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LOCAL GOVERNANCE PROGRAM, PHASE III (LGP III) FIELD MONITORING REPORT

Government Accounting and Project Tracking Information System (GAPTIS)

May 15 2011

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LOCAL GOVERNANCE PROGRAM, PHASE III (LGP III) FIELD MONITORING REPORT Government Accounting and Project Tracking Information System (GAPTIS)



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EXECUTIVE SUMMARY

The “Government Accounting and Project Tracking Information System,” or GAPTIS, is a financial - capital improvement monitoring tracking system developed by USAID’s Local Governance Program Phase III (LGP III) to help provincial officials manage their projects and funds more effectively. This monitoring report, authored by Jeffrey Swedberg, looks at the status of GAPTIS in the final months before the end of LGP III to answer questions posed by USAID and is organized into five categories: 1. Statistics; 2. Impact; 3. Sustainability; and 4. Constraints. It is based on analysis of surveys administered to 68 GAPTIS supervisors and staff in 14 governorates. The survey questions were divided into categories and questions specified in USAID’s scope of work. In brief, the results were:

1. *Statistics*

- USAID-provided equipment is in place and functioning, except in Wasit where it was destroyed by fire set by demonstrators. Staff was trained in GAPTIS in all governorates.
- A significant majority of provinces (57%) use GAPTIS 2.1, the remainder use version 2.0.
- An index measuring GAPTIS unit performance against the “characteristics of Najaf” – a model province, indicate that 8 provinces score 80% or better against this standard.

2. *Impact*

- Reporting for 2010 is completed in all of the 14 provinces surveyed but one – Wasit.
- Satisfaction with data entry and utilization by GAPTIS supervisors and staff average 3.98 points out of 5.00 possible points – indicating a good aggregate level of satisfaction.
- The primary reasons for both high and low scores on the data entry satisfaction question had to do with perception of the technology. Most found it easy, but not all.

3. *Sustainability*

- While most GAPTIS supervisors agreed there is a plan in place for the Governorate to take over GAPTIS after LGP III closed, most did not think there would be adequate staff.

4. *Constraints*

- Problems cited included technical problems, including the inability to make the sort of changes that require programming skills, e.g. adapting reports or adding fields to meet specific provincial requirements. Given the frequent changes within governorates, the GAPTIS system will need occasional updates in programming.
- Lack of job security and dependence on short-term contracts was also cited as a constraint. Currently, most GAPTIS staffers are not full-time Governorate employees and may leave if more stable work becomes available. Short Term contracts make employees vulnerable to termination or transfer to other departments¹.

Five provinces – Anbar, Baghdad, Karbala, Najaf, and Maysan – are designated as “decentralization pilot” provinces. Each pilot GAPTIS unit received intensive training in the programming necessary to modify GAPTIS to make changes in the interfaces and trouble shoot problems as they arise. These are the five provinces where long-term sustainability for GAPTIS appears most possible after the end of LGP assistance. It is recommended that support be provided to more non-pilot provinces to avoid backsliding as staffers encounter problems they are not trained to overcome. There is a need for database programming skills throughout all Governorates to maintain the health of the system.² Full sustainability may not be possible otherwise.

¹ Not all of GAPTIS employees are short term contracts. In some provinces, GAPTIS employees are part of the permanent staff.

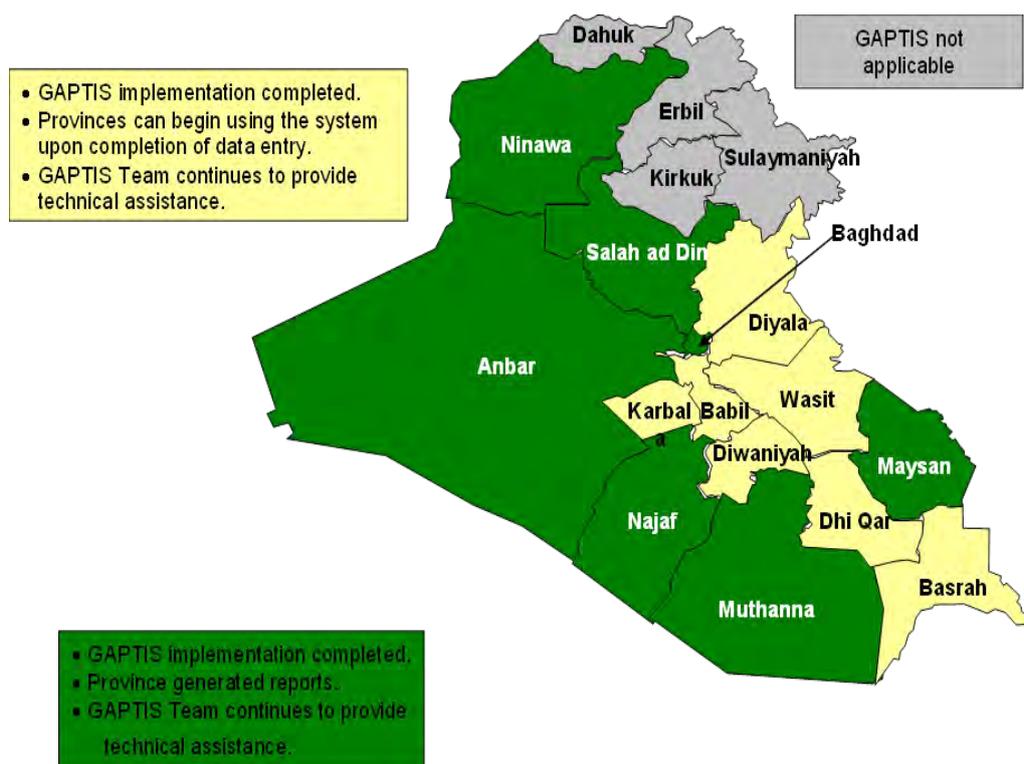
² The database is an essential part of the software. GAPTIS consists of two parts (data entry interfaces and database). Programming skills are required to modify and sometimes audit data saved in the database.

INTRODUCTION

The “Government Accounting and Project Tracking Information System,” or GAPTIS, is a financial - capital improvement monitoring tracking system. It was developed by USAID’s Local Governance Program Phase III (LGP III) to help provincial officials manage their projects and funds more effectively. LGP III is implemented by Research Triangle Institute/RTI International (RTI). With a start date of January 1, 2009 and end date of June 30, 2011, LGP III builds the capacity of local government officials through training, mentoring and coaching on aspects of local governance, including financial management, organizational development, strategic planning, and service delivery oversight. Employing Microsoft Access and Virtual Basic data collection and processing tools, GAPTIS is designed for a province’s specific needs. Some provinces use it purely for financial management, while some provinces use it for project management.

USAID/Iraq tasked the Performance Evaluation and Reporting for Results Management (PERFORM) project with monitoring GAPTIS in the final months before the end of LGP III to answer questions organized into five categories: 1. Statistics; 2. Impact; 3. Sustainability; 4. Constraints; and 5. Unanticipated Issues. The USAID Scope of Work (SOW) can be found in Annex 2. The organization and numbering of the questions was adopted from the SOW. The map below, taken from the SOW, illustrates the areas (in green and yellow) covered by this monitoring exercise.³

Figure I – GAPTIS Implementation Status



³ This report does not cover Kirkuk – indicated in the SOW map as an area where GAPTIS was “not applicable.” Although RTI established a GAPTIS unit in Kirkuk in November 2010, LGP III management indicated that the unit was too new to provide relevant information for this monitoring exercise. Moreover, including results from Kirkuk in the aggregated findings with GAPTIS provinces with several years of LGP III assistance would have a distorting effect on the data.

METHODOLOGY, FINDINGS, AND ANALYSIS

Methodology

The primary data collection instrument was a survey administered to employees of GAPTIS units – both supervisors and non-supervisory staff. The surveys were designed by PERFORM staff to address all questions in the Scope of Work. Data collection was conducted by six enumerators who were briefed on GAPTIS and trained in administering the survey before being split into three teams. They visited units in all GAPTIS-applicable provinces shown on the map on the preceding page. The lead data collector administered a long survey to the GAPTIS supervisors in all applicable provinces, while an associate data collector administered a shorter version to the corresponding data entry personnel (ranging from 2 to 11 individuals), most of whom were trained in GAPTIS. The results of these surveys provide the core of the analysis presented here. Annex 3 describes in detail the methodology used. In all, sixty-eight surveys were completed in the fourteen provinces.

Table I – Survey Coverage

Province	City	Supervisor	Staff	Total	Province	City	Supervisor	Staff	Total
Anbar	Ramadi	1	3	4	Karbala	Karbala	1	4	5
Babil	Hilla	1	4	5	Maysan	Amarah	1	3	4
Baghdad	Baghdad	1	4	5	Muthanna	Samawah	1	2	3
Basrah	Basrah	1	3	4	Najaf	Najaf	1	8	9
Dhi Qar	Nasiriyah	1	2	3	Ninawa	Mosul	1	11	12
Qādisiyyah	Diwanyah	1	4	5	Salah ad Din	Tikrit	1	2	3
Diyala	Baqubah	1	2	3	Wasit	Kut	1	2	3
					Grand Total		14	54	68

Further context for the analysis was provided by thorough debriefings with the PERFORM data collectors and with interviews with LGP III GAPTIS coordinators.

Findings and Analysis

I. Statistics: These questions relate to basic numbers of equipment received, people trained, the number of GAPTIS units engaged in non-financial reporting, and the level to which units met the standards of what is considered the model GAPTIS unit – Najaf.

I.1 The chart below (*Table II*) indicates the status of equipment in each of the provinces. The only provinces with reported maintenance needs are Babil (printers) and Wasit, where all equipment was damaged in a recent fire.

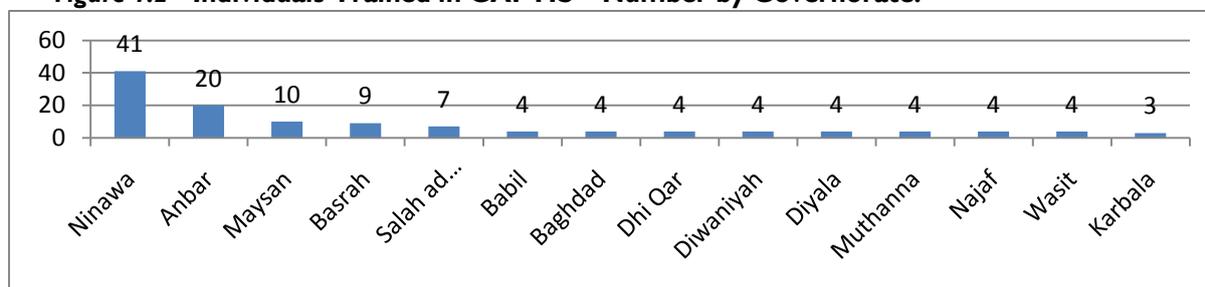
Table II – Status of GAPTIS Equipment

	Pieces of equipment provided by USAID	Date Delivered	Date Installed	Date Operational	Currently Operational?	Maintenance Needs
Anbar	2 PCs, 1 Printer	1-Jun-09	15-Jun-09	15-Jun-09	Yes	No
Babil	7 PCs; 5 Printers; 4 Scanners; 1 UPS	18-Oct-08	18-Oct-08	18-Oct-08	All but printers	Printers

	Pieces of equipment provided by USAID	Date Delivered	Date Installed	Date Operational	Currently Operational?	Maintenance Needs
Baghdad	10 PCs, 6 scanners, 6 printers ⁴	7-Sep-08	7-Sep-08	7-Sep-08	Yes	No
Basrah	4 PCs, 2 Printers, 2 Scanners	N/A ⁵	N/A	N/A	N/A	N/A
Dhi Qar	3 PCs; 1 Printer; 1 Scanner; 1 Hub	N/A	N/A	N/A	N/A	N/A
Diwaniyah	5 PCs, 5 Printers; 2 Scanners, 5 UPS	1-Mar-09	1-Mar-09	1-Mar-09	Yes	N/A
Diyala	6 Computers ; 1 Printer; 2 Scanners	15-Jun-09	1-Jul-09	1-Jul-09	Yes	No
Karbala	5 Computers ; 2 Printers; 3 Scanners	15-Nov-08	15-Nov-08	15-Nov-08	Yes	No
Maysan	4 PCs, 2 Printers, 2 Scanners	2008	2008	2008	Yes	No
Muthanna	5 PCs, 2 Scanners, 2 Printers	Dec,2008	Dec,2008	Dec,2008	Yes	No
Najaf	14 PCs, 6 scanners, 6 UPS,	15-Jan-11	15-Jan-11	15-Jan-11	Yes	No
Ninawa	11 PCs; Scanner and Printers	N/A	N/A	N/A	N/A	Yes
Salah ad Din	6 PCs , 2 Printers, 2 Scanners	26-May-09	N/A	N/A	N/A	N/A
Wasit	5 scanners, 3 printers, 1 UPS	14/04/2009	14/04/2010	14/04/2011	No	Yes

1.2 – The bar graph below (*Figure 1.2*) shows the number of individuals GAPTIS supervisors indicate were trained in each province. Most reported 3 or 4. Ninawa, with 41, had the largest number, followed by Anbar.⁶ Names are included in the tables of Annex 4.

Figure 1.2 - Individuals Trained in GAPTIS – Number by Governorate.



1.3a – Eight provinces use GAPTIS 2.1, the most recent version. They include Anbar, Babil, Dhi Qar, Diyala, Maysan, Muthanna, Najaf, and Salah ad Din. Five use GAPTIS 2, a more complicated, but more multi-faceted version. They include Basrah, Diwaniyah, Karbala, Ninawa, and Wasit. Baghdad uses 2.1, while the Amanat⁷ uses 2. No provinces report using GAPTIS 1.

1.3b. -The Characteristics of Najaf Scale aggregates ideal attributes for GAPTIS implementation. Najaf has a highly-developed GAPTIS unit and is considered a national model. An index has been drawn up to measure perceptions by both GAPTIS supervisors and staff on the degree to which their units measure up by the following criteria, identified by RTI as key to Najaf's success: Management; Coordination; Staffing; Equipment; Room; and Procedures (see Annexes for more

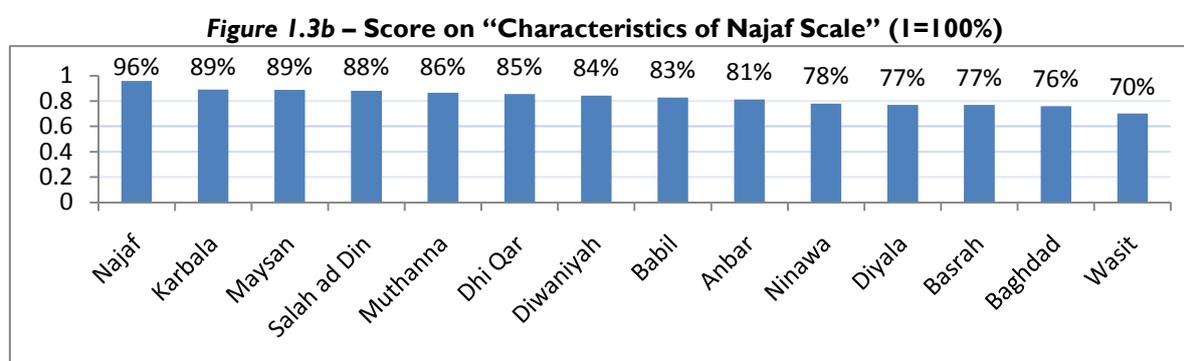
⁴ Includes the Amanat, an administrative division covering central Baghdad

⁵ N/A means no data was reported by the enumerators on this question.

⁶ Ninawa has a unique structure in which GAPTIS is incorporated in 19 governmental sites, increasing the number of people needing training.

⁷ The Amanat contains a GAPTIS unit, but was not covered by this monitoring report.

detail). *Figure 1.3b* shows the average of scores given by GAPTIS supervisors and a combined number of GAPTIS staff in each province. As would be expected, Najaf has the highest score on this measure⁸. Wasit, arguably the most problematic unit, has the lowest score.



1.4 - Non-Financial Reporting – All provinces indicated they produced non-financial reporting to the Ministry of Planning (MOP). Since all MOP Reports are linked to each other, once the user has generated MOP classification, he/she can generate all non-financial reports. A listing of these reports is in Annex 4.

2. Impact: These questions relate to the scope and frequency of GAPTIS usage. They focus on whether data entry is completed and the extent to which the required reports are produced. Questions also cover the views of GAPTIS users on the ease of using the system.

2.1 - GAPTIS is up and running in all 14 provinces for which data was collected.⁹ Of the 54 staff interviewed in the 14 provinces, all reported using GAPTIS. All indicated they use GAPTIS at least four times a week.

