaying completion of the building. The forms ensured all issues with the site were properly evaluated.

Process Maps Help Provinces See the Big Picture



The Baghdad project oversight-monitoring group at a provincial construction site

Site visits are just a part of the process of managing capital – or Accelerated Reconstruction and Development Program (ARDP) – projects. PC working groups must also watch budgets, pay contractors in a timely fashion, and maintain open lines of communications with project engineers and managers. These tasks, combined, will secure on-time project completion. Understanding that this is a complex process, Taqadum has developed Oversight Process Maps, specific to each province Project Oversight Working Group, to ensure quality execution of projects.



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Essential Service Delivery Oversight Facilitates Citizen-centered Government

Babil province’s Essential Services Delivery Oversight (ESDO) unit conducted a field test and rapid citizen scan in Al-Askary neighborhood in February 2013. The citizens’ revealed two critical service deficiencies: 95% of households indicated that they did not have the infrastructure capacity to pump water. And none of the 4,250 households in the neighborhood had trash receptacles, resulting in an unsightly neighborhood and unhealthy environment.

The Babil Water Directorate responded by expanding the potable water network to include another 86 houses in the neighborhood. And the municipality distributed nearly 1000 trash receptacles in three of four areas in the neighborhood. Even nearby neighborhoods are receiving increased attention and service.

Through its ESDO initiative, Taqadum is helping Provincial Councils’ (PCs) and Governor’s Offices’ (GOs) to respond to community needs with effective solutions—elevating confidence in local government and empowering local officials to exercise municipal government oversight. Taqadum is working along-side PCs and GOs across the provinces to establish ESDO units and develop Service Delivery Performance Standards (SDPS) to evaluate and monitor—first hand—such basic public services as solid waste collection, access to water, and sewage treatment.

ESDO Visits in 2013	
Anbar	9
Babil	9
Diwaniyah	16
Diyala	4
Karbala	4
Kirkuk	12
Maysan	10
Muthanna	5
Najaf	8
Wasit	8
Total	86



A family in the underserved Al-Askary neighborhood of Babil, receive one of nearly one thousand trash receptacles distributed as a result of Taqadum’s ESDO Intervention.

The Issue

Through the Essential Service Delivery Oversight (ESDO) initiative, Taqadum is helping local governments respond to community needs with quality solutions—elevating citizen confidence in local government and empowering local officials to exercise municipal government oversight.

A family in the underserved Al-Askary neighborhood of Babil receives one of 750 trash receptacles distributed as a result of Taqadum's ESDO Intervention. In the same point, the municipality distributed 1000 trash receptacles in three areas of four areas in Al-Askary neighborhood. In addition to more service for the adjunct neighborhoods in the area, the water directorate in the province responded to the citizens needs through expanding potable water network to cover 86 houses in the neighborhood.

Mr. Muhammed Hasan, a small shop owner near the new water network in Babil explained that they had been requesting assistance for some time: "We went to the official departments several times, but got no response. Now we are very happy to get the water connection in our houses."



The Municipal Water Department in Babil is expanding the potable water network to include an additional 86 houses.



Observing the quality of services delivered to the citizens and comparing them with the standards

In Wasit, the Al-Hakeem Neighborhood was suffering from a lack of water for the past several years. During an ESDO unit visit to the neighborhood - and testing the water quantity provided to the neighborhood and comparing it with the standards, the results showed that the water quantity is not sufficient for the neighborhood and not covering the whole area especially at the end of the water network due to the factories illegal access at the beginning of the water network. After taking three random samples of water provided in order to test the quality of water, the result exceeded the limits of drinkable water standards. Accordingly, the ESDO unit developed two kinds of solutions:

1- **Immediate and rapid solution:** By communicating with the mayoralty of Al-Qut to halt the illegal access to the water network. They also provided three containers with a capacity of 10,000 liters, filled by the water directorate regularly; and

2- **Long-term solution:** The Wasit governorate listed a project within the provincial development plan to build a water station with the capacity of 500 cubic meters per hour. The project was approved and referred in November 2013.

Wasit province officially established an ESDO unit in November 2013, which was the first unit in Iraq.



Wasit province established ESDO unit



Taqadum's *Issues Tracking and Reporting System (ITRS)* improves Citizen Complaint Tracking, Management Oversight Reporting and Service Response times

Impact

Strengthening Provincial Government through Institutionalizing Critical Functions



The Issue Tracking and Reporting System (ITRS) software developed by Taqadum will help improve response times at Citizen Service Desks (CSDs).

