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Local Governance Program
Final Report
June 2005

RTI INTERNATIONAL

Disclaimer

Opinions expressed in this report do not necessary reflect USAID's or RTI International's opinions. They are solely those of the Local Governance Program (LGP) teams.

Acknowledgement

This LGP Final Report reflects the dedication and the good work of the hundreds of international and Iraqi professional staff deployed by the LGP. They put their lives at risk every day to restore public services, promote participatory democracy, and improve the quality of life of millions of Iraqis. The international staff contributed perspectives from 32 countries. Our thanks go to our Iraqi staff and implementing partners and to the home office staff. The dedication and sacrifices of our Iraqi staff and implementing partners was beyond the call of duty. The editorial, and information and computer technology (ICT) support provided from the home office was outstanding.

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List of Exhibits

Abbreviations List

AEDS	Arbil Economic Development Strategy
CA	Civil Affairs [Coalition Forces units]
CCLA	Community Council Liaison Activities program
CCN	Cooperating-Country Nationals
CDP	Civic Dialogue Program
CF	Coalition Forces
CIP	Capital Investment Planning
COP	Chief of Party
CPA	Coalition Provisional Authority
CPDFS	Center for Peace and Development for Federal Studies
CPT	Civic Participation Team
CSO	Civil Society Organization
DAC	District Advisory Council
DAI	Development Alternatives, Inc.
DDA	Democracy Dialogue Activity
DFID	Department for International Development [UK]
EGP	Economic Governance Program [USAID]
FMIS	Financial Management Information System
FPS	Fire and Public Safety
GCFCC	General Council for City Councils
GIS	Geographic Information System
GST	Government Support Team [Military's Civil Affairs Group]
HQ	Headquarters
ICRSS	Iraq Center for Research and Strategic Studies
ICT	Information and Computer Technology
IGC	Interim Governing Council
IMN	Iraqi Media Network [television]
ING	Iraq National Guard
IR	Intermediate Result
ISLPG	Iraq Strengthening Local and Provincial Governance [program]
IT	Information Technology
IULA	International Union of Local Government Associations [now part of UCLG]
IWLG	Iraqi Women in Local Governance initiative
KIPA	Kurdish Institute for Public Administration
KMC	Kurdistan Mapping Center
KPIC	Kurdistan Public Information Center
KRG	Kurdistan Regional Government
kV	Kilovolts [electricity; 1 kV = 1,000 volts]
LGA	local government association
LGF	Local Governance Fund
LGP	Local Governance Program
LGPO	Local Government Powers Order
LOE	Level of Effort
MMPW	Ministry of Municipalities and Public Works
MOF	Ministry of Finance
MOM	Ministry of Municipalities [KRG]
MORAC	Ministry of Relations and Cooperation [KRG]

MoSPA   Ministry of State and Provincial Affairs
NAC   Neighborhood Advisory Council
NGO   Nongovernmental Organization
ORHA   Office of Reconstruction and Humanitarian Affairs
OTI   Office of Transition Initiatives [USAID]
OYO   Option Year 1 [LGP's]
PRT   Policy Reform Team
PSD   Personal Security Detail
QOL   Quality of Life [surveys]
RO   Reverse Osmosis [water intake]
RRG   Rapid-Response Grant
RTI   Research Triangle Institute
SAB   Supreme Audit Board
SCRLGA   South Central Region Local Government Association
SO   Strategic Objective
TAL   Transitional Administrative Law
TCN   Third-Country National
TNA   Transitional National Assembly
U.S.   United States
USAID   United States Agency for International Development

Additional Terms

Amanat   Baghdad City Mayoralty
Aqdiyah (plural)   districts [*qada'*]
Bayt al Hikma   The House of Wisdom
hayy   neighborhood
nahiya   subdistrict
makhateer (plural) aldermen
mukhtar[1] *(singular)* alderman
qada' (singular)   district
Shari'ah   Islamic law
Sheikh   clan/tribal leader

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[1] In Ottoman terms, a government-appointed individual who collected taxes and enforced the law in communities within his domain.