2.2a¹⁰ – d. - Reporting for 2010 is completed in all of the 14 provinces but one – Wasit. Eleven of GAPTIS supervisors in the fourteen provinces indicate they produce the reports required by the Ministry of Finance. Only the Wasit¹¹ Supervisor indicated “no”, while the Supervisors in Diyala, and Ninawa did not answer or said they did not know.

When asked to produce a copy of a report to the Ministry of Finance, 10 provincial GAPTIS units were able to do so, as seen in *Figure 2.2 d*

Table 2.2 d - Provinces that Produced Hard Copy of MOF Reports

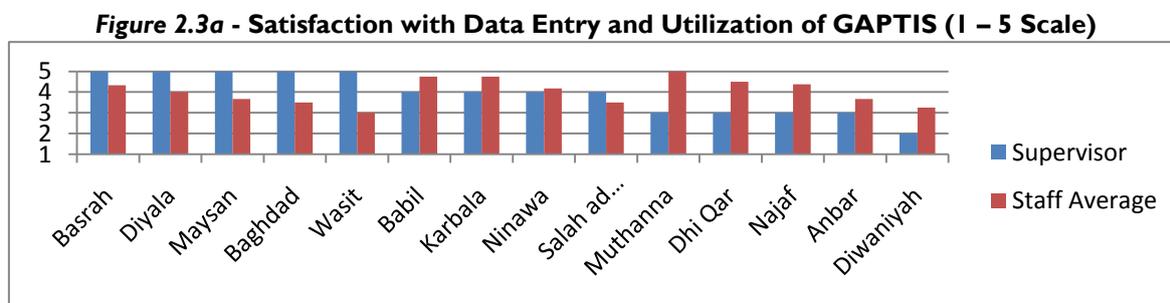
Anbar	Babil	Baghdad	Basrah	Dhi Qar	Diwaniyah	Diyala
Yes	Yes	Yes	Yes	Yes	Yes	No
Karbala	Maysan	Muthanna	Najaf	Ninawa	Salah ad Din	Wasit
Yes	Yes	Yes	Yes	No	Yes	No

⁸ GAPTIS employees were interviewed in Najaf to gauge opinion, as was the case in all other Governorates. While all non-supervisory staff in Najaf provided perfect scores on Question 1.3b, the GAPTIS supervisor did not – indicating that some GAPTIS staff had non-GAPTIS responsibilities and there was no GAPTIS stamp. The stamp is an official Governorate seal indicating that data has been entered into GAPTIS, after which original data document is archived.

¹⁰ Question 2.2a was on when GAPTIS training began, but is not included in this report. Results are available in Annex 4.

¹¹ Wasit began using GAPTIS later than other provinces. One of the governor's deputies (now replaced) was against automation in the governorate. These delays resulted in late completion of 2010 data.

2.3a - GAPTIS supervisors¹² and staff were both asked to rank their satisfaction with data entry and utilization of GAPTIS along a 1 – 5 scale, with 1 being the worst and 5 the best (Figure 2.3a). Interestingly, GAPTIS supervisors and staff did not always provide similar answers to this question. In all, the average scores are positive. When the supervisor scores are averaged with the staff average scores across all provinces the score is 3.98 out of 5.00 possible points.



After asking respondents gave the 1 to 5 score they did, the results were divided into the negative and positive.¹³ **Figure 2.3b i** illustrates the positive comments – mostly from those assigning scores of 4 or 5. They fall into two categories – those that find GAPTIS easy to use (74%) and those that emphasized GAPTIS’s technical capabilities (26%). **Figure 2.3b ii** examines the negative comments, usually from those scoring GAPTIS at 3 or less. Sixty five percent indicate some kind of technological issue – sometimes indicating a perceived inadequacy in the GAPTIS program, sometimes hinting at user inexperience. A related number were the 12% of the negative respondents who specifically wanted to have programmatic ability to operate GAPTIS at a higher level not available for most data entry specialists. Finally, a lack of government support or understanding of GAPTIS was cited by 23% of those with negative comments

Figure 2.3b i Reasons for Positive Score

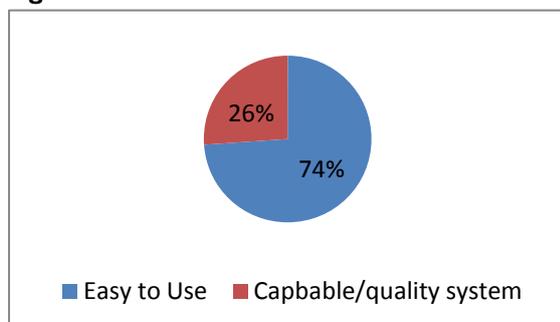
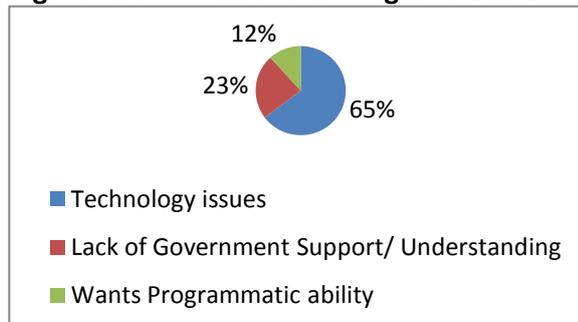


Figure 2.3b ii Reasons for Negative Score



2.3 c - Recommendations for data entry – After coding the responses from the 68 GAPTIS surveys, the number one recommendation was for more training - 22%. A related category was for these that specifically mentioned a need for courses on programming, system troubleshooting and repair- 19%. Ten percent mentioned a need for better technology, while another 10% mentioned a need for new equipment. The need for more job security was mentioned by 7%, some of whom specified a desire for longer term contracts. Another 7% recommended the wider use of GAPTIS - including its use in more report and/or in more regions. Three percent specifically mentioned the

¹² In most provinces the supervisor is responsible for entering data in one of the interfaces. S/he is often responsible for collecting data and facilitating work flow.

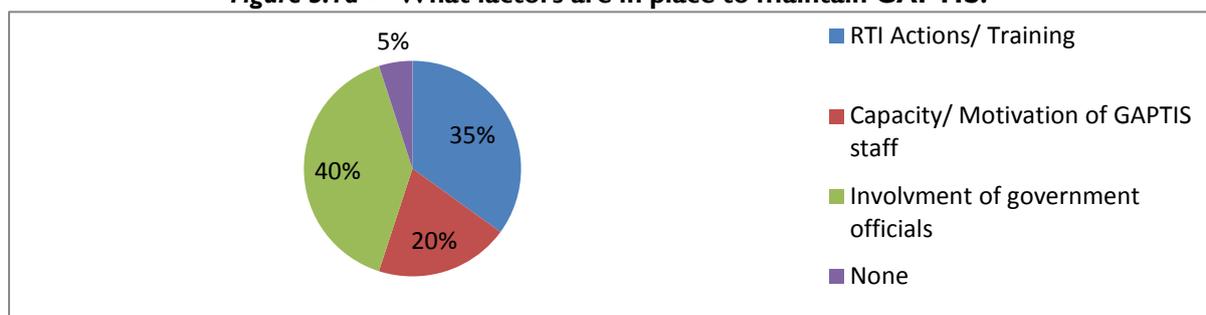
¹³ Supervisors and non-supervisory staff were counted equally for the purposes of this question.

need for a GAPTIS Stamp – an official symbol some think would give them more institutional weight. The final *nineteen percent* of recommendations could not be categorized. ¹⁴

3. Sustainability: These questions relate to the likelihood that GAPTIS can be sustained after the end of LGP III assistance.

3.1a - GAPTIS Supervisors were asked what factors were in place to maintain GAPTIS after LGP III assistance concluded. 35% mentioned RTI actions, such as ongoing training; 20% mentioned the capacity or motivation of the GAPTIS staff; and 40% cited the involvement of government officials. Only one provincial supervisor (Wasit) indicated there were none.

Figure 3.1a - What factors are in place to maintain GAPTIS?



3.1b; 3.1c and 3.1d - When asked whether key sustainability factors were in place, such as adequate staff; a GAPTIS user guideline; or plan by the Governorate to maintain GAPTIS; the results were as follows, with only three provinces answering “yes” to all three questions. Only four provinces reported having adequate staff. This may speak to the fact that most training took place only in 2010¹⁵.

Figures 3.1b; 3.1c and 3.1d: Sustainability Check list

Province	3.1b: Is there adequate staff trained in GAPTIS to fill gaps and staff turnovers? ¹⁶	3.1c: Is there a GAPTIS user guideline?	3.1d: Does the Governorate plan to take over/maintain and continue using the GAPTIS facility after LGP III ends?	Number
Diyala	Yes	Yes	Yes	3 of 3
Maysan	Yes	Yes	Yes	3 of 3
Najaf	Yes	Yes	Yes	3 of 3
Babil	No	Yes	Yes	2 of 3
Basrah	No	Yes	Yes	2 of 3
Dhi Qar	No	Yes	Yes	2 of 3
Diwaniyah	No	Yes	Yes	2 of 3
Karbala	No	Yes	Yes	2 of 3
Muthanna	Yes	Yes	NO	2 of 3
Wasit	No	Yes	Yes	2 of 3
Anbar	No	No	Yes	1 of 3

¹⁴ Responses from supervisors and staff comments were given the same weight. Interviewees were allowed to give more than one recommendation.

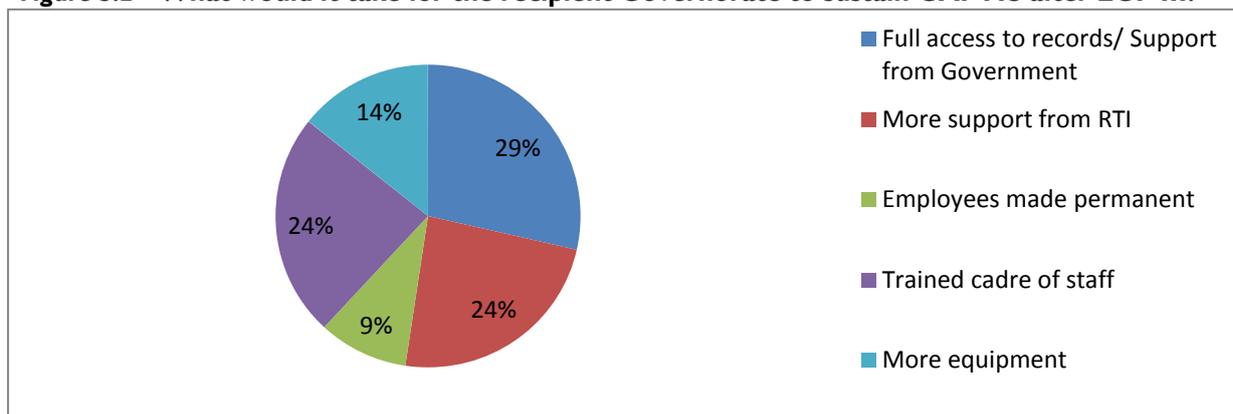
¹⁵ A few provinces (e.g. Najaf and Ninawa) had training in late 2009, but most not until 2010. Since training was staggered, many trained staffers have not been on the job very long.

¹⁶ LGP III believes that, for the being time, all the provinces have adequate staff. However, there is concern about continued capacity in the possible event of staff turnovers.

Baghdad	No	No	Yes	1 of 3
Ninawa	No	No	Yes	1 of 3
Salah ad Din	No	No	Yes	1 of 3

3.2 - As seen in Figure 3.2, GAPTIS supervisors were asked what it would take for their Governorate to sustain GAPTIS beyond LGP III.

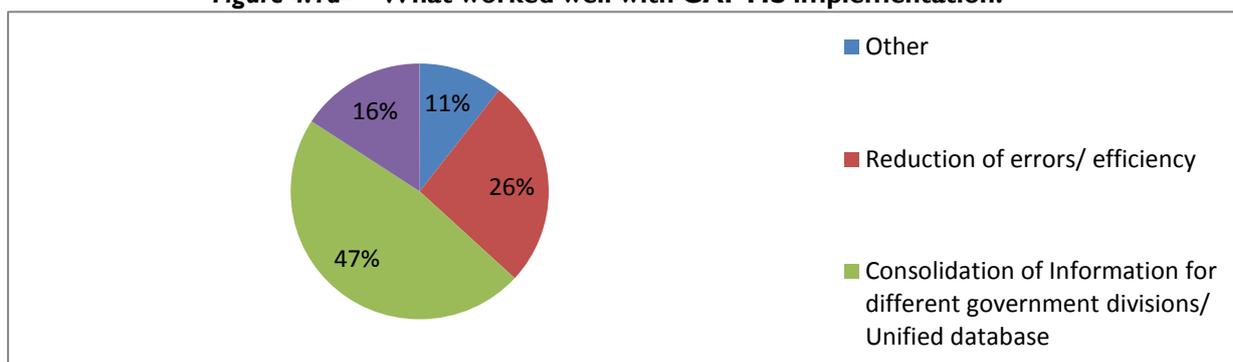
Figure 3.2 - What would it take for the recipient Governorate to sustain GAPTIS after LGP III?



4. Constraints: These questions relate to what worked well and did not work well regarding GAPTIS implementation. Questions focus on what are the primary constraints for implementing and sustaining GAPTIS and what are the user recommendations for improving the system.

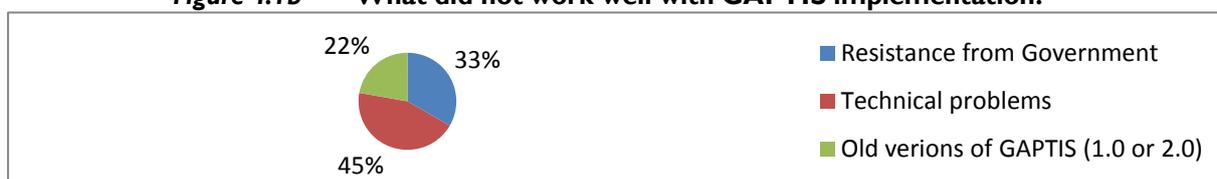
4.1 a - When asked what worked well with GAPTIS, supervisors primarily mentioned the consolidation of information from different divisions within their governorates into a unified database.

Figure 4.1a- What worked well with GAPTIS implementation?



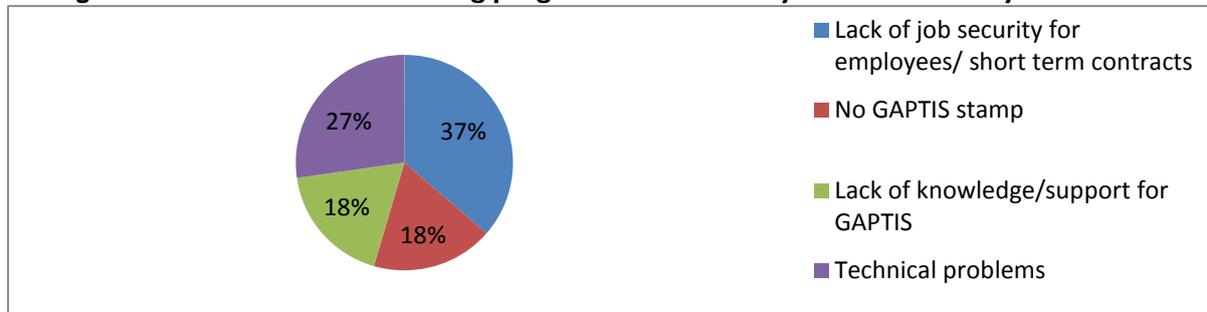
4.1b - In Figure 4.1b, supervisors were asked what did not work well with GAPTIS implementation. Technical problems, -including the inability to make substantive reporting changes and adapt reports to individual provincial needs - were the most cited.

Figure 4.1b - What did not work well with GAPTIS implementation?