Citizen Service Desks

A Citizen Service Desk (CSD) is integral to enhancing citizen-focused public service delivery. Fundamentally, a CSD is a one-stop shop for information about provincial government services and is the channel to resolve citizen complaints. As an interface between citizens and local government, a CSD is a convenient resource to address citizen needs.

Taqadum first began its CSD support to the provinces by facilitating the establishment of the joint Baghdad Provincial Council (PC) and Amanat CSD working group. Members are working together to unify their systems for accepting and referring citizen complaints to the appropriate municipality.

In 2013, technical assistance from Taqadum resulted in the establishment of new CSD in the Provincial Councils of Diyala, Wasit, and Maysan. Taqadum is providing on-going assistance to train staff, refine complaint procedures, including the use of the Issue Tracking and Reporting System (ITRS), to enhance overall service desk functions.

Taqadum is also providing on-going technical assistance to CSDs in Governors' Offices (GOs) and PCs in Anbar, Baghdad (PC and Amanat), Basrah, Diwaniyah, Karbala, Kirkuk, Maysan, Najaf, Ninawa, and Wasit.

Taqadum completed an assessment of existing CSD functions in 12 provinces, which resulted in the development of a database-driven *Issues Tracking and Reporting System (ITRS)*. The system is designed to improve issue tracking, status reports, and overall service responsiveness. ITRS has been installed in 15 provinces, and is at a various stage of implementation in each province.

The Council of Ministers' Secretariat General (COMSEC) Citizens' Affairs Department has played an active role in further improving services at CSDs, in cooperation with Taqadum, by providing hotlines for PC CSD offices.

CSDs, Monitoring, Capital Budgeting, and Service Pledges

CSDs are the physical front-end to several integrated Taqadum activities to strengthen executive oversight. Through the establishment of Essential Service Delivery Oversight (ESDO) units or working groups, Taqadum is providing technical assistance to PCs and GOs to develop and field test service delivery standards, has resulted in identifying deficiencies in service delivery. Field test results now serve as benchmark inputs into the planning and budgeting process, aligning essential citizen needs to available resources. As a consequence, and for the very first time, local government is able to link capital and operating budgets to a pledge to provide defined levels of quality service. Against this backdrop, Citizen Service Desks serve to gauge the effectiveness of provincial service pledges and facilitate more measured responses.

SLIT Reports Provide Information for Decision Makers

Provincial Councils pass rules, regulations, and other types of legislation under the authority granted to them under Law 21 and its amendments. Once passed, legislation must be implemented by the Governor's Offices. Taqadum developed the electronic Sub-Legislation Implementation Tracking (SLIT) system to assist PCs in monitoring implementation by the GO of sub-legislation passed by the PC. Ultimately, the SLIT system will provide a sustainable tool that can be used to produce regular reports on the implementation status of legislation for appropriate decision makers.



The Ninawa joint PC-GO Sub-Legislation Implementation Tracking (SLIT) committee issued its first SLIT report using the electronic SLIT system developed by Taqadum.

Sub-Legislation Implementation Tracking (SLIT) Committees Address Challenges

Taqadum hosted a national workshop entitled *Adopting the Sub-Legislation*



Taqadum hosted a national workshop entitled *Adopting the Sub-Legislation Implementation Tracking (SLIT) Electronic System and Drafting Effective Legislation*, October 23-25, 2013. Participants included representatives from central government and 12 provinces.

Implementation Tracking (SLIT) Electronic System and Drafting Effective Legislation in October 2013. Participants included representatives from the State Shura Council, State Ministry of Provincial Affairs, PC members, Chairmen of PC Legal Committees, senior GO officials and advisors, and members of PC-GO SLIT joint committees, and programmers.

Participants were divided into working groups to discuss challenges they have faced in implementing the SLIT system, and then drafted recommendations to help overcome the challenges and help ensure the sustainability of SLIT. The key challenges included the following: 1) failure to establish an official PC-GO SLIT committee or PC taskforce; 2) lack of coordination in some joint committees; 3) lack of financial and administrative support from the PC and/or GO; 4) lack of skilled staff to implement legislative tracking and to use the electronic database; and 5) lack of interest in legislative tracking by provincial officials.

The last day of the workshop was focused on building the capacity of PC members and staff to draft legislation. Participants were instructed on how legislation is structured so that it can be understood and implemented.

The workshop resulted in the following recommendations:

- Adopt Taqadum's electronic SLIT system by the 12 PCs;
- Create a unit for the electronic archiving and tracking of legislation to be associated to the PC Legal Committee;
- Generate the final draft of SLIT working manual which will be distributed to all 12 provinces; and
- Develop a manual for legislative drafting to enable provincial councils to effectively and consistently draft local legislation.