Executive Summary

The Performance Dashboard

The USAID/Iraq Local Governance Program has met it objectives despite the difficult security environment in Iraq. It has restored access to basic public services for approximately 20 million Iraqis and has strengthened the capacity of local civil authorities to provide basic public services effectively and efficiently. It has enhanced the leadership skills of local government legislatures at subdistrict, district, and governorate levels. It has facilitated the development of civil society organizations (CSOs) and strengthened their advocacy capacities. In addition, it has raised the political awareness of citizens through Democracy Dialogue Activity (DDA) events so that citizens can participate in the political and economic development of Iraq.

Background/Program Objective

The United States Agency for International Development (USAID) Iraq Local Institutional Support and Development Program, also referred to as the Local Governance Program (LGP), implemented by RTI International,[2] began on March 25, 2003, and ended on May 9, 2005. During this period, the LGP collaborated and worked closely with the Coalition Provisional Authority (CPA), the military's Government Support Teams (GSTs), other USAID contractors, and Iraqi central and local government counterparts to improve living conditions for all Iraqis and lay a foundation for peace, democracy, freedom, and prosperity.

The LGP began work on Iraqi soil in April 2003, when Iraqi institutions had almost no capability to provide such basic services as water, sewerage, electricity, and solid-waste collection and disposal. The program carried out activities in all 18 governorates, with resident teams in 17 of the 18 governorates during the first year. As of March 1, 2004, more than 200 international personnel from 36 countries were serving in long-term assignments in the governorates or in program headquarters (HQ) in Baghdad, and approximately 2,400 Iraqi staff were directly employed by the program. Following Muqtada al-Sadr's uprising and the surge in kidnappings in April 2004, the LGP reconfigured its concept of operations for security reasons and restricted operation by international staff to four regional hub offices in Al Basrah, Al Hillah, Baghdad, and Arbil, and Tikrit with governorate offices staffed by local Iraqi professionals.

In the Base Year (Year 1), the LGP's primary focus was on restoring basic services, increasing the efficiency and effectiveness of local service delivery, developing a transparent and accountable subnational government, and developing and strengthening civil society organizations (CSOs). To this end, the LGP recruited and fielded expatriate professional city managers, utilities specialists, public administrators, public finance specialists, and civil society experts. The LGP initiated operations from four regional hub offices (Al Basrah, Al Hillah, Baghdad, and Arbil), and as the situation permitted, placed teams in each governorate.

During Option Year 1 (Year 2), the LGP's focus shifted toward facilitating Iraq's transition to a sovereign state. This change from basic services restoration to institutional capacity building was made to enable local governments to take responsibility for providing services to citizens effectively and efficiently. The change also consolidated gains made in Year 1 in citizen participation in local policymaking processes to incorporate the creation of a subnational government that is democratic, representative, responsive, and accountable. The LGP's technical assistance and training for building the service-delivery capacities of local government were augmented by intensified policy reform assistance and training to establish an enabling policy and a legal and regulatory framework for a

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[2] RTI International is a trade name of Research Triangle Institute.

subnational government that would have a fundamental political and economic role in a sovereign Iraq. In addition, the LGP's Year 1 initiatives, directed at establishing and strengthening CSOs, were restructured into an intensive democracy-building Civic Dialogue Program (CDP), so that Iraqis would be informed about and participate in national and local political processes.

Program Accomplishments

Restoring Basic Services

Early in the program, the LGP's main focus was on restoring basic services. Indeed, for the better part of Year 1, the LGP was the main USAID contractor working with local government service providers to restore access to essential public services. Small-scale repair projects and small infrastructure improvements were carried out with technical assistance from LGP staff with experience in public utility operations and city management. They completed this work via a rapid-response grant (RRG) program that funded small repairs, the purchase of spare parts, the purchase of small tools and such monitoring equipment as water quality monitoring and test equipment, and the refurbishment of facilities.

By March 31, 2004, LGP service restoration activities had provided access to basic services for large numbers of Iraqis across the country. Directly and indirectly, close to 21 million people had accessed one or more restored services: water, electricity, sewerage services, solid-waste removal, primary health care, fire safety, and education.