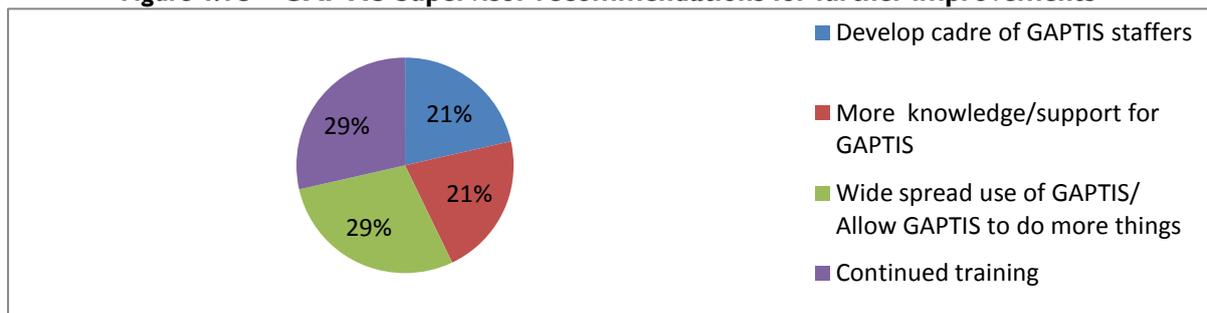
4.1c- As illustrated in *Figure 4.1c*, Supervisors were asked what were the major constraints inhibiting progress in achieving functionality and sustainability of GAPTIS. The largest number of responses indicated the lack of job security, often characterized by GAPTIS employees having only short-term contracts. Technical problems had the next largest number of responses.

Figure 4.1c- Constraints inhibiting progress in functionality and sustainability of GAPTIS



4.1d- As illustrated in *Figure 4.1d*, Supervisors were asked for their recommendations on improving GAPTIS. 29% recommended developing a cadre of GAPTIS staffers, with another 21% recommending the related idea of continuing training.

Figure 4.1d- GAPTIS Supervisor recommendations for further improvements



Other Unanticipated Issues: Supervisors in four provinces mentioned having other methods of data collection: Basrah, Diyala, Ninawa, and Wasit. In most of these cases, the provinces used various other programs to assist in functions such as human resources, contracts and simple accounts. In Wasit, however, some reports are being submitted using Excel spreadsheets rather than GAPTIS. Except for Wasit, other programs generally dealt with governmental functions separate from GAPTIS. When a preference was indicated, it was for GAPTIS.

CONCLUSION AND RECOMMENDATIONS

Conclusion

GAPTIS has been a largely successful program judging by analysis collected on the data requested by USAID. GAPTIS is “up and running” in all 14 provinces surveyed, and both financial and non-financial reports are being generated by all. All but one GAPTIS unit have succeeded in submitting reports to the Ministry of Finance for 2010. Cooperation from departments within government has been slow and uneven, but is officially in place in most provinces.

Most provinces also have some procedures in place for sustainability. However, only five provinces – Anbar, Baghdad, Karbala, Najaf, and Maysan – are designated as “decentralization pilot” provinces. Each pilot GAPTIS unit received intensive training in the programming necessary to modify GAPTIS to make changes in the interfaces and trouble shoot problems as they arise. These are the five provinces where long-term sustainability for GAPTIS appears most possible after the end of LGP assistance. Although other provinces may have, to a varying degree, dedicated and capable GAPTIS staff and cooperative counterparts within the Governorates, staff turnover and maintenance issues for equipment are likely to present challenges in the future that may be difficult to overcome without the presence of a knowledgeable programmer. Desire for programmer assistance was one of the more common themes picked up through the open ended questions in the surveys.

Surveys showed a difference of opinion on adequacy of GAPTIS staffing. Even the most potentially sustainable units complained about inadequate staff levels. Whether this is a real problem or within the range of normal griping of busy offices is difficult to tell. What is clear, however, is the concern over the lack of job security enjoyed by contracted GAPTIS employees, who are often not accorded the same career status as their counterparts within the Governorates. Forming a “cadre” of trained GAPTIS staffers was a commonly heard theme and seemed to imply the need for equal status within the provincial employee community.

Technologically, there are numerous complaints about various glitches in GAPTIS. It was not always clear whether this was due to actual flaws or to reports from inexperienced technicians. Overall, however, there was ample evidence that GAPTIS staff found it to be an easy system on the whole – especially version 2.1.

Recommendations

There should be support provided to more non-pilot provinces to avoid backsliding as staffers encounter problems they are not trained to overcome. There is a real need for database programming skills throughout all Governorates. Database programming skills increase the probability of adequately addressing problems that may occur during the data entry process. Programming also allows for the design, modification and audit of reports as requested by the elected officials. Full sustainability of GAPTIS may not be possible otherwise.

Support for GAPTIS was highest where it was seen as the easiest to use. Although GAPTIS 2.0 is a more capable program, GAPTIS 2.1 seems to correlate with more user satisfaction. This may become more critical as the inevitable staff turnovers continue.

Relations between GAPTIS units and Governorates will be enhanced by two factors: 1) Incorporating GAPTIS positions into the government system, thus allowing full civil service protections; and 2) Providing a “GAPTIS Stamp” to give more institutional weight to GAPTIS units within provincial governments.

ANNEX I: GAPTIS PROGRAM REPORT UPDATE

(Removed – For Internal Use Only)

ANNEX 2: SCOPE OF WORK

Performance Evaluation and Reporting for Results (PEROFMR)

USAID's Local Governance Program, Phase – III (LGP III)

February 2011

I. Project Program Identification

Project Title: Local Governance Program
Project Number: Cooperative Agreement No.
Project Dates: January 1, 2009 - June 30, 2011
Project Funding: \$ 210,519,264
Implementing Organization: Research Triangle Institute (RTI)

II. RTI/LGP III Program Summary:

Local Governance Program Phase III (LGP III) is designed to support implementation of Iraq's new Provincial Powers Act. The project builds the capacity and strengthens the performance of local government institutions to represent citizen priorities and creates a more responsive public administration through planning for public investment in the provinces, formulating the provincial budgets, and holding service providers to account.

This is an ongoing activity with the start date of January 1st, 2009 and end date of June 30, 2011. The program is geared towards building capacity of the newly elected local government officials through limited training and intensive on-job mentoring and coaching on key aspects of local governance, including financial management, organizational development, strategic planning, and service delivery oversight. Support is also being provided to the Iraq Local Government Association (ILGA) and the High Commission on Coordination among Provinces (HCCP) under the Prime Minister.

The project is designed to furnish intensive programming in 15 targeted provinces (all lower ones except KRG provinces). The target beneficiaries include the staff/officials of legislative and executive branches of the provincial government structures of Iraq.

The end results of the program are to help on standing up the new provincial councils and local executives as set forth in the new Provincial Powers Act. Specifically, the project is mandated to focus on developing the councils' powers of legislation and regulation, as well as their role in planning for the provinces, formulating and executing a budget, carrying out effective public outreach, and their enhanced role in supervising and holding to account local governments.

To achieve these results, LGP III assists with following work-streams in the 15 provinces covered by the Provincial Powers Act (PPA):

- Updating Provincial Development Strategies and Provincial Development Plans;
- Capacity building for newly elected Provincial Councils to represent citizen concerns and provide oversight on the delivery of services by the executive branch;
- Enhancing financial management and reporting of Capital Investment by the Provinces to improve accountability and increase budget execution rates;
- Supporting Iraq's Local Government Association and the High Commission for Coordination among Provinces.

III. **Government Accounting and Project Tracking System**

One of the specific objectives of LGP III is to establish a functional computerized financial -capital improvement monitoring tracking system, which is widely known under the acronym GAPTIS – “Government Accounting and Project Tracking Information System”. GAPTIS is an application to track expenditures and project statuses. It is a relatively simple data collection and processing tool. Depending upon the data entered, this system generates reports to help provincial officials manage their projects and funds more effectively. The software affords each province the ability to define its own uses and while some provinces limit its function to purely financial management, many provinces see it as one of many components useful in project management.

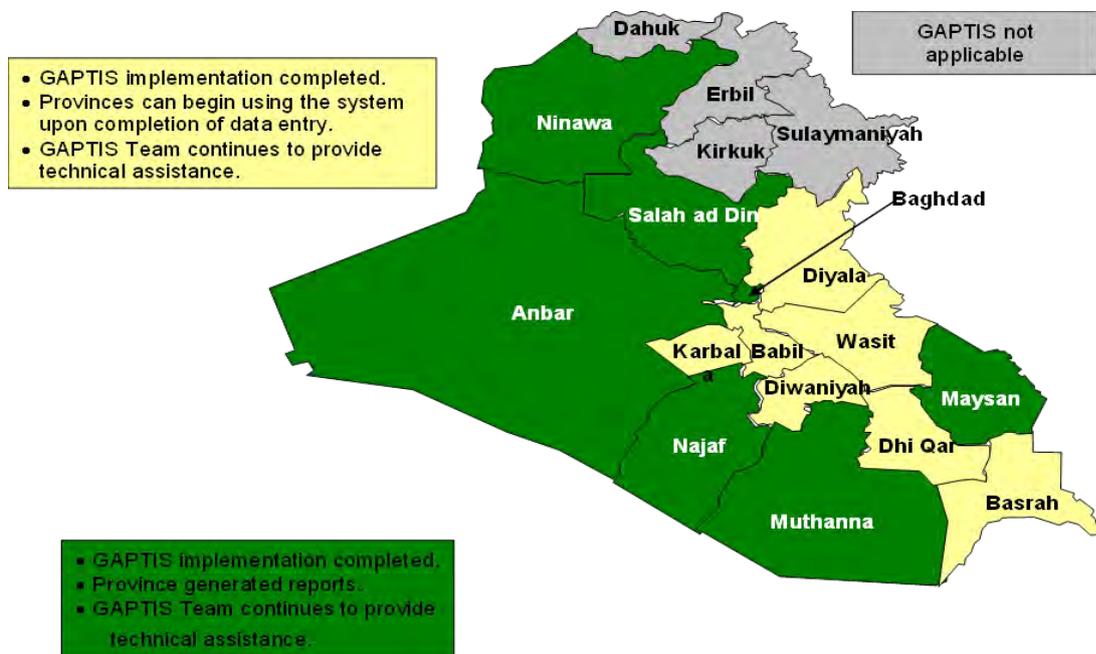
Presently, provincial governments of Iraq only have authority over funds allocated to them through their Project Lists—projects and funding which are allocated from the ministerial departments at the national level. Although the GAPTIS software has the capacity to monitor any funding sources, at the present time, it remains limited to this Accelerated Reconstruction and Development Project (ARDP) data. As data is accurately entered, the system allows them to track expenditures by project number, fiscal year—including the year in which funds were both committed and expended—and the type of expenditures, such as labor, equipment, or services. Furthermore, it allows provinces to determine which office or department was assigned to execute specific tasks and which are ultimately responsible for the project’s completion.

One area of concern has been the relatively slow pace of data entry by some of the provinces. Delays in data entry consequently results in some provinces being late with submitting their monthly reconciliation reports to the Ministry of Finance (MOF), and ultimately may lead to increased discrediting of the system. By its very nature, the entry of data by the provinces cannot be controlled by LGP III. Some of the extenuating circumstances that have led to this problem were: the slowdown of government activities leading up to and during the provincial elections of January 2009; the large turnover of provincial government personnel in all the provinces; and the plethora of other priorities of the newly-elected provincial governments as they learned their new roles. Reportedly the LGP III is addressing these concerns to increase the pace of data entry to complete this phase of the process.

Below is the GAPTIS status update submitted by RTI/LGP III at the end of 2009:

Province Name	Equipment Delivered	Training Delivered	TA on Track	Comments
Anbar	√	√	√	Province entering data. Has begun generating project related reports for the governor.
Babil	√	√	√	Accounting data entry completed. Province is auditing the data.
Baghdad	√	√	√	Baghdad Province and Sewerage Dept in Amanat has generated accounting report.
Basrah	√	√	√	Trailer and furnishing completed. Province preparing for entering data. Can begin using system upon completion of data entering.
Dhi Qar	√	√	√	Province entering data. Can begin using system upon completion of data entering.
Diwaniyah	√	√	√	Accounting data entry completed. Province is auditing the data.
Diyala	√	√	√	Province entering data. Can begin using system upon completion of data entering.
Karbala	√	√	√	Province entering data. Can begin using system upon completion of data entering. Technical information completed, and they are entering contracting information.
Maysan	√	√	√	Maysan Province has generated reports. No additional training needed at this time.

Muthanna	√	√	√	Province entering data. Has begun generating test partial monthly trial balances.
Najaf	√	√	√	Najaf Province has generated reports. No additional training needed at this time.
Ninawa	√	√	√	The province has generated reports. Province completed entering data in Contracting & Planning Depts. Ninewa LGP Team is providing on-going support.
Salah ad Din	√	√	√	Province entering data. Has begun generating project related reports for the governor.
Wasit	√	√	√	Training provided. Provincial governor has advised LGP III that they will not allocate space to implement GAPTIS at this time.



IV. Purpose of the Assignment:

The ultimate objective of this task is to monitor progress achieved in implementation and sustaining a newly introduced financial budget tracking system in all 15 provinces where LGP III is active. The results of this fact-finding monitoring visit will be a basis for taking management decision on rest of the program life and a lesson learned for future intervention.

In achieving the objective the monitoring visit will get answer for the following research questions:

Statistics:

- 1) How many items of equipment (computers, printers, etc) were delivered and installed in each province? How many of them are operational? How many of them need maintenance? Date equipment received, system installed, and operational.
- 2) How many individuals were trained in GAPTIS application in each province? (get a list of all individuals trained in each province)?

- 3) Has there been any adjustment to GAPTIS 1.0 to the needs of the provinces using it? How many of the provinces met the characteristics of Najaf and roll out to GAPTIS 2.0? to the provinces who have met the characteristics of Najaf
- 4) What is the status of Technical Assistance provided to develop and implement the non-financial features of GAPTIS

Impact:

1. In how many provinces the system is up and running, and do the beneficiaries use it? (get the list of trained individuals mentioned above, and have a random sample to check whether they use it)
2. Is the data entry completed, and/or does the system produce the reports required by the MOF? (examine a hard copy of the reports produced with the system and officially submitted to the MOF)
3. Establish measure to collect opinion of the interviewees about the data entry process and its utilization (was it smooth, challenging, frustrating?). Collect and analyze positive and negative impacts the system may have produced Solicit more detailed feedback if the system has been challenging and frustrating. Ask for their opinion on how to improve the data entry process.

Sustainability:

1. What factors are in place to maintain the GAPTIS system? Do the Governorate have adequate staff trained in GAPTIS to fill gaps and staff turnovers? Is there a GAPTIS user guideline? Does the Governorate plan to take over/maintain and continue using the GAPTIS facility after LGP III ends? If not, why not?
2. What would it take the recipient governorate to sustain GAPTIS beyond the life of LGP III?

Constraints:

1. What worked well and what did not with GAPTIS implementation?
2. What are the major constraints inhibiting progress in achieving functionality and sustainability of GAPTIS?
3. What are their recommendations for further improvements?

Other Unanticipated Issues:

1. Are there any systems other than GAPTIS existing in the provinces, which are used for the same or similar purposes?
2. Do they complement/duplicate each other, and if not how are they different?
3. Do the users like one better than the other, and if yes why?

III. Deliverable

QED will provide a work plan and methodology for approval by USAID/Iraq

QED shall submit a report describing what has been the progress with GAPTIS achieved by RTI/LGP III over the period of 2010 (compared to the 2009 status report summarized above) and will have the following major sections:

1. Executive Summary
2. Introduction
3. Methodology
4. Findings and Analysis
5. Conclusion
6. Recommendation
7. Annexes.

The overall report should not exceed 10 pages, including a 1-page executive summary. Annexes are not counted.

I. IV. Timeline

USAID requests that QED has an introduction discussion with COTR for LGP III before starting the field work.

QED shall submit the report to USAID not later than April 30, 2011¹⁷

¹⁷ Amended to May 10.

ANNEX 3: METHODOLOGICAL NOTES

Najaf Model

Since the SOW emphasized the “characteristics of Najaf” as a model for GAPTIS implementation, all three teams participated in the monitoring of the Najaf GAPTIS office. This “kick off” visit provided all data collectors with a common understanding of the so-called “characteristics of Najaf,” which was useful for the subsequent assessments. Najaf also served as a “field test” setting, allowing changes to be made in the questionnaire¹⁸.

After Najaf, the three teams traveled to their assigned provinces. Appointments with the GAPTIS supervisors were made ahead of time through the respective governor’s offices. The surveys took an estimated 2-3 hours to complete. One enumerator interviewed the GAPTIS supervisor with the full survey, while the second enumerator administered a shorter version to the non-supervisory GAPTIS staff. The surveys were drafted in English and translated into Arabic. The data collectors initially filled out the surveys by hand and later entered the data into Excel spreadsheets, which were submitted to USAID/Iraq PERFORM.

Design of the data base, data entry and analysis was conducted by PERFORM staff in Baghdad. All data was spot checked.

Essential fact checking was conducted with former LGP III staffers for accuracy.

¹⁸ Ultimately, only minor changes in the Arabic wording of the questionnaire were required.

ANNEX 4: DATA TABLES (SUPERVISOR QUESTIONNAIRES)

I Statistics

I.1 How many items of RTI provided equipment (computers, printers, etc) were delivered and installed in Governorate? (List item of equipment in matrix below and answer questions about each).