Programmers participated in training during the workshop on how to use Taqadum's SLIT electronic system.

Progress towards Institutionalization

Provinces are committed to the success of SLIT. For example:

- In Wasit, the PC issued two official letters in which he named a manager and earmarked \$29, 000 for the purchase of equipment and supplies for the newly established SLIT unit;
- In Basrah, the PC has named a manager for its SLIT unit and is in the process of formalizing, initially, a 3-person SLIT unit in the PC; and
- In Najaf, the PC Chair allocated office space and a computer for SLIT Committee work.

Empowering Women Improves Local Level Basic Service Delivery

Efforts to raise gender awareness and focus government attention on women's issues have not been entirely successful over the last decade. Taqadum is not waiting for a national level response. Rather, it is educating women on the provincial government processes that dictate service delivery, highlighting access points and input mechanisms, as well as providing them with the tools to affect change, influence local government policy decisions, and exercise oversight.

Gender Specific Provincial Project Lists Drive Local Service Delivery Priorities

Throughout February and March 2013, Taqadum held workshops across Iraq on one specific tool, the Project Priority List (PPL). Taqadum held regional gender workshops in Baghdad, Najaf, Erbil and Basrah, bringing together more than 275 women and men, including community activists, female Provincial Council (PC) members, Gender Advisors from the Prime Minister's Office (PMO) and the State Ministry of Women's Affairs (SMoWA), as well as academics and representatives from Governor's Offices, NGOs, and district councils. The primary purpose of the workshop was to develop the first ever gender specific, province-based Provincial Project List. The gender specific PPL is a key input in the planning processes now underway in Provincial Planning and Development Councils (PPDCs), PCs and GOs across the country. During each workshop session, women discussed and voted on their community spending priorities.

The gender specific PPL for each province will be delivered to PC Members, the GO and the PPDC; a logical step towards mainstreaming gender-specific projects into an integrated planning platform for inclusion in funding considerations



Participants develop Gender Specific Public Policy Lists at Taqadum's Regional Gender Workshop in Basrah

Taqadum Gender Highlight

The Issue:

The Government of Iraq identified as one of the greatest risks to social stability their inability to improve delivery of basic services to Iraqi citizens—50% of whom are women. Nevertheless, women's community priorities at the local level are often underrepresented in Iraqi Provincial Development Strategies and/or fail to be realized when budgets are allocated and spent.

Taqadum's approach ensures citizen priorities are reflected in provincial planning and improves essential service delivery by empowering women.

As a result of the workshop, women are now educated on local government processes, including the importance of oversight. By taking ownership of the gender specific PPLs, women are now empowered to follow-up with their local leaders to ensure their priorities are reflected in provincial planning and expenditures, elevating their satisfaction with local government services. One oversight mechanism the women were briefed on is the citizen service desks (CSDs), another program area where Taqadum provides technical assistance.

Gender Responsive Budgeting

In addition to drafting gender specific PPLs, the workshops culminated in the *First National Conference on Gender-Responsive Budgeting* organized by Taqadum and held in October, 2013. This conference was held for both women and men from across Iraq. They were locally responsible for provincial budgets. This gender activity augments Taqadum's Financial Management, and Planning and Budgeting, activities.

Ensuring Sustainability: Connecting Iraqi Women

Through all of its project activities, Taqadum is actively targeting women throughout Iraq, particularly PC members, to create and empower a coalition of Iraqi women to institutionalize their role as drivers of provincial policy. Looking ahead, Taqadum will develop the network's capacity to formulate well-researched advocacy positions, which will be further supported by a communication campaign to include strategic media messaging. This spring, Taqadum launched a newsletter to maintain and strengthen this nation-wide network initiated through the gender workshops. A citizen-oriented management approach to public administration is only realized when women play an active role in defining and monitoring Provincial spending priorities.



The gender specific PPL ... delivered to the PC, GO and PPDC [is] a logical step towards mainstreaming gender specific projects into an integrated planning platform for inclusion and funding consideration.

Mobilization [of women] aimed at improving service delivery can have lasting effects on women's participation in civil society and their engagement with the state. ~ UNIFEM

“When we talk about gender, we should consider three important issues: 1) women's contributions to the decision-making process; 2) opportunities to create jobs for women; and 3) [increasing] women's income.” - **Mrs. Azhar Al-Turaihi, a Najaf Provincial Council member, at Taqadum's regional gender workshop.**