Increasing Service-Delivery Efficiency and Effectiveness

Throughout Year 1 and Year 2, LGP teams worked to improve the efficiency and effectiveness of local government service departments through rehabilitation and refurbishment of office facilities to restore operations and through workshops, on-the-job training, formal seminars, study tours, and individual day-to-day interactions. These efforts focused on bringing contemporary city management tools and techniques to Iraqi technical personnel, who were generally well trained in their technical/professional specialties, but had little exposure to modern public-sector management methods and were unaccustomed to notions of customer satisfaction and public accountability.

The LGP provided technical assistance to local government departments to build and enhance their capacity to plan, budget, implement, and manage service-delivery programs. Department personnel were trained in expenditure forecasting (historically, budgets had been set at the central level and simply handed to local department heads), current expenditure budgeting, capital budgeting, performance measurement, and customer satisfaction surveys. In addition, the LGP provided technical assistance, training, and RRGs for development, installation, and use of computerized accounting and financial management systems. The LGP's service-delivery, capacity-building initiatives were informed by a local department assessment survey that was first piloted in Al Basrah in July 2003 and later extended to cover key institutions in all governorates, excluding the Kurdish governorates of Arbil, Dahuk, and As Sulaymaniyah.[3]

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[3] USAID/Iraq Local Governance Program, Government Departments/Directorates Organizational Assessment Report: The Public Utilities, November 2004.

Fiscal and Administrative Democratic Decentralization and Intergovernmental Relations

Recognizing that local governments were operating without an enabling legal framework, and in an effort to resolve the funding bottlenecks created by central government ministries in Baghdad, the LGP began to address the issue of decentralization as early as October 2003. At first, the LGP created a small Policy Reform Team (PRT) that was supported by short-term consultants; later the team was expanded to include long-term expatriate experts. The LGP developed several policy papers on decentralized local governance and presented them to the CPA Governance Group through USAID.[4] Examples from countries that have effectively carried out administrative and fiscal decentralization were provided to present different options for decentralization. The LGP also collaborated with the USAID/Iraq Economic Governance Program, implemented by BearingPoint, beginning in October 2003. In addition, plans were made for LGP policy advisors to work with the CPA Group. This did not occur, although weekly consultative meetings were conducted.

After the drafting of the CPA's Transitional Administrative Law (TAL) in December 2003, the LGP was urged to engage in the policy reform dialogue. Soon thereafter, in February 2004, the LGP collaborated with the Ministry of Municipalities and Public Works (MMPW) and USAID's Economic Governance Program (EGP), implemented by BearingPoint, to organize and host a national Fiscal and Administrative Decentralization Conference. This conference was chaired by Minister Nasreen Barwari, with Iraqi and international speakers presenting. More than 200 people from the governorates and central ministries attended this groundbreaking conference. Following this very successful outcome, a series of regional conferences were held in Al Basrah, Arbil, and Al Hillah.

In Year 2, the LGP continued working with the MMPW, which resulted in an agreement to set up a pilot decentralization program at selected localities. Simultaneously, the LGP initiated the Local Government Association (LGA) initiative to create a stakeholder-based advocacy group. A series of regional conferences were held to raise awareness and galvanize local government officials to join together to create a united and strong voice that advocates enabling policy and a legal and regulatory framework. A significant national conference on LGAs was hosted jointly with the Ministry of State and Provincial Affairs (MoSPA) in March 2005. Local governments have now begun forming associations to share their ideas and assets in an effort to better serve their constituents.

Transparent and Accountable Local Government System

The LGP has focused on such primary local political institutions as the governorate, district, subdistrict, and neighborhood councils. The LGP worked with the CPA and the military's GSTs to establish representative councils across Iraq from the neighborhood to the governorate level. By March 25, 2004, the LGP had facilitated the formation of, or worked with, 445 neighborhood (*hayy*), 194 subdistrict (*nahiya*), 90 district (*qada'*), and 16 governorate councils.