I.1	Pieces of equipment provided by USAID (Computer, printer, etc)	Listed on existing equipment list?	Date Delivered	Date Installed	Date Operational	% currently operational?	Maintenance needs
Anbar	*2 Desktop HP Computers from RTI to GAPTIS Unit. Below are items from RTI to GIS Unit: *One Printer 5550 OTM- *One Color Scanner A0 *One PLOTTER-HP *One computer Desktop-Dell Workstation *Six Desks	No	1-Jun-2009	15-Jun-2009	15-Jun-2009	Yes	No
Babil	7 Dell Computers ; 5 HP Printers; 4 Cannon Scanners; 1 UPS	Yes	18/10/2008	18/10/2008	18/10/2008	All but printers	Printers
Baghdad	10 PC, 6 scanners, 6 printers ¹⁹	No	N/A	N/A	N/A	N/A	N/A
Basrah	4 PCs, 2 Scanners, 2 Printers	N/A	N/A	N/A	N/A	N/A	N/A
Dhi Qar	3 Dell PCs; 1 hp Printer; 1 canon scanner; 1 Hub	N/A	N/A	N/A	N/A	N/A	N/A
Diwaniyah	5 Dell PCs, 5 hp Printers; 2 Canon	Yes	01-Mar-09	01-Mar-09	01-Mar-09		

¹⁹ Includes the Amanat

	Scanners, 5 UPS						
Diyala	6 Dell Computers ; 1 HP Printer; 2 Cannon Scanner	N/A	15-Jun-2009	1-Jul-2009	1-Jul-2009	Yes	No
Karbala	5 Dell Computers ; 2 HP Printer; 3 Cannon Scanner	No	15-Nov-2008	15-Nov-2008	15-Nov-2008	Yes	No
Maysan	4 PCs, 2 Scanners, 2 Printers	N/A	2008	2008	2008	Yes	No
Muthanna	5 PCs, 2 Scanners, 2 Printers	N/A	Dec,2008	Dec,2008	Dec,2008	Yes	No
Najaf	14 Computers, 6 scanners, 6 UPS, 10 Desks AC Unit	N/A	15-Jan-2011	15-Jan-2011	15-Jan-2011	Yes	No
Ninawa	11 PCs; Scanner and Printers	N/A	N/A	N/A	N/A	Yes	No
Salah ad Din	6 PCs, 2 Scanner, 2 Printer	N/A	26-May-2009	N/A	N/A	Yes	No
Wasit	5 Scanners, 3 Printers, 1 UPS	Destroyed in Wasit fire during demonstrations	14-Apr-2009	14-Apr-2009	14-Apr-2009	No	Yes

1.2 How many individuals were trained in GAPTIS application in the Governorate?

I.2	Number	Title	Date of Training
Anbar	20	Head of GAPTIS Section, N/A	01.10.2009 (Head), 2008(rest)
Babil	4	Technical Administrator Deputy; Developer Assistant, Computer Operator; Developer	One Week
Baghdad	4	4 developer assistants, 1 engineer	Feb. 1st through March 29th, 2011
Basrah	9	5 Accountants, 2 Developers, 1 Administrative, 1 Engineer	2009 & 2010
Dhi Qar	4	1 Supervisor; 1 data entry; 1 accountant; 1 typist	NA
Diwaniyah	4	3 Accountant Deputies; 1 developer	2009 and 2010
Diyala	4	2 engineering assistants, 1 accountant, 1 translator	Oct 1 st , 2009
Karbala	3	1 planning, 1 trainer, 1 accounts	Nov 15 th , 2010 & Nov 15 th 2008

Maysan	10	3 computer operators, 5 directors and deputy directors, 1 lawyer; 1 auditor	2007-2009
Muthanna	4	4 accountants	2008-2010
Najaf	4		
Ninawa	41	2 employees each from 20 Ministries	NA
Salah ad Din	7	3 data entry, 2 accountants, 1 legal affairs; 1 Engineer	March 15th,2009
Wasit	4	4 Data Entry Specialists - 2 are trained	Sep 15th, 2010
Total	122		

I.3a what version of GAPTIS are you using?

GAPTIS 1 _____ GAPTIS 2 _____ GAPTIS 2.1 _____ Other _____

Don't Know _____

I.3a	Version
Anbar	2.1
Babil	2.1
Baghdad	2 & 2.1
Basrah	2
Dhi Qar	2.1
Diwaniyah	2
Diyala	2.1
Karbala	2
Maysan	2.1
Muthanna	2.1
Najaf	2.1
Ninawa	2
Salah ad Din	2.1
Wasit	2

I.3 b Does this province meet the following characteristics (See checklist below):

I.3 b i Management

I.3 b i	Is there cooperation from the management to provide the assistance to the unit as needed?	Is there a follow up from the management to ensure that GAPTIS employees are entering proper data timely?	Is management using the reports after ensuring that the information is matching the non-electronic reports?	Percentage
Anbar	No ²⁰	No	No	0%
Babil	Yes	Yes	Yes	100%
Baghdad	Yes	Yes	Yes	100%
Basrah	Yes	Yes	Yes	100%
Dhi Qar	Yes	Yes	Yes	100%

²⁰ Given Anbar's surprisingly low scores, a follow-up call was made. The GAPTIS unit there reported "weak management" on part of the governorate. However, they also reported that management has begun using reports – a change taking place after the data collectors visit in April. The score is being left as is for consistency with the original methodology.

Diwaniyah	Yes	Yes	Yes	100%
Diyala	Yes	Yes	Yes	100%
Karbala	Yes	Yes	Yes	100%
Maysan	Yes	Yes	Yes	100%
Muthanna	Yes	Yes	Yes	100%
Najaf	Yes	Yes	Yes	100%
Ninawa	Yes	Yes	Yes	100%
Salah ad Din	Yes	No	Yes	66%
Wasit	Yes	Yes	Yes	100%

1.3 b ii Coordination

Are there periodic visits by the LGP regional GAPTIS coordinator to follow up the staff and to fulfill needs?

Coordination	Are there periodic visits by the LGP regional GAPTIS coordinator to follow up the staff and to fulfill needs?	Percentage
Anbar	Yes	100%
Babil	Yes	100%
Baghdad	Yes	100%
Basrah	Yes	100%
Dhi Qar	Yes	100%
Diwaniyah	Yes	100%
Diyala	Yes	100%
Karbala	Yes	100%
Maysan	Yes	100%
Muthanna	Yes	100%
Najaf	Yes	100%
Ninawa	Yes	100%
Salah ad Din	Yes	100%
Wasit	Yes	100%

1.3 b iii Staff

1.3 b iii	Does GAPTIS Manager control the data entry staff and serve as the contact for contact the higher management?	Is there enough staff to collect and enter the data?	Is staff dedicated to GAPTIS only with no other tasks?	Is each employee assigned to enter certain information by the manager?	Percentage
Anbar ²¹	Yes	No	No	Yes	50%
Babil	Yes	Yes	Yes	Yes	100%
Baghdad	Yes	No	No	Yes	50%

²¹ Given Anbar's surprisingly low scores, a follow-up call was made. The GAPTIS unit there now reports that they have hired three additional staff dedicated to GAPTIS. The score is being left as is for consistency with the original methodology.

Basrah	Yes	Yes	No	Yes	75%
Dhi Qar	Yes	No	Yes	Yes	75%
Diwaniyah	Yes	Yes	Yes	Yes	100%
Diyala	Yes	Yes	Yes	Yes	100%
Karbala	Yes	Yes	No	Yes	75%
Maysan	Yes	No	Yes	Yes	75%
Muthanna	Yes	No	No	Yes	50%
Najaf	Yes	Yes	No	Yes	75%
Ninawa	Yes	No	No	Yes	50%
Salah ad Din	Yes	No	Yes	Yes	75%
Wasit	Yes	No	Yes	Yes	75%

I.3 b iv Equipment

I.3 b iv	Is all equipment in one place?	Is equipment connected by a work group to share the data between the computers so that data entry happens from multi station?	Percentage
Anbar	Yes	Yes	100%
Babil	Yes	Yes	100%
Baghdad	No	Yes	50%
Basrah	No	Yes	50%
Dhi Qar	Yes	Yes	100%
Diwaniyah	Yes	Yes	100%
Diyala	No	Yes	50%
Karbala	Yes	Yes	100%
Maysan	Yes	Yes	100%
Muthanna	Yes	Yes	100%
Najaf	Yes	Yes	100%
Ninawa	No	Yes	50%
Salah ad Din	Yes	Yes	100%
Wasit	Yes	Yes	100%

I.3 b v Is an adequate room assigned only to GAPTIS unit (enough to host the equipment and the staff)?

I.3 b v	Is an adequate room assigned only to GAPTIS unit (enough to host the equipment and the staff)?	Percentage
Anbar	Yes	100%
Babil	No	0%
Baghdad	Yes	100%
Basrah	No	0%
Dhi Qar	Yes	100%
Diwaniyah	Yes	100%
Diyala	Yes	100%
Karbala	Yes	100%
Maysan	No	0%
Muthanna	No	0%

Najaf	Yes	100%
Ninawa	No	100%
Salah ad Din	No	100%
Wasit	No	0%

I.3 b vi Procedures

I.3 b vi	Were data collecting forms used in the initial data entry?	Were those forms filled from the documents in the archive by an official approval from the governor?	Did they get a GAPTIS stamp to ensure that the paper work was entered into the system?	After the data was entered, were reports generated?	Percentage
Anbar	Yes	Yes	No	Yes	75%
Babil	No	N/A	No	Yes	25%
Baghdad	Yes	Yes	No	Yes	75%
Basrah	Yes	Yes	Yes	Yes	100%
Dhi Qar	Yes	Yes	Yes	Yes	100%
Diwaniyah	No	N/A	No	Yes	25%
Diyala	Yes	Yes	No	NO	50%
Karbala	NO	N/A	No	Yes	25%
Maysan	Yes	Yes	Yes	Yes	100%
Muthanna	Yes	Yes	Yes	Yes	100%
Najaf	Yes	Yes	No	Yes	75%
Ninawa	NO	NO	No	Yes	25%
Salah ad Din	Yes	Yes	Yes	Yes	100%
Wasit	No	No	No	No	0%

I.3 b	Percentage Total
Anbar	71%
Babil	71%
Baghdad	79%
Basrah	71%
Dhi Qar	96%
Diwaniyah	88%
Diyala	83%
Karbala	83%
Maysan	79%
Muthanna	75%
Najaf	92%
Ninawa	71%
Salah ad Din	90%
Wasit	63%

I.4 What are the non-financial reports? (Check all that apply)

I.4 b	Budget Execution by Sector	Budget Execution by District	Ministry of Planning Plan	Ministry of Planning Classification	Other (List)	Don't Know
Anbar	X	X		X	A report of companies information + A report of contracts and referrals + Analytical Statements	
Babil	X			X	Upto date reports are prepared according to the request such as (Budget Implementation)	
Baghdad						X
Basrah	X	X	X	X	Analytical Statements + Balance Sheet+ Allocation for MOF + A report of Follow up the Magnitude of expenses and the actual percentage of completion.	
Dhi Qar	X	X	X	X		
Diwaniyah	X	X	X	X	Balance Sheet, Analytical statements, Budget Implimentation, the expenditure of projects, the cpmpetitor companies.	
Diyala						X
Karbala	X	X	X	X	Reports on technical information , planning, contracting information, companies and contractors, black listed contractors, Timely reports prepared as needed.	
Maysan	X	X		X		
Muthanna	X	X	X	X		
Najaf	X	X				
Ninawa						X
Salah ad Din						X
Wasit						X

2 Impact:

2.1a Is the GAPTIS unit operational at your Governorate?

2.1a	Is the GAPTIS unit operational at your Governorate?
Anbar	Yes
Babil	Yes
Baghdad	Yes
Basrah	Yes
Dhi Qar	Yes
Diwaniyah	Yes
Diyala	Yes

Karbala	Yes
Maysan	Yes
Muthanna	Yes
Najaf	Yes
Ninawa	Yes
Salah ad Din	Yes
Wasit	Yes

2.1b How often does the staff use it?

2.1b	Type Answers
Anbar	Daily
Babil	Daily
Baghdad	Daily
Basrah	Daily
Dhi Qar	Daily
Diwaniyah	Daily
Diyala	4 Times per week
Karbala	Daily
Maysan	Daily
Muthanna	Daily
Najaf	Daily
Ninawa	Daily
Salah ad Din	Daily
Wasit	Daily

2.2a When did you start entering data into GAPTIS?

2.2a	When did you start entering data into GAPTIS?	Coded Answer
Anbar	Sep-2009	4
Babil	15-Jun-2008	5
Baghdad	Jan-2010	3
Basrah	Apr-2010	3
Dhi Qar	2009	4
Diwaniyah	15-Mar-2009	4
Diyala	15-Jan-2010	3
Karbala	Jan-2010	3
Maysan	2008	5
Muthanna	1-Jan-2010	3
Najaf	9-Jan-2008	5
Ninawa	30-May-2010	3
Salah ad Din	2009	4
Wasit	21-Apr-2011	2

2.2b Has data entry been completed up through the end of 2010?

2.2b	Has data entry been completed up through the end of 2010?
Anbar	Yes
Babil	No
Baghdad	Yes
Basrah	Yes
Dhi Qar	Yes
Diwaniyah	Yes
Diyala	Yes
Karbala	Yes
Maysan	Yes
Muthanna	Yes
Najaf	Yes
Ninawa	Yes
Salah ad Din	Yes
Wasit	No

2.2c Does the system produce the reports required by the MOF?

2.2c	Does the system produce the reports required by the MOF?
Anbar	Yes
Babil	Yes
Baghdad	Yes
Basrah	Yes
Dhi Qar	Yes
Diwaniyah	Yes
Diyala	N/A ²²
Karbala	Yes
Maysan	Yes
Muthanna	Yes
Najaf	Yes
Ninawa	Do Not Know
Salah ad Din	Yes
Wasit	No

2.2d (Ask for a hard copy of the reports produced with the system and officially submitted to the Ministry of Finance), Can it be produced?

2.2d	(Ask for a hard copy of the reports produced with the system and officially submitted to the Ministry of Finance). Can it be produced?
Anbar	Yes
Babil	Yes
Baghdad	Yes
Basrah	Yes

²² Diyala deterred question to governorate accounting department.

Dhi Qar	Yes
Diwaniyah	Yes
Diyala	N/A
Karbala	Yes
Maysan	Yes
Muthanna	Yes
Najaf	Yes
Ninawa	No
Salah ad Din	Yes
Wasit	No

2.3a How do you find the data entry process and utilization of GAPTIS? One to five scale – With five being best and one being worst

2.3a	1 to 5
Anbar	3
Babil	4
Baghdad	5
Basrah	5
Dhi Qar	3
Diwaniyah	2
Diyala	5
Karbala	4
Maysan	5
Muthanna	3
Najaf	3
Ninawa	4
Salah ad Din	4
Wasit	5

2.3 b Why? Enter comment

2.3 b	Type answers	Coded Answer
Anbar	Lack of career staff, Incompetent staff; Low wages; Inadequate budget for the Division	5,2
Babil	Program's interfaces are slow	1
Baghdad	easy to retrieve information on the projects	5
Basrah	The program gives perfect results	6
Dhi Qar	Internal reasons which are related to the administration of province	4
Diwaniyah	Poor matching in the issuance of reports with balance sheets; Slow; Problems with data saving; Conflicting account information	1
Diyala	Amendments that have occurred on the old copies of the program made it a sophisticated and helped to facilitate the completion of tasks faster.	5
Karbala	Limited to use in local governance only; no modern database	4,1
Maysan	Easy to use	5
Muthanna	Need for more flexibility	7
Najaf	Lack of education on GAPTIS, Marginalized, Decentralized; Lack of trained cadre;	4,3

Ninawa	This program facilitates work, recognizing mistake and fixing it up.	5, 6
Salah ad Din	Very Useful and active	5
Wasit	1- collect all data in one database 2- it easy to enter the data 3- reduce the time	5, 6

2.3 c What recommendations would you make for improving the data entry process? Enter comment

2.3 c	Type answers	Coded Answer
Anbar	Recruit competent staff with engineering background; Provide more funds to GAPTIS; Pay employees more;	2, 5,
Babil	Non duplication of information at the interfaces of program;	9
Baghdad	Provide a cadre to check the data after entered by the officer specialized	10
Basrah	More cadre and additional equipments for copying the originals	2,8
Dhi Qar	Select the efficient cadre + training + communication	2
Diwaniyah	Need more equipment; full time developer support	1. 9
Diyala		
Karbala	Network all divisions related to GAPTIS ; Install subprograms to facilitate data entry	1
Maysan	N/A	
Muthanna	We need to the open program which is subject to the updating and developing	9
Najaf	Use Visual basic.Net for installation; Train cadres; Train programmers for each province; establish functional grades for cadre; Advertise program through bulletins	1,2, 4, 7
Ninawa	Providing a bigger No. of trained staff for entering data process.	2
Salah ad Din	Could you please bring back the suspended cheque as they are very useful to the Accounting Division?	10
Wasit	N/A	

3 Sustainability

3.1a What factors are in place to maintain the GAPTIS system? Enter comment

3.1a	What factors are in place to maintain the GAPTIS system?	Coded Answer
Anbar	Good follow up by RTI - including material support for 5 months in 2010	4
Babil	RTI support, support within GAPTIS unit, support of Government	1,4,5
Baghdad	Support by RTI; Training course for the data entry specialist in the balance sheet; Training course for the developers	1, 3
Basrah	Space allocated	6
Dhi Qar	Cooperation between the province and RTI + the desire to continue + provision the cadre necessary and the suitable place , follow up by the administration of the province + provision of all requirements required to success the project	1.4
Diwaniyah	Support from the Governor for the GAPTIS unit	4
Diyala	Continuous support for training; Ease and accuracy of system	3
Karbala	Dedicated data entry staff ; Desire for success; Interest of other divisions in GAPTIS	2,4
Maysan	Direct supervision by provincial officials	4

Muthanna	Leaderships Support	4
Najaf	Interest of some officials on the program; Interest of Projects Department	4
Ninawa	Employ young people who are enthusiastic to the program, Our refusal of the petitions submitted by other offices apart from those entering this program in order to increase its prominence. The great support from RTI Organization.	1, 5
Salah ad Din	Constant support from RTI and cooperation of staff among each other.	1, 5
Wasit	None	7

3.1b Is there adequate staff trained in GAPTIS to fill gaps and staff turnovers?

3.1b	Is there adequate staff trained in GAPTIS to fill gaps and staff turnovers?
Anbar	No
Babil	No
Baghdad	No
Basrah	No
Dhi Qar	No
Diwaniyah	No
Diyala	Yes
Karbala	No
Maysan	Yes
Muthanna	Yes
Najaf	Yes
Ninawa	No
Salah ad Din	No
Wasit	No

3.1c Is there a GAPTIS user guideline?

3.1c	Is there a GAPTIS user guideline?
Anbar	No
Babil	Yes
Baghdad	No
Basrah	Yes
Dhi Qar	Yes
Diwaniyah	Yes
Diyala	Yes
Karbala	Yes
Maysan	Yes
Muthanna	Yes
Najaf	Yes
Ninawa	No
Salah ad Din	No
Wasit	Yes

3.1 d Does the Governorate plan to take over/maintain and continue using the GAPTIS facility after LGP III ends?

3.1 d	Does the Governorate plan to take over/maintain and continue using the GAPTIS facility after LGP III ends?
Anbar	Yes
Babil	Yes
Baghdad	Yes
Basrah	Yes
Dhi Qar	Yes
Diwaniyah	Yes
Diyala	Yes
Karbala	Yes
Maysan	Yes
Muthanna	No
Najaf	Yes
Ninawa	Yes
Salah ad Din	Yes
Wasit	Yes

3.1 e If not, why not? Enter comment

3.1 e	If not, why not?
Anbar	N/A
Babil	N/A
Baghdad	N/A
Basrah	N/A
Dhi Qar	N/A
Diwaniyah	N/A
Diyala	The matter which is required to prevent the corruption and organizing of work.
Karbala	NA
Maysan	N/A
Muthanna	It is possible to update during the operation of program, we need ongoing support in case there is a sudden stop.
Najaf	N/A
Ninawa	N/A
Salah ad Din	N/A
Wasit	N/A

3.2 What would it take for the recipient Governorate to sustain GAPTIS beyond the life of LGP III? Enter comment

3.2	What would it take for the recipient Governorate to sustain GAPTIS beyond the life of LGP III?	Coded Answer
Anbar	Continued RTI Support(Knowing that RTI support will stop; consequently GAPTIS Division may get ended; therefore we are going to support it in order to restore	2
Babil	List the GAPTIS unit within the structure of the province; increase the number of staff for the GAPTIS unit	1, 4
Baghdad	The province noticed recently that GAPTIS program provides accuracy, and will support it after the departure of RTI	4
Basrah	Training of cadre + new additional equipment	2, 6
Dhi Qar	The continuity on the technical support and training	2
Diwaniyah	Put GAPTIS within the structure of the province	3
Diyala	NA	
Karbala	Technical support by the province to the GAPTIS unit	1
Maysan	New additional equipment; New training	4, 6
Muthanna	Technical Support	2
Najaf	Train cadre; Make cadre full employees , Divisions must ensure full records are made available to GAPTIS such as the advertisement of the tenders; Issue program stamp; Technical support from RTI;	1,2,3,4,5
Ninawa	We have got a formal approval to be totally supported without any need for RTI support.	7
Salah ad Din	The City Hall has already established GAPTIS Division within the its struture through an official memo so as to be funded.	1
Wasit	1- Support the GAPTIS unit by facilitating the process of getting the information 2- Training courses for the cadres 3- provide the suitable place for the unit 4- provision of suitable equipments and sets	1, 2, 4, 6

4 Constraints

4.1a What worked well with GAPTIS implementation? Enter comment

4.1a	What worked well with GAPTIS implementation?	Coded Answer
Anbar	Easy retrieval of information /electronic archiving; Reduction of Errors; Reduction of Corruption; Consolidation of Information	5,3
Babil	Rapid and clear data documentation	4,3
Baghdad	It is easy to save the files as it was in the past , where the project was saved on different multiple names so that each employee is saving the file according to his personal desire and it was saved one project on the MS Word program which made the research process difficult and tiring.	2, 5
Basrah	Entry the project in a good manner + reports of balance are accurate + the percentage of completion + Electronic Archiving	2,5
Dhi Qar	Balance sheet and implementation of projects follow up + referral + additional statements and others which is related to projects	2, 1
Diwaniyah	easy to see the data; Data is consolidated	4. 5
Diyala	GAPTIS 2.1 made work more efficient. Network provides privacy at work	3
Karbala	Consolidating the work of local governance divisions related to project (planning , contracting , legal , technical and accounting); Unified database	4
Maysan	The speed of data retrieval	3
Muthanna	The speed of information call + An accuracy in issuing the reports	3

Najaf	Easy to prepare reports; Easy to extract data;	5
Ninawa	Workers are unified; Problems easy to solve	2, 4, 5
Salah ad Din	It has facilitated the Accounting Division work effectively.	1
Wasit	1- Obtaining general information about the projects in one report 2- It considers as a comprehensive database	4

4.1b What did not work well with GAPTIS implementation? Enter comment

4.1b	Type answers	Coded Answer
Anbar	Initial resistance from some Government Divisions - especially Accounting (which feared marginalization)	2
Babil	NA	
Baghdad	At the outset , it was refused GAPTIS program from many divisions especially the accounting division for their willingness to continue in corruption	2
Basrah	Annual Analytical Statements	1
Dhi Qar	N/A	
Diwaniyah	Slow, Problems in saving data;	3, 4, 5
Diyala	GAPTIS I	
Karbala	NA	
Maysan	unintelligable	1
Muthanna	We need to the open program which is subject to the updating and developing by the cadre of province + The developer did not understand the actual accounting system applied in fact	6
Najaf	Old versions for program; interruptions in program; linking of Basic and Access	5, 4
Ninawa	Some offices did not accept GAPTIS believing that other offices could be aware of their confidential information.	2
Salah ad Din	NA	
Wasit	N/A	

4.2 What are the major constraints inhibiting progress in achieving functionality and sustainability of GAPTIS? Enter comment

4.2	What are the major constraints inhibiting progress in achieving functionality and sustainability of GAPTIS?	Coded Answer
Anbar	Not developed within the administrative structure of province; Poor IT management; Ignorance/ indifference of senior management of GAPTIS; Incompetent employees; Refusal to use GAPTIS stamp; Absence of Long term support; Employees hired on contract;	5,4, 3,2,1
Babil	Lack of place (the place is narrow)	6
Baghdad	Lack of adequate competent cadre on programming resulted in some nepotism	1
Basrah	Independence	6
Dhi Qar	Cadre and training	1
Diwaniyah	Difficult to access information from the legal affairs and technical sections; Too much work for cadre	5
Diyala	N/A	
Karbala	Staff on short-term contracts; No issuance of GAPTIS stamp	1,2
Maysan		N/A
Muthanna	Interfaces must be developed to fit with our work	5

Najaf	Absence of a Developer; Lack of Maintenance	5
Ninawa	Some Offices Directors, particularly the old ones, cannot comprehend electronic archives and insist on the paper work thinking that this program replaces them especially that they don't know how to deal with computer.	3
Salah ad Din	We meet difficulty in achieving work due to the deficiency of staff.	6
Wasit	N/A	

4.3 What are your (interviewee) recommendations for further improvements? Enter comment

4.3	What are your (interviewee) recommendations for further improvements?	Coded Answer
Anbar	NA	
Babil	Preparation and generation of clear structure for the GAPTIS unit and list it within the structure of the province	3
Baghdad	Hopfully if it continues the follow-up by the province or the beneficiary from the program	6
Basrah	Issuance of additional reports	4
Dhi Qar	the desire to work on the program + Preparation of new interfaces to track the progress of project to track the progress of project from the beginning to the end	4
Diwaniyah	More skill development for cadre; Improve performance of interfaces; connect units through a wireless network; Provide transportation for staff; List GAPTIS units within administrative structure	2, 3, 5
Diyala	Continue training the staff on program maintenance and troubleshooting	5
Karbala	Disseminate GAPTIS to all departments: Develop cadre of data entry specialists in all departments; Educate all governments on e-governance;	2,3,4
Maysan	N/A	N/A
Muthanna	Technical support and courses for developers and it prefers to be one of the people of the province	5
Najaf	Recruit a permanent GAPTIS official in province; Make cadre permanent employees; Make GAPTIS able to generate different kinds of reports; Make training for GAPTIS staff only; Train to allow independence from RTI; Provide more equipment	2,4
Ninawa	Training for young employees; Introduce GAPTIS throughout province; Seminars on computer usage for the older workers	4, 5
Salah ad Din		
Wasit	N/A	

5 Other Unanticipated Issues

5.1 Are there any systems other than GAPTIS existing in this province, which are used for the same or similar purposes

5.1	Are there any systems other than GAPTIS existing in this province, which are used for the same or similar purposes
Anbar	No
Babil	No
Baghdad	No
Basrah	Yes
Dhi Qar	No
Diwaniyah	No
Diyala	Yes
Karbala	No
Maysan	No

Muthanna	No
Najaf	No
Ninawa	Yes
Salah ad Din	No
Wasit	Yes

If yes...List them:

5 .I	Type answers	Coded Answer
Anbar	N/A	
Babil	N/A	
Baghdad	N/A	
Basrah	Projects Data Base and Letter of Guarantee Data Base	
Dhi Qar	N/A	
Diwaniyah	N/A	
Diyala	MS Access for contract - MS Excel for simple accounts	
Karbala	N/A	
Maysan	N/A	
Muthanna	N/A	
Najaf	N/A	
Ninawa	The province uses several software programs performed by programmer Omer Nabel; for HR; Committee management; and mail.	
Salah ad Din	N/A	
Wasit	Microsoft Excel	The Governor's Chief of Staff was not cooperative with GAPTIS therefore we used Excel

5.2a Do they complement/duplicate each other?

5.2a	Do they complement/duplicate each other?
Anbar	No
Babil	N/A
Baghdad	N/A
Basrah	Yes
Dhi Qar	N/A
Diwaniyah	N/A
Diyala	Yes
Karbala	N/A
Maysan	N/A
Muthanna	N/A
Najaf	N/A
Ninawa	Yes
Salah ad Din	N/A
Wasit	No

If not...

5.2b How are they different? Enter comment

5.2b	Type answers
Anbar	N/A
Babil	N/A
Baghdad	N/A
Basrah	Current System is independent and not connected to other departments and different than GAPTIS
Dhi Qar	N/A
Diwanayah	N/A
Diyala	Design and purpose
Karbala	N/A
Maysan	N/A
Muthanna	N/A
Najaf	N/A
Ninawa	programs developed separately for HR, other uses
Salah ad Din	N/A
Wasit	There are no interfaces in Excel

5.3a Do you prefer one over the other?

5.3a	Do you prefer one over the other?
Anbar	No
Babil	N/A
Baghdad	N/A
Basrah	Yes
Dhi Qar	N/A
Diwanayah	N/A
Diyala	Yes
Karbala	N/A
Maysan	N/A
Muthanna	N/A
Najaf	N/A
Ninawa	NO
Salah ad Din	N/A
Wasit	Yes

If yes...

5.3b Why? Enter comment

5.3b	Type answers
Anbar	N/A
Babil	N/A
Baghdad	N/A
Basrah	The System is comprehensive and connected to other departments
Dhi Qar	N/A

Diwaniyah	N/A
Diyala	Prefer GAPTIS, which is sophisticated, fast and accurate.
Karbala	N/A
Maysan	N/A
Muthanna	N/A
Najaf	N/A
Ninawa	N/A
Salah ad Din	N/A
Wasit	1-GAPTIS is more comprehensive 2-Easy to enter and get Data 3-Easy to get any information using available tables

ANNEX 5: DATA TABLES (STAFF QUESTIONNAIRES)

I Statistics

Initial Question 1, Have you been trained in GAPTIS?

Initial Question - Staffer Average	No. of Staff Per Province	Percentage of Yeses
Anbar	3	100
Babil	4	100
Baghdad	4	75
Basrah	3	100
Dhi Qar	2	100
Diwaniyah	4	100
Diyala	3	100
Karbala	4	100
Maysan	3	100
Muthanna	2	50
Najaf	8	87
Ninawa	11	100
Salah ad Din	2	100
Wasit	2	100

Initial Question 2, Do you use GAPTIS?

Initial Question - Staffer Average	No. of Staff Per Province	Percentage of Yeses
Anbar	3	100
Babil	4	100
Baghdad	4	100
Basrah	3	100
Dhi Qar	2	100
Diwaniyah	4	100
Diyala	3	100
Karbala	4	100
Maysan	3	100
Muthanna	2	100
Najaf	8	100
Ninawa	11	100
Salah ad Din	2	100
Wasit	2	100

I.3 b Does this province meet the following characteristics (See checklist below)

I.3 b i Management

I.3 b i Staffer average	No. of Staff Per Province	Percentage Average
Anbar	3	100
Babil	4	100
Baghdad	4	100
Basrah	3	92
Dhi Qar	2	50
Diwaniyah	4	50
Diyala	3	100
Karbala	4	100
Maysan	3	100
Muthanna	2	100
Najaf	8	100
Ninawa	11	100
Salah ad Din	2	66
Wasit	2	66

I.3 b ii Coordination

I.3 b ii Staffer average	No. of Staff Per Province	Percentage
Anbar	3	100
Babil	4	100
Baghdad	4	100
Basrah	3	100
Dhi Qar	2	100
Diwaniyah	4	100
Diyala	3	100
Karbala	4	100
Maysan	3	100
Muthanna	2	100
Najaf	8	100
Ninawa	11	100
Salah ad Din	2	100
Wasit	2	100

I.3 b iii Staff

I.3 b iii Staffer average	No. of Staff Per Province	Percentage
Anbar	3	92
Babil	4	75

Baghdad	4	88
Basrah	3	75
Dhi Qar	2	50
Diwaniyah	4	63
Diyala	3	100
Karbala	4	94
Maysan	3	92
Muthanna	2	88
Najaf	8	100
Ninawa	11	75
Salah ad Din	2	63
Wasit	2	50

1.3 b iv Equipment

1.3 b iv Staffer Average	No. of Staff Per Province	Percentage Score
Anbar	3	100
Babil	4	100
Baghdad	4	50
Basrah	3	50
Dhi Qar	2	75
Diwaniyah	4	100
Diyala	3	50
Karbala	4	100
Maysan	3	100
Muthanna	2	100
Najaf	8	100
Ninawa	11	68
Salah ad Din	2	100
Wasit	2	100

1.3 b v Is an adequate room assigned only to GAPTIS unit (enough to host the equipment and the staff)?