The council formation process varied considerably across Iraq, depending on the degree of stability and the conditions at the end of the formal conflict. In Baghdad, working with military civil affairs and CPA civilian staff, the LGP formed 88 neighborhood councils using a form of "town meeting," in which citizens were invited to two or three neighborhood meetings. At the second or third meeting, individuals wishing to serve on a neighborhood council came forth, made brief "campaign" speeches, and then were elected by way of secret ballot by those present. Neighborhood

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[4] From a memo to Ms. Judy van Rest, CPA Governance, dated November 1, 2003, and titled: "Framework for decentralization: the national view," with attachments of examples from countries that have implemented decentralization reforms.

councils then selected a subset of their members to represent the neighborhood in a district council (districts in Baghdad are similar to New York City boroughs). The nine district councils then selected representatives to the city council. By July 2003, the full neighborhood, district, and city councils had been formed in Baghdad. Later, the LGP worked to establish local councils in outlying small towns and districts, which then selected representatives who would form the regional and provincial councils for Baghdad Governorate. This work was completed by January 2004, culminating in the selection/election of a governor, two deputy governors, and the mayor of Baghdad.

The LGP was also active in the formation of councils, ranging from those representing relatively small population segments in neighborhoods or rural villages to entire governorates, such as Diyala, At Ta'mim, and Salah Ad Din, and others in the South Central and South regions. In many governorates, the LGP renovated and furnished government buildings to provide a functioning work space for the councils and provided technical assistance and training to enhance the councils' leadership capacity. Between Year 1 and Year 2, close to 20,000 council members were trained on council roles and responsibilities, council oversight of executive departments, and citizen outreach. In some governorates, councils were also trained on participatory planning and budgeting. The January 30, 2005, election, however, resulted in the almost complete turnover of governorate councils. Elections for *qada'* and *nahiya* councils are yet to be announced. During this interim period, the LGP also produced several training materials for council training.

CSO Assistance

To promote civil society development, the LGP worked with existing and newly formed citizen groups. The LGP focused on creating a context of civil society by improving the ability of subnational institutions to deliver services to the people and by forming or strengthening CSOs to hold local government officials accountable for their performance and actions. In addition, the LGP helped individuals to identify others with common interests and to form associations for professionals, youth, women, disabled veterans, and other interest groups. LGP assistance to these groups mainly focused on how the groups could monitor the actions of, articulate the needs of, and assist local government as partners to achieve common goals. An assessment conducted between January and March 2004 indicated that a large number of CSOs had formed since April 2003, and many needed various types of technical assistance, training, and material assistance to keep them viable.[5] Among the most successful were the women's associations that LGP supported. These groups succeeded in defeating Resolution 137 concerning the imposition of Islamic law or *Shari'ah* and helped establish a 25 percent quota for the representation of women in the Transitional National Assembly (TNA).

Informed and Engaged Citizenry

In Year 2, the focus on civil society development shifted to political awareness campaigns for citizens through the CDP/Democracy Dialogue Activity (DDA) events. The CDP/DDA events first focused on familiarizing citizens with the elements of the TAL and, subsequently, worked toward creating an informed citizenry that is engaged and participates in national and local political processes. A total of 22,000 CDP/DDA events were held all across Iraq, and more than 750,000 Iraqis participated in these events.[6] The success and effectiveness of this CDP/DDA initiative was confirmed by the large turnout for the January 30, 2005, election.

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[5] USAID/Iraq Local Governance Program, Civil Society Organizations (CSOs) in Iraq: Findings from an Assessment of Civil Society Organizations in Iraq, July 2004.
[6] USAID/Iraq Local Governance Program, Civic Dialogue Program Performance Assessment, November 2004.

Rapid-Response Grants (RRGs)

By March 30, 2005, 224 RRGs—with a total value of $15.7 million for Year 1 and $1.6 million for Year 2 of LGP—were received and approved by USAID.[7] Of these total, 213 were approved in Year 1 and the remainder in Year 2. Of the total number of approved grants, 196 were successfully completed, 6 remained incomplete, and 22 were canceled due to an inability to implement as a result of repeated insurgent attacks.[8]

LGP used RRGs to "jump-start" local civil administrations' ability to restore essential services by rehabilitating and refurbishing offices, so that these civil administrations could restore operations and provide adequate, functional workspace for their staff. Additionally, the use of RRGs facilitated citizen participation in local political processes, by providing local councils with rehabilitated and furnished work and meeting places, and strengthening the capacities of CSOs. RRGs were also used to give legitimacy to Coalition Forces (CF)- and CPA-appointed or selected governors, mayors, and council members by enabling them to be responsive to citizens' needs. All grantees were subnational government institutions or LGP-recognized CSOs.