1.3 b v Staffer Average	No. of Staff Per Province	Percentage Score
Anbar	3	100
Babil	4	100
Baghdad	4	50
Basrah	3	100
Dhi Qar	2	100
Diwaniyah	4	100
Diyala	3	0
Karbala	4	100

Maysan	3	100
Muthanna	2	100
Najaf	8	100
Ninawa	11	100
Salah ad Din	2	100
Wasit	2	100

1.3 b vi Procedures

1.3 b vi staff Average	No. of Staff Per Province	Percentage Score
Anbar	3	58
Babil	4	94
Baghdad	4	50
Basrah	3	83
Dhi Qar	2	75
Diwanayah	4	75
Diyala	3	75
Karbala	4	75
Maysan	3	100
Muthanna	2	100
Najaf	8	100
Ninawa	11	68
Salah ad Din	2	88
Wasit	2	50

1.3 Percentage Total

Does this province meet the following characteristics?

1.3 b i Management, 1.3 b ii Coordination, 1.3 b iii Staff, 1.3 b iv Equipment

1.3 b v Is an adequate room assigned only to GAPTIS unit (enough to host the equipment and the staff)?

1.3 b vi Procedures

1.3 Percentage Total	No. of Staff Per Province	Percentage Total
Anbar	3	92
Babil	4	95
Baghdad	4	73
Basrah	3	83
Dhi Qar	2	75
Diwanayah	4	81
Diyala	3	71
Karbala	4	95
Maysan	3	99
Muthanna	2	98

<i>Najaf</i>	8	100
<i>Ninawa</i>	11	85
<i>Salah ad Din</i>	2	86
<i>Wasit</i>	2	78

2 Impact:

2.1a Is the GAPTIS unit operational at your Governorate?

2.1a Staffer Average	No. of Staff Per Province	Percentage Total
Anbar	3	18
Babil	4	36
Baghdad	4	36
Basrah	3	9
Dhi Qar	2	9
Diwanayah	4	36
Diyala	3	27
Karbala	4	36
Maysan	3	27
Muthanna	2	18
Najaf	8	73
Ninawa	11	91
Salah ad Din	2	18
Wasit	2	18

2.3a How do you find the data entry process and utilization of GAPTIS?

One to five scale –With five being best and one being worst Circle One: 5,4,3,2,1

2.3a Staffer Average	No. of Staff Per Province	1 to 5
Anbar	3	3.7
Babil	4	4.8
Baghdad	4	3.5
Basrah	3	4.3
Dhi Qar	2	4.5
Diwanayah	4	3.3
Diyala	3	4.0
Karbala	4	4.8
Maysan	3	3.7
Muthanna	2	5.0
Najaf	8	4.4
Ninawa	11	4.2
Salah ad Din	2	3.5
Wasit	2	3.0

2.3 b Why? Enter comment

(Answers Coded and collated)

2.3a Staffer Average	No. of Staff Per Province	Code	Key
Anbar	3	5	Easy to Use
Babil	4	4	Lack of Government Support/ Understanding
Baghdad	4	3	Staff Problems
Basrah	3	2	Inadequate Budget
Dhi Qar	2	1	Technology issues
Diwaniyah	4		
Diyala	3		
Karbala	4		
Maysan	3		
Muthanna	2		
Najaf	8		
Ninawa	11		
Salah ad Din	2		
Wasit	2		

2.3 c What recommendations would you make for improving the data entry process?

Enter comment

2.3c. Staffer Average	No. of Staff Per Province
Anbar	3
Babil	4
Baghdad	4
Basrah	3
Dhi Qar	2
Diwaniyah	4
Diyala	3
Karbala	4
Maysan	3
Muthanna	2
Najaf	8
Ninawa	11
Salah ad Din	2
Wasit	2

ANNEX 6: CODING GUIDE

2.3 b	Why? (Did you give data entry the 1-5 score you did)
Code	Key
8	Other
7	Wants Programmatic ability
6	Capable/quality system
5	Easy to Use
4	Lack of Government Support/ Understanding
3	Staff Problems
2	Inadequate Budget
1	Technology issues
2.3 c	What recommendations would you make for improving the data entry process?
	Enter comment
Code	Key
10	Other
9	Need for courses on programming, system troubleshooting and repair
8	New equipment
7	Use GAPTIS for more reports/ in more regions
6	More space
5	More funding/ better pay
4	More job security/ longer term contracts
3	Need for GAPTIS Stamp
2	Need for training
1	Need for better technology
3.1 a	What factors are in place to maintain the GAPTIS system?
	Enter comment
Code	Key
7	None
6	Other
5	Motivation/support of GAPTIS staff
4	Involvement of government officials
3	Training
2	Capacity of GAPTIS staff
1	RTI Actions
3.1 e	Why does the Governorate not plan to take over/maintain and continue using the GAPTIS facility after LGP III ends?
	Enter comment

3.2	What would it take for the recipient Governorate to sustain GAPTIS beyond the life of LGP III?
	Enter comment
Code	Key
7	Other
6	More equipment
5	Program Stamp for GAPTIS
4	Trained cadre of staff
3	Employees made permanent
2	More support from RTI
1	Full access to records/ Support from Government
4.1a	What worked well with GAPTIS implementation?
	Enter comment
Code	Key
5	Ease of operation
4	Consolidation of Information/ unified database
3	Reduction of errors/ efficiency
2	Linking of different government divisions
1	Other
4.1b	What did <i>not</i> work well with GAPTIS implementation?
	Enter comment
Code	Key
6	Need to open program to make changes
5	Old versions of GAPTIS (1.0 or 2.0)
4	Interruptions of programs
3	Technical problems
2	Resistance from Government
1	No answer
4.2	What are the major constraints inhibiting progress in achieving functionality and sustainability of GAPTIS?
	Enter comment
Code	Key
6	Other
5	Technical problems
4	Administrative issues within province
3	Lack of knowledge/support for GAPTIS
2	No GAPTIS stamp
1	Lack of job security for employees/ short term contracts

4.3	What are your (interviewee) recommendations for further improvements?
	Enter comment
Code	Key
6	Other
5	Continued training
4	Wide spread use of GAPTIS/ Allow GAPTIS to do more things
3	More knowledge/support for GAPTIS
2	Develop cadre of GAPTIS staffers
1	Provide more equipment/resources

ANNEX 7: ORIGINAL SURVEY INSTRUMENT- ENGLISH VERSION

GAPTIS MONITORING STUDY

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Work Plan for Survey Teams

There will be three survey teams, responsible for roughly five governorates each. The table on this page shows an illustrative division of labor based on geographic coverage. In all, there would be six enumerators, split into three teams.

Najaf Model

Team	Governorate
1,2 & 3	Najaf (Model Province)
1	Basrah (Basrah)
1	Dhi Qar (Nasiriyah)
1	Maysan (Amara)
1	Muthanna (Samara)
2	Qadisiyah (Diwaniya)
2	Babil (Hilla)
2	Karbala (Karbala)
2	Wasit (Kut)
2	Baghdad
3	Anbar (Ramadi)
3	Diyala (Baqubah)
3	Salahuddin (Samarra)
3	Ninevah (Musul)

Since the SOW emphasizes the “characteristics of Najaf” as a model for GAPTIS implementation, all three teams should participate in, or at least observe, the monitoring of Najaf. With a good understanding of what constitute the “characteristics of Najaf,” the enumerators will be better able to conduct the other assessments. This will also serve as a “field test” setting so that changes in the survey could be made if necessary before the bulk of the field work commences.

Field Work

The teams will then travel to their assigned provinces. Appointments with the GAPTIS supervisors would be made ahead of time with the request that non-supervisory staff also be made available for interview. The surveys will take an estimated 2-3 hours to complete. One enumerator will interview the GAPTIS supervisor with the full survey, while the second enumerator will administer a shorter version to the non-supervisory GAPTIS staff. The surveys will be translated into Arabic and filled out by hand by the enumerators.

Some portions of the survey will be completed after the visits to the governorate are completed, particularly question 1.3.b. Once the survey teams have completed their work, they will return to Baghdad to leave them with the QED team. QED analysts will go over the surveys with the field teams to ensure full understanding of each.

Survey Analysis and Report Writing

After receiving the surveys from the field teams, the QED staff will analyze the questions, including the yes and no, 1-5 scale, inventory, and open ended questions. Using content analysis, they will produce a monitoring report of the surveys that will be incorporated into a draft report for USAID.

Survey of GAPTIS Supervisors

Preamble:

GAPTIS – “Government Accounting and Project Tracking Information System”-- is an application to track expenditures and project status for local governments in Iraq. The objective of this survey task is to monitor progress achieved in implementation and sustaining GAPTIS. The results of this fact-finding monitoring visit will be a basis for management decisions regarding this system.

Questions to cover SOW requirements:

I. Statistics:

I.1) How many items of RTI provided equipment (computers, printers, etc) were delivered and installed in Governorate? (List item of equipment in matrix below and answer questions about each)

Item of equipment provided by USAID (Computer, printer, etc)	Listed on existing equipment list?	Date Delivered	Date Installed	Date Operational	Is it currently operational?	Does it need maintenance? If yes, what kind?

Compare to RTI provided list

Don't Know _____

I.2) How many individuals were trained in GAPTIS application in the Governorate?

Name	Position	Date of training

I.3a) What version of GAPTIS are you using?

GAPTIS 1 _____ GAPTIS 2 _____ GAPTIS 2.1 _____ Other _____ Don't Know _____

I.3 b) Does this province meet the following characteristics (See checklist below)

1.3 b i) *Management*

Is there cooperation from the management to provide the assistance to the unit as needed?

Yes _____ No _____

Is there is a follow up from the management to ensure that GAPTIS employees are entering proper data timely? Yes _____ No _____

Is management is using the reports after ensuring that the information is matching the non-electronic reports. Yes _____ No _____

1.3 b ii) *Coordination*

Are there periodic visits by the LGP regional GAPTIS coordinator to follow up with the staff and to provide the needs? Yes _____ No _____

1.3 b iii) *Staff*

Does GAPTIS Manager to control the data entry staff and to be the front end to contact the higher management? Yes _____ No _____

Is there enough staff to collect and enter the data? Yes _____ No _____

Are staff dedicated to GAPTIS only with no other tasks? Yes _____ No _____

Is each employee is assigned to enter certain information by the manager? Yes _____

No _____

1.3 b iv) *Equipment*

Is all equipment in one place? Yes _____ No _____

Is equipment connected by a work group to share the data between the computers so that data entry happens from multi station? Yes _____ No _____

1.3 b v) *Room*

Is an adequate room assigned only to GAPTIS unit (enough to host the equipment and the staff? Yes _____ No _____

1.3 b vi) *Procedures*

Were data collecting forms used in the initial data entry? Yes _____ No _____

Were those forms filled from the documents in the archive by an official approval from the governor? Yes _____ No _____

Did they get a GAPTIS stamp to ensure that the paper work was entered into the system? Yes _____ No _____

After the data was entered, were reports generated? Yes _____ No _____

1.4a) Does your office generate reports for the Ministry of Planning? Yes _____ No _____

If yes...

1.4 b) What are the non-financial reports? (Check all that apply)

Budget Execution by Sector _____

Budget Execution by District _____

Ministry of Planning Plan _____

Ministry of Planning Classification _____

Other (List) _____

Don't Know _____

2. Impact:

2.1a) Is the GAPTIS unit operational in your Governorate?

Yes____ No____

2.1b) How often do the staff use it? _____

When did you start entering data into GAPTIS? _____

2.2b) Has data entry been completed up through the end of 2010?

Yes____ No____

2.2 c) Does the system produce the reports required by the MOF?

Yes____ No____

2.2d) (Ask for a hard copy of the reports produced with the system and officially submitted to the Ministry of Finance). Can it be produced? Yes____ No____

2.3 a) How do you find the data entry process and utilization of GAPTIS?

One to five scale –With five being best and one being worst

Circle One:

5

4

3

2

1

2.3 b) Why?

Enter comment

2.3 c) What recommendations would you make for improving the data entry process?

Enter comment

Sustainability:

3.1a) What factors are in place to maintain the GAPTIS system?

Enter comment

3.1b) Is there adequate staff trained in GAPTIS to fill gaps and staff turnovers?

Yes____ No____

3.1 c) Is there a GAPTIS user guideline?

Yes____ No____

3.1 d) Does the Governorate plan to take over/maintain and continue using the GAPTIS facility after LGP III ends?

Yes____ No____

3.1 e) If not, why not?

Enter comment

3.2) What would it take for the recipient Governorate to sustain GAPTIS beyond the life of LGP III?

Enter comment _____

Constraints:

4.1a) What worked well with GAPTIS implementation?

Enter comment _____

4.1b) What did not work well with GAPTIS implementation?

Enter comment _____

4.2) What are the major constraints inhibiting progress in achieving functionality and sustainability of GAPTIS?

Enter comment _____

4.3) What are your (interviewee) recommendations for further improvements?

Enter comment _____

Other Unanticipated Issues:

5 .1) Are there any systems other than GAPTIS existing in this provinces, which are used for the same or similar purposes?

Yes____ No____

If yes...List them _____

5.2a) Do they complement/duplicate each other,

Yes____ No____

If not...

5.2b) how are they different?

Enter comment _____

5.3a) Do you prefer one over the other?

Yes_____ No_____

If yes...

5.3b) why?

Enter comment_____ -

Demographic Information

Date:

Name:

Gender:

Position:

Province:

Years of experience in work:

Years of experience in current position:

Education level

Office address:

Cell phone:

Email:

Other contact:

Thank You

Interviewer Name:

Interviewer Signature _____

Survey of GAPTIS Non-Supervisor Staff Members

Preamble:

GAPTIS – “Government Accounting and Project Tracking Information System”-- is an application to track expenditures and project status for local governments in Iraq. The objective of this survey task is to monitor progress achieved in implementation and sustaining GAPTIS. The results of this fact-finding monitoring visit will be a basis for management decisions regarding this system.

Questions are numbered to match questionnaire of supervisors, many of which will not be asked of non-supervisory staff:

Statistics:

Initial question – Have you been trained in GAPTIS?

Yes _____ No _____

Initial question – Do you use GAPTIS?

Yes _____ No _____

I.3 b) Does this province meet the following characteristics (See checklist below)

I.3 b i) *Management*

Is there cooperation from the management to provide the assistance to the unit as needed?

Yes _____ No _____

Is there is a follow up from the management to ensure that GAPTIS employees are entering proper data timely? Yes _____ No _____

Is management is using the reports after ensuring that the information is matching the non-electronic reports. Yes _____ No _____

I.3 b ii) *Coordination*

Are there periodic visits by the LGP regional GAPTIS coordinator to follow up with the staff and to provide the needs? Yes _____ No _____

I.3 b iii) *Staff*

Does GAPTIS Manager to control the data entry staff and to be the front end to contact the higher management? Yes _____ No _____

Is there enough staff to collect and enter the data? Yes _____ No _____

Are staff dedicated to GAPTIS only with no other tasks? Yes _____ No _____

Is each employee is-assigned to enter certain information by the manager? Yes _____
No _____

I.3 b iv) *Equipment*

Is all equipment in one place? Yes _____ No _____

Is equipment connected by a work group to share the data between the computers so that data entry happens from multi station? Yes _____ No _____

I.3 b v) *Room*

Is an adequate room assigned only to GAPTIS unit (enough to host the equipment and the staff? Yes _____ No _____

I.3 b vi) *Procedures*

Were data collecting forms used in the initial data entry? Yes _____ No _____

Were those forms filled from the documents in the archive by an official approval from the governor? Yes____ No____

Did they get a GAPTIS stamp to ensure that the paper work was entered into the system? Yes____ No____

After the data was entered, were reports generated? Yes____ No____

Impact:

2.1a) Is the GAPTIS unit operational in your Governorate?

Yes____ No____

2.1b) How often do the staff use it? _____

2.3 a) How do you find the data entry process and utilization of GAPTIS?

One to five scale –With five being best and one being worst

Circle One:

5

4

3

2

1

2.3 b) Why?

Enter comment

2.3 c) What recommendations would you make for improving the data entry process?

Enter comment

Sustainability:

3.1b) Is there adequate staff trained in GAPTIS to fill gaps and staff turnovers?

Yes____ No____

3.1 c) Is there a GAPTIS user guideline?

Yes____ No____

Demographic Information

Date:

Name:

Gender:

Position:

Years of experience in work:

Years of experience in current position:

Office address:

Cell phone:

Email:

Other contact:

Thank You

Interviewer Name:

Interviewer Signature _____

Survey Takers Guide Sheet – Supervisors

This survey is designed to be administered by a team of two enumerators. Enumerator One, will administer the entire survey to GAPTIS Supervisor in each Governorate. Enumerator Two will interview GAPTIS staff on selected questions.

The numbering sequence of the survey questions was adopted from the research questions specified in USAID’s Scope of Work for the GAPTIS monitoring task (page 4 of SOW).