RRGs were distributed across many sectors, including civil society, local government (rehabilitation of council buildings or directorate offices), education, health, electricity, water, sanitation, and sewerage. Grants were also used to fund initiatives that promoted local economic development, such as the renovation or construction of open markets, office buildings, and center city parks. Such activities also generated revenue for local government, who were able to lease space and collect fees from merchants that used the renovated open markets. In some localities, for example in Ad Diwaniyah, the local government renovated an office building that it owned and then rented out the ground floor to merchants and retailers and the upper floors to professional service providers.

Working with the Military

As early as April 2003, the LGP began working very closely with the coalition military. As governorates were declared "permissive," LGP advance teams moved to lay the groundwork for program operations. The LGP forged early working relationships with the U.S. Forces in Baghdad and the British forces in Al Basrah, then with U.S. forces in the South Central and North regions. LGP teams met with staff from the coalition military, the Office of Reconstruction and Humanitarian Affairs (ORHA), and USAID in the course of start-up activities. In addition to the basic logistics of start–up, the LGP teams faced the key task of clarification of roles, responsibilities, and working relationships. To this end, the LGP team conducted briefings with senior CPA civilian and military leadership to explain the program and its relationship to the CPA, the State Department, and USAID, and to clarify expectations regarding LGP's scope and level of effort (LOE). As the LGP set up additional field offices later on, these conversations were repeated with the respective field commanders.

The LGP teams built on their established close links with the military, connected with the GSTs, and obtained whatever assessments and insights the GSTs could provide. The military also provided life–support until the teams established their own residences and offices. In addition, the military provided force protection and ensured that there were no lapses or reversals in the participatory democratic processes that the LGP was working to create and nurture.

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[7] USAID/Iraq Local Governance Program, Rapid-Response Grants, Final Report, April 2005.
[8] USAID/Iraq Local Governance Program, Rapid-Response Grants, Final Report, March 30, 2005.

As indicated above, the military had formed local councils to serve as communication conduits between the coalition forces and Iraqi citizens. In some cases, the military requested LGP assistance in organizing the selection of council members. The formation process followed by the military was not uniform across the country, and membership selection criteria were ad hoc and rarely transparent. Success with these councils varied. Some councils functioned quite well; however, when military commanders were dissatisfied with those members (for a variety of reasons, e.g., corruption, revelation of Ba'athist connections, or complaints from other citizens) they had initially selected, they dissolved councils and put new ones in place.

The LGP worked with the military in identifying where council refreshment was needed and in approaching communities that did not yet have councils. The LGP then assisted in establishing councils in those communities still without council representation. In addition, the LGP negotiated an arrangement with the military for the creation of an unintimidating space for a free exchange of views and opinions among council members. The presence of armed soldiers during council deliberations did not provide such a space. Consequently, LGP staff discussed the problem with the military and reached consensus on the benefits of (a) a reduced military profile at council meetings and (b) transferring council support functions to the LGP. In most governorates, though not in all, the military subsequently transferred council capacity building and related work to the LGP.

LGP Accomplishments during the Extension Period (March 30 to May 9, 2005)

As summarized in Annex 1, during the 45-daysextension period, the LGP focused on (a) policy reform support for administrative and fiscal decentralization and (b) the training of newly elected governorate councils across Iraq. To promote decentralized local governance, the LGP worked with the MMPW to assist in the drafting of a Ministerial Order for the devolution of specific urban services to local governments at pilot locations.

Working with the MoSPA, the Governor of Al Basrah, and the Center for Peace and Development for Federal Studies (CPDFS), LGP organized and conducted a 1-day Regional Conference on Federalism and Decentralization in Al Basrah on April 28, 2005. In addition to a presentation on Local Government Associations at this conference, the LGP also conducted regional conferences on