- 1. Statistics** These questions begin with 1, signifying a statistics question. The second digit reflects the numbered question under “statistics” in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Question 1.1 essentially requires an inventory of USAID-GAPTIS equipment. One of the two enumerators should work with a knowledgeable GAPTIS staffer to fill out the matrix. If possible, the enumerator should view each piece of equipment listed as it is entered into the matrix. Check it against the supplied list of equipment.

Question 1.2 will require one of the enumerators securing a list of people trained in the GAPTIS office. This list will be tallied and the sum entered into the matrix on the questionnaire. Check it against the supplied list of trained staff.

Question 1.3a will be asked of the GAPTIS Supervisor and the answer recorded as a “yes” or “no”

Question 1.3b is designed to determine the extent to which a Governorate conforms to the standard of Najaf, which is considered to be the model standard for GAPTIS implementation. All enumerators will attend the survey in Najaf to ensure common understanding of what this standard looks like. Instructions on how to fill out the survey is contained above. Both enumerators one and two will interview the GAPTIS employees about these questions.

Question 1.4a is to be answered by the GAPTIS Supervisor, Yes or No
If 1.4a is answered “yes”, they should go on to ask question 1.4b

- 2. Impact** These questions begin with 2, signifying an impact question. The second digit reflects the numbered question under “impact” in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Question 2.1a is to be answered by the GAPTIS Supervisor, either yes or no.

Question 2.1b is opened ended and will require answers that must be written down and analyzed later.

The enumerators will get a list of those trained (most probably around 2-5 GAPTIS and ask to speak with them). Enumerator 2 will proceed to ask questions 2.1a and 2.1b of the trained staff in a separate questionnaire.

Questions 2.2a and 2.2b will be asked of the GAPTIS Supervisor, answered either yes or no. The enumerators will ask for a hard copy of the reports produced with the system and officially submitted to the Ministry of Finance. It will be used to answer Questions 2.2c.

Questions 2.3a, 2.3b and 2.3c will be asked of the Supervisor and GAPTIS staff. 2.3a will be answered on a 1-5 scale. Questions 2.3b and 2.3c are opened ended and will require answers that must be written down and analyzed later.

- 3. Sustainability** - These questions begin with 3, signifying a sustainability question. The second digit reflects the numbered question under “sustainability” in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Question 3.1a is opened ended and will require answers that must be written down and analyzed later.

Questions 3.1b, 3.1c and 3.1d will be asked of the GAPTIS Supervisors and staff, answered either yes or no

Questions 3.1e and 3.2 are opened ended and will require answers that must be written down and analyzed later.

- 4. Constraints** - These questions begin with 4, signifying a constraints question. The second digit reflects the numbered question under “constraints” in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Questions 4.1a, 4.1b, 4.2 and 4.3 are opened ended and will require answers that must be written down and analyzed later.

- 5. Other Unanticipated Issues** - These questions begin with 4, signifying an Other Unanticipated Issues question. The second digit reflects the numbered question under “Other Unanticipated Issues” in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Question 5.1 will be asked of the GAPTIS Supervisor, answered either yes or no

Question 5.2a will be asked if the answer to Question 5.1 is “yes”, and answered either yes or no

Question 5.2b will be asked if the answer to Question 5.2a is “no.” It is opened ended and will require answers that must be written down and analyzed later.

Question 5.3a will be asked if the answer to Question 5.1 is “yes” and answered either yes or no

Question 5.3b will be asked if the answer to Question 5.3a is “yes” It is opened ended and will require answers that must be written down and analyzed later.

Survey Takers Guide Sheet – Non-Supervisors

This abbreviated survey will be administered to all non-supervisor GAPTIS staff. It contains a selection of questions from the longer supervisor questionnaire. Questions are numbered to match the supervisor questionnaire, meaning the numbered sequence will have several gaps. All questions

asked of non-supervisor staff will be asked of supervisors, although not all questions asked of supervisors will be asked of non-supervisors.

Two initial 'yes or no' questions will be asked first that are not tied to the SOW numbering system – 'Have you been trained in GAPTIS?'; and 'Do you use GAPTIS?'

The numbering sequence of the remainder of the survey questions was adopted from the research questions specified in USAID's Scope of Work for the GAPTIS monitoring task (page 4 of SOW).

- 1. Statistics** These questions begin with 1, signifying a statistics question. The second digit reflects the numbered question under "statistics" in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Question 1.3b is designed to determine the extent to which a Governorate conforms to the standard of Najaf, which is considered to be the model standard for GAPTIS implementation. All enumerators will attend the survey in Najaf to ensure common understanding of what this standard looks like.

Impact These questions begin with 2, signifying an impact question. The second digit reflects the numbered question under "impact" in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Questions 2.3a, 2.3b and 2.3c will be asked of the GAPTIS staff.

Question 2.3a will be answered on a 1-5 scale.

Questions 2.3b and 2.3c are opened ended and will require answers that must be written down and analyzed later.

- 2. Sustainability** - These questions begin with 3, signifying a sustainability question. The second digit reflects the numbered question under "sustainability" in the SOW. If the SOW question has multiple parts, the survey questions will be designated by a sequence of letters delineating each part.

Questions 3.1b, 3.1c and 3.1d will be asked of the GAPTIS Staff, answered either yes or no

ANNEX 8: GAPTIS SURVEY – ARABIC TRANSLATION

دراسة المراقبة الخاصة ببرنامج GAPTIS

جدول المحتويات

2	خطة العمل لفرق المسح
3	المسح بالنسبة لمشرفي برنامج GAPTIS
8	المسح بالنسبة لكادر الموظفين غير المشرف الخاص ببرنامج GAPTIS
11	مسح ورقة دليل الخاضعين للاستبيان – المشرفين
13	مسح ورقة دليل الخاضعين للاستبيان – كادر الموظفين غير المشرفين
	خطة العمل لفرق المسح

Governorate	Team
Najaf (Model Province)	1,2&3
Basrah (Basrah)	1
Dhi Qar (Nasiriyah)	1
Maysan (Amara)	1
Muthana (Sumawah)	1
Qadisiyah (Diwaniya)	2
Babil (Hilla)	2
Karbala (Karbala)	2
Wasit (Kut)	2
Baghdad	2

Anbar (Ramadi)	3
Diyala (Baqubah)	3
Salah AL-Deen (Tikrit)	3
Nineveh (Mosul)	3

ستكون هناك ثلاثة فرق للمسح ، مسؤولة عن ما يقرب من خمس محافظات لكل منها. يبين الجدول في هذه الصفحة قسم العمل التوضيحي القائم على أساس التغطية الجغرافية.

المجموع ، سيكون هناك ستة من جامعي البيانات ، ينقسمون إلى ثلاث فرق.

نموذج محافظة النجف

نظراً لتأكيد نطاق العمل على "خصائص محافظة النجف" كنموذج لتنفيذ برنامج GAPTIS ، ينبغي على كافة الفرق الثلاثة المشاركة أو في ملاحظة ومراقبة محافظة النجف على الأقل. مع الفهم الجيد لم قد تكونت "خصائص محافظة النجف" ، وسيكون جامعي البيانات أفضل قدرة على إجراء تقييمات أخرى. وهذا أيضاً بمثابة أعداد لاختبار ميداني بحيث أن التغييرات التي يمكن أجزاؤها في المسح إذا لزم الأمر وقبل أن يبدأ الجزء الأكبر من العمل الميداني.

العمل الميداني

ومن ثم ستسافر الفرق إلى المحافظات المسندة إليها. ستكون هناك توزيعات مع مشرفي برنامج GAPTIS قبل الوقت المحدد مع طلب كادر الموظفين غير المشرفين من أجل إجراء القابلة. وسوف يستغرق المسح بم يقدر 2-3 ساعة لانتهاء المسوحات. وسيجري جامع البيانات والمشرف على برنامج GAPTIS بمسح كامل ، في حين سيدبر جامع البيانات الثاني نسخة مختصرة لكادر موظفي برنامج GAPTIS . ستم ترجمة المسوحات إلى اللغة العربية وتعبئتها باليد من قبل جامعي البيانات.

وسيتم الانتهاء من بعض أجزاء المسح بعد الانتهاء من الزيارات إلى المحافظة ، ولاسيما سؤال 1.3.b. وبمجرد انتهاء فرق المسح لعملها ، سيعودون إلى بغداد لتترك المسوحات مع فريق كيو اي دي . وسيراجع محلي كيو اي دي المسوحات مع الفرق الميدانية لتأكد من الفهم الكامل للكامل منها.

تحليل المسح وكتابة التقارير

بعد أستلام المسوحات من الفرق الميدانية ، سيقوم موظفي شركة كيو اي دي بتحليل الاسئلة ، بما في ذلك الاجابات بنعم و كلا ، مقياس 1-5 ، و الجرد ، والاسئلة المفتوحة. باستخدام تحليل المضمون ، إصدار تقرير مراقبة المسوحات الذي سيتم إدراجه في مسودة التقرير الخاص بالوكالة الأمريكية للتنمية الدولية.

مسح مشرفي برنامج GAPTIS

الدياجة:

برنامج GAPTIS هو "نظام متابعة معلومات المشاريع والحسابات الحكومية" وهو تطبيق لمتابعة النفقات ووضع المشروع بالنسبة للحكومات المحلية في العراق. والهدف من مهمة هذا المسح هو مراقبة التقدم المحرز في تنفيذ وتعزيز برنامج GAPTIS . وستكون نتائج هذه الزيارة لمراقبة وتقصي الحقائق التي ستكون أساساً لاتخاذ قرارات الادارة بشأن هذا النظام.

الاسئلة لتغطية متطلبات نطاق العمل:

الاحصاء:

1.1 كم عدد المعدات التي تم توفيرها من مشروع آر تي آي (أجهزة الكمبيوتر والطابعات وغيرها الخ) التي تم تسليمها وتركيبها في المخفظة ؟ (أدرج قائمة المعدات في المصفوفة أدناه والإجابة على الأسئلة حول كل منها)

قائمة المعدات التي تم توفيرها من قبل الوكالة الأمريكية للتنمية الدولية (حسابات ، طابعات ، الخ)	المدرجة في قائمة المعدات الموجودة	تاريخ التسليم	تاريخ التركيب	تاريخ التشغيل	هل هي مشغلة حالياً؟	هل تحتاج إلى صيانة ؟ اذا كانت الاجابة بنعم ، اي نوع ؟

مقارنة مع القائمة التي تم تقديمها لمشروع آري أي
لا نعرف _____

1.2) كم عدد الأفراد الذين تم تدريبهم على تطبيق برنامج GAPTIS في المحافظة؟

الاسم	الوظيفة	تاريخ التدريب

1.3a) ما هي نسخة برنامج GAPTIS التي تستخدمها؟

كابيتس 1 _____ كابيتس 2 _____ كابيتس 2.1 _____ أخرى _____ لا نعرف _____

1.3b) هل قامت هذه المحافظة بتلبية الخصائص التالية؟ (أنظر قائمة التدقيق أدناه).

1.3 bi) الإدارة

هل هناك تعاون من الإدارة لتقديم المساعدة إلى الوحدة حسب الحاجة؟

نعم _____ كلا _____

هل هناك متابعة من الإدارة للتأكد من أن كادر موظفي برنامج GAPTIS يقومون بأدخال البيانات المناسبة بوقتها؟

نعم _____ كلا _____

هل تقوم الإدارة باستخدام التقارير بعد التأكد بأن المعلومات مطابقة للتقارير غير الإلكترونية. نعم _____ كلا _____

1.3 bii) التنسيق

هل هناك زيارات دورية من قبل منسق برنامج GAPTIS الإقليمي الخاص بالحكومات المحلية للمتابعة مع كادر الموظفين وتوفير

الاحتياجات؟ نعم _____ كلا _____

1.3 biii) كادر الموظفين

هل لدير برنامج GAPTIS التحكم بكادر موظفي إدخال البيانات ليكونوا الواجهة الأمامية للاتصال بالإدارة العليا؟

نعم _____ كلا _____

هل هناك ما يكفي من كادر الموظفين لجمع وإدخال البيانات؟ نعم _____ كلا _____

هل كادر موظفي برنامج GAPTIS مخصصين فقط مع أية مهام أخرى؟ نعم _____ كلا _____

هل يتم تعيين كل موظف لإدخال معلومات محددة من قبل المدير؟ نعم _____ كلا _____

1.3 biv) المعدات

هل كافة المعدات في مكان واحد؟ نعم _____ كلا _____

هل تم ربط المعدات بواسطة مجموعة العمل لتبادل البيانات ما بين أجهزة الكمبيوتر بحيث يتم إدخال البيانات من منافذ متعددة؟

نعم _____ كلا _____

1.3 bv) الغرفة

هل الغرفة المخصصة إلى وحدة برنامج GAPTIS فقط (وهل هي كافية لاستضافة المعدات وكادر الموظفين) ؟
نعم _____ كلا _____

1.3 bvi) الاجراءات

هل أستخدمت نماذج جمع البيانات في إدخال البيانات الأولية ؟ نعم _____ كلا _____
وهل كانت تلك النماذج معبئة من الوثائق الموجودة في الأرشيف بواسطة الموافقة الرسمية من المحافظ ؟ نعم _____ كلا _____
هل تم الحصول على ختم برنامج GAPTIS لضمان بأن العمل الورقي الذي قد تم إدخاله في النظام ؟ نعم _____ كلا _____
بعد إدخال البيانات ، هل تم إصدار التقارير ؟ نعم _____ كلا _____

1.4a) هل شارك مكتبك في اعداد تقارير وزارة التخطيط ؟ نعم _____ كلا _____
إذا كانت الاجابة بنعم

1.4b) ما هي ؟ (تدقيق كل ما ينطبق عليها)

تنفيذ الميزانية من قبل القطاع _____
تنفيذ الميزانية من قبل القضاء _____
حطة وزارة التخطيط _____
تصنيف وزارة التخطيط _____
أخرى (أدرجها) _____
لا نعرف _____

التأثير:

2.1a) هل برنامج GAPTIS فعال بمحافظتك ؟
نعم _____ كلا _____

2.1b) كم مرة أستخدمه كادر الموظفين ؟

2.2a) متى تمت المباشرة بأدخال البيانات في برنامج GAPTIS ؟ _____

2.2 b) هل تم أكمال إدخال البيانات من خلال نهاية عام 2010 ؟
نعم _____ كلا _____

2.2c) هل أصدر النظام التقارير المطلوبة من قبل وزارة المالية ؟
نعم _____ كلا _____

2.2d) (أطلب نسخة مطبوعة من التقارير التي تم إصدارها مع النظام رسمياً التي تم تقديمها الى وزارة المالية) . هل يمكن إصدارها ؟
نعم _____ كلا _____

2.3 a) كيف تجد عملية إدخال البيانات وأستخدام برنامج GAPTIS ؟

مقياس واحد الى خمسة ، مع كون افضل خمسة واسوء واحد

- 4
- 3
- 1
- 1

2.3 b) لماذا؟

أدخل التعليقات

2.3 c) ما هي توصياتك لتحسين عملية إدخال البيانات؟

أدخل التعليقات

الاستدامة:

3.1 a) ما هي العوامل المتوفرة للحفاظ على نظام برنامج GAPTIS؟

أدخل التعليقات

3.1 b) هل هناك عدد كافٍ من كادر الموظفين الذين تم تدريبهم في برنامج GAPTIS ملئ الثغرات وأيجاد بدلاء عن الموظفين؟

نعم ___ كلا ___

3.1 c) هل هناك دليل لمستخدم برنامج GAPTIS؟

نعم ___ كلا ___

3.1 d) هل تخطط المحافظة لاجراء / الحفاظ والاستمرار باستخدام خدمة برنامج GAPTIS بعد نهاية برنامج الحكومات المحلية الثالث؟

نعم ___ كلا ___

3.1 e) إذا كانت الاجابة بكلا ، لم لا؟

أدخل التعليقات

3.2) ما الذي يتطلبه الامر بالنسبة للمحافظة المتلقية لاستدامة برنامج GAPTIS لما تبقى من برنامج الحكومات المحلية الثالث؟

أدخل التعليقات

المعرفة:

4.1 a) ما الذي تم عمله بشكل جيد عند تنفيذ برنامج GAPTIS؟

أدخل التعليقات _____

4.1 b) ما الذي لم يتم عمله بشكل جيد عند تنفيذ برنامج GAPTIS؟

أدخل التعليقات _____

4.2 ماهي المعوقات الرئيسية التي تحول دون التقدم في تحقيق وظائف وأستدامة برنامج GAPTIS ؟

أدخل التعليقات _____

4.3 ماهي التوصيات الخاصة (بالاشخاص الذين تمت مقابلتهم) من أجل المزيد من التحسينات ؟

أدخل التعليقات _____

قضايا اخرى غير متوقعة:

5.1 هل هناك اي من الانظمة الاخرى القائمة في برنامج GAPTIS في هذه المحافظات والتي تستخدم لنفس الاغراض أو ما شابه ذلك ؟

نعم _____ كلا _____

إذا كانت الاجابة بنعم أدرجها

5.2a هل الانظمة تكمل بعضها البعض ومكررة ؟

نعم _____ كلا _____

إذا كانت الاجابة بكلا

5.2b كيف تختلف هذه الانظمة ؟

أدخل التعليقات _____

5.3a هل تفضل واحدة على الاخرى ؟

نعم _____ كلا _____

إذا كانت الاجابة بنعم

5.3b لماذا ؟

أدخل البيانات

المعلومات الديموغرافية

التاريخ:

الاسم:

الجنس:

الوظيفة:

المحافظة:

سنوات الخبرة في العمل:

سنوات الخبرة في الوظيفة الحالية:

مستوى التحصيل الدراسي:

عنوان المكتب:

الهاتف المحمول:

البريد الالكتروني:

أتصال آخر:

شكراً لكم

أسم الشخص الذي أجرى المقابلة:

توقيع الشخص الذي أجرى المقابلة _____

مسح أعضاء كادر موظفي برنامج GAPTIS غير المشرفين

الدياجة:

برنامج GAPTIS هو " نظام متابعة معلومات المشاريع والحسابات الحكومية " وهو تطبيق لمتابعة النفقات ووضع المشروع للحكومات المحلية في العراق. والهدف من مهمة هذا المسح هو لمراقبة التقدم المحرز في التنفيذ وتعزيز برنامج GAPTIS . وستكون نتائج هذه الزيارة لمراقبة وتقصي الحقائق التي ستكون أساساً لاتخاذ قرارات الادارة بشأن هذا النظام.

يتم ترقيم الاسئلة لتتطابق مع أستبيان المشرفين وأن العديد منها سوف لن يكون مطلوباً من كادر الموظفين غير المشرفين

الإحصاء:

السؤال الاول - هل تدرت في برنامج GAPTIS ؟ نعم ____ كلا ____

السؤال الاول - هل أستخدمت برنامج GAPTIS ؟ نعم ____ كلا ____

(1.3b) هل قامت هذه المحافظة بتلبية الخصائص التالية ؟ (أنظر قائمة التدقيق أدناه) .

(1.3 bi) الادارة

هل هناك تعاون من الإدارة لتقديم المساعدة إلى الوحدة حسب الحاجة ؟

نعم _____ كلا _____

هل هناك متابعة من الإدارة للتأكد من أن كادر موظفي برنامج GAPTIS يدخلون البيانات المناسبة بوقتها ؟

نعم _____ كلا _____

هل تستخدم الادارة التقارير بعد التأكد بأن المعلومات مطابقة للتقارير غير الالكترونية .نعم _____ كلا _____

1.3 bii) التنسيق

هل هناك زيارات دورية من قبل منسق برنامج GAPTIS الإقليمي الخاص بالحكومات المحلية للمتابعة مع كادر الموظفين ولتوفير

الاحتياجات ؟ نعم _____ كلا _____

1.3 biii) كادر الموظفين

هل لمدير برنامج GAPTIS التحكم بموظفي إدخال البيانات ليكونوا الواجهة الأمامية للاتصال بالإدارة العليا ؟ نعم _____ كلا _____

هل هناك ما يكفي من الموظفين لجمع وإدخال البيانات ؟ نعم _____ كلا _____

هل موظفي كادر برنامج GAPTIS مخصصين فقط مع أية مهام أخرى ؟ نعم _____ كلا _____

كل موظف تم تعيينه لإدخال معلومات محددة من قبل المدير ؟ نعم _____ كلا _____

1.3 biv) المعدات

هل كافة المعدات في مكان واحد ؟ نعم _____ كلا _____

هل تم ربط المعدات بواسطة مجموعة العمل لتبادل البيانات بين أجهزة الكمبيوتر بحيث يتم إدخال البيانات من منافذ متعددة ؟

نعم _____ كلا _____

1.3 bv) الغرفة

هي الغرفة التي تم تخصيصها مناسبة إلى وحدة برنامج GAPTIS (وهل هذه الغرفة كافية لاستضافة المعدات وكادر الموظفين) ؟

نعم _____ كلا _____

1.3 bvi) الاجراءات

هل تم جمع بيانات النماذج المستخدمة في إدخال البيانات الأولية ؟ نعم _____ كلا _____

وهل كانت تلك النماذج معبئة من الوثائق في الأرشيف بواسطة الموافقة الرسمية من المحافظ ؟ نعم _____ كلا _____

بعد إدخال البيانات ، هل تقوم الادارة بتوجيه كافة العمل الورقي الذي ينبغي أن يتخلل من خلال وحدة برنامج GAPTIS قبل أن

يذهب الى الأرشيف وضمان بقاء الوحدة هي جزء من العملية ؟ نعم _____ كلا _____

هل تم الحصول على ختم برنامج GAPTIS لضمان بأن العمل الورقي الذي تم إدخاله في النظام ؟ نعم _____ كلا _____

بعد إدخال البيانات، هل تم إصدار تقارير صحيحة ؟ نعم _____ كلا _____

التأثير:

2.1a) هل برنامج GAPTIS فعال بمحافظتك ؟

نعم _____ كلا _____

2.1b) كم مرة أستخدامه كادر الموظفين

2.3 a) كيف تجد عملية إدخال البيانات وأستخدام برنامج GAPTIS ؟

من نطاق واحد الى خمسة ، مع كون افضل خمسة و اسوء واحد

ضع دائرة حول التالي:

-5

-4

- 2

- 2

- 1

2.3 b) لماذا؟

أدخل البيانات

2.3 c) ماهي التوصيات الخاصة بالاشخاص الذين تمت مقابلتهم من أجل المزيد من التحسينات؟

أدخل التعليقات

الاستدامة:

3.1 b) هل هناك عدد كافٍ من كادر الموظفين الذين تم تدريبهم في برنامج GAPTIS للملئ الثغرات وأيجاد بدلاء عن الموظفين؟

نعم _____ كلا _____

3.1 c) هل هناك دليل لمستخدم برنامج GAPTIS؟

نعم _____ كلا _____

المعلومات الديموغرافية

التاريخ:

الاسم:

الجنس:

الوظيفة:

سنوات الخبرة في العمل:

سنوات الخبرة في الوظيفة الحالية:

عنوان المكتب:

الهاتف المحمول:

البريد الإلكتروني:

اتصال آخر:

شكراً لكم

مسح ورقة دليل الخاضعين للاستبيان - المشرفين

ويهدف هذا المسح المزمع إدارته من قبل فريق مكون من اثنين من جامعي البيانات. سيقوم جامع البيانات الاول بمسح كامل لمشرفي برنامج GAPTIS في كل محافظة. وسيقوم جامع البيانات الثاني بمقابلة اثنين من كادر موظفي برنامج GAPTIS بشأن الاسئلة التي تم اختيارها.

وأعتمد تسلسل الترقيم لاسئلة المسح من الاسئلة البحثية المحددة في نطاق عمل الوكالة الأميركية للتنمية الدولية لمهمة مراقبة برنامج GAPTIS (صفحة 4 من نطاق العمل).

1. الاحصاء تبدأ هذه الاسئلة بـ | ، مما يدل على سؤال الإحصاء. يعكس الرقم الثاني السؤال المرقم تحت عنوان "الاحصاء" في نطاق العمل. إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل تسلسل تصور حروف كل جزء بدقة.

يتطلب السؤال 1.1 أساساً جرد للمعدات من الوكالة الأميركية للتنمية الدولية- برنامج GAPTIS . وينبغي على أحد جامعي البيانات في أن يعمل بمعرفة مع موظف برنامج GAPTIS للملئ المصنوفة. إذا كان ذلك ممكناً ، وينبغي أن يبين جامع البيانات كل قطعة من المعدات المدرجة كما دخلت حيز المصنوفة . تدقيقها مقابل القائمة التي تم تجهيزها من المعدات.

وسيتطلب السؤال 1.2 أحد جامعي البيانات لتأمين قائمة باسماء الاشخاص الذين تم تدريبهم في مكتب برنامج GAPTIS . سيتم نشر هذه القائمة ويدخل المجموع حيز مصنوفة الاستبيان.

سيطلب 1.3 a السؤال من مشرف برنامج GAPTIS والجواب كما هو مسجل "بنعم" أو "كلا "

يهدف السؤال 1.3 b لتحديد المدى الذي يتوافق مع المحافظة على مستوى محافظة النجف والتي تعتبر نموذجاً لمستوى تنفيذ برنامج GAPTIS . وسوف يحضر كافة جامعي البيانات للمسح في محافظة النجف لضمان الفهم المشترك لهذا المعيار . وتبد التعليمات حول كيفية ملئ الاستبيان أعلاه . وسيقوم كل واحد واثنين من جامعي البيانات بمقابلة كادر موظفي برنامج GAPTIS حول هذه الاسئلة .

السؤال 1.4a المزمع أجابته من قبل مشرف برنامج GAPTIS . نعم أو كلا اذا كانت الاجابة الخاصة بالسؤال 1.4a بنعم ، ينبغي الذهاب للسؤال عن 1.4b

2. التأثير تبدأ هذه الاسئلة بـ 2 ، مما يدل على سؤال التأثير. يعكس الرقم الثاني السؤال المرقم تحت عنوان "تأثير" في نطاق العمل. إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل تسلسل تصور حروف كل جزء بدقة.

السؤال 2.1a المزمع أجابته من قبل مشرف برنامج GAPTIS ، إما بنعم أو كلا .
يكون السؤال 2.1 b مفتوح و يتطلب اجابات التي يجب ان يتم كتابتها وتحليلها لاحقاً.
و سيحصل جامعي البيانات على قائمة من هؤلاء المتدربين (أكثر على الأرجح نحو 2-5 GAPTIS واطلب التحدث معهم). سوف يشرع اثنين من جامعي البيانات بطرح الاسئلة 2.1 a و 2.1 b لكادر الموظفين الذين تم تدريبهم في أستبيان منفصل .

سيتم طلب الاسئلة 2.2 a و 2.2 b من مشرف برنامج GAPTIS ، الذي أجاب بنعم أو كلا . وسيطلب جامعي البيانات بالحصول على نسخة مطبوعة من التقارير الصادرة مع النظام والتي تم تقديمها رسمياً إلى وزارة المالية . وسيتم استخدامه للرد على الاسئلة 2.2c .

سيتم طلب الأسئلة 2.3 a ، 2.3b ، 2.3c من المشرف وكادر موظفي برنامج GAPTIS سيتم الرد 2.3a على مقياس I-5 . تكون الاسئلة 2.3b و 2.3c مفتوحة وستتطلب الإجابات التي يجب أن تكون مكتوبة الى الاسفل وتحليلها في وقت لاحق .

3. **الاستدامة** - تبدأ هذه الأسئلة بـ 3 ، مما يدل على سؤال الاستدامة . يعكس الرقم الثاني السؤال المرقم تحت عنوان "الاستدامة" في نطاق العمل . إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل تسلسل تصور حروف كل جزء بدقة .

يكون السؤال 3.1 a مفتوح و ستتطلب الإجابات التي يجب أن تكون مكتوبة الى الاسفل وتحليلها في وقت لاحق .

ستسأل الأسئلة 3.1 b ، 3.1c و 3.1 d من مشرفي برنامج GAPTIS وكادر الموظفين ، أجب أما بنعم أو كلا

تكون الاسئلة 3.2 e 3.1 مفتوحة التي ستتطلب أن تكون مكتوبة الى الاسفل وتحليلها في وقت لاحق .

4. **المعوقات** - تبدأ هذه الأسئلة بـ 4 ، مما يدل على سؤال المعوقات . يعكس الرقم الثاني السؤال المرقم تحت عنوان "المعوقات" في نطاق العمل . إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل تسلسل تصور حروف كل جزء بدقة .

تكون الأسئلة 4.1 a ، 4.1b ، 4.2 ، 4.3 مفتوحة وستتطلب الإجابات التي يجب أن تكون مكتوبة الى الاسفل وتحليلها في وقت لاحق .

5. **القضايا الاخرى الغير متوقعة** - و تبدأ هذه الأسئلة بـ 4 ، مما يدل على سؤال قضايا اخرى غير متوقعة . يعكس الرقم الثاني السؤال المرقم تحت عنوان "قضايا اخرى غير متوقعة" في نطاق العمل . إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل تسلسل تصور حروف كل جزء بدقة .

سيسأل السؤال 5.1 مشرف برنامج GAPTIS ، بنعم أو كلا

سيطلب السؤال 5.2 a إذا كانت الإجابة على السؤال 5.1 هو "بنعم" ، وأجبت بنعم أو كلا

سيطلب السؤال 5.2b إذا كانت الإجابة على السؤال 5.2 a هو "بكلا" . انه سؤال مفتوح ، وستتطلب الإجابات التي يجب أن تكون مكتوبة الى الاسفل وتحليلها في وقت لاحق .

سيطلب السؤال 5.3 a إذا كانت الإجابة على السؤال 5.1 هو "بنعم" وأجبت بنعم أو كلا

سيطلب السؤال 5.3b إذا كانت الإجابة على السؤال 5.3 a هو "بنعم" أنه مفتوح ، وستتطلب الإجابات التي يجب أن تكون مكتوبة الى الاسفل وتحليلها في وقت لاحق .

مسح ورقة دليل الخاضعين للاستبيان - غير المشرفين

سيتم إدارة هذا المسح المختصر لجميع كادر موظفي برنامج GAPTIS الغير مشرفين . أنه يحتوي على مجموعة من الأسئلة من أستبيان المشرف الطويل . يتم ترقيم الأسئلة لتناسب مع أستبيان المشرف ، وهذا يعني أن لتسلسل الترقيم سيكون هناك ثغرات عدة . طلب من جميع الأسئلة من كادر الموظفين غير المشرف و سيطلب من المشرفين ، وإن لم يكن طلب جميع الأسئلة من المشرفين و سيطلب من غير المشرفين .

سيتم سؤال اولين سؤالين بنعم او كلا أولاً التي لاترتبط بنظام ترقيم نطاق العمل - هل تدربت في برنامج GAPTIS ؟ ، وهل استخدمت برنامج GAPTIS ؟

أعتمد تسلسل الترقيم لما تبقى من أسئلة المسح من الأسئلة البحثية المحددة في نطاق عمل الوكالة الأميركية للتنمية الدولية من مهمة مراقبة برنامج GAPTIS (الصفحة 4 من نطاق العمل).

1. **الإحصاء** تبدأ هذه الأسئلة بـ **1** ، مما يدل على سؤال الإحصاء . يعكس الرقم الثاني السؤال المرقم تحت عنوان "الإحصاء" في نطاق العمل . إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل ت سلسل حروف كل جزء بدقة .

يهدف السؤال **1.3 b** لتحديد المدى الذي يتوافق مع المحافظة على مستوى النجف والتي تعتبر نموذجاً لمستوى تنفيذ برنامج GAPTIS . وسوف يحضر جميع العدادين المسح في النجف لضمان الفهم المشترك لهذا المعيار على ما يبدو .

التأثير تبدأ هذه الأسئلة بـ **2** ، مما يدل على سؤال التأثير . يعكس الرقم الثاني السؤال المرقم تحت عنوان "التأثير" في نطاق العمل . إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل تسلسل حروف كل جزء بدقة .

سيتم سؤال الأسئلة **2.3 a** ، **2.3 b** و **2.3 c** لكادر موظفي برنامج GAPTIS .

سيتم الرد على السؤال **2.3 a** على نطاق **1-5** .

تكون الأسئلة **2.3 c** و **2.3 b** مفتوحة ، وستتطلب الإجابات التي يجب أن تكون مكتوبة أسفل وتحليلها في وقت لاحق .

2. **الاستدامة** - تبدأ هذه الأسئلة بـ **3** ، مما يدل على سؤال الاستدامة . يعكس الرقم الثاني السؤال المرقم تحت عنوان "الاستدامة" في نطاق العمل . إذا كان لدى سؤال نطاق العمل أجزاء متعددة ، سيتم تعيين أسئلة المسح من قبل تسلسل حروف كل جزء بدقة .

ستسأل الأسئلة **3.1 b** ، **3.1 c** و **3.1 d** لكادر موظفي برنامج GAPTIS والاجابة أما بنعم أو كلا .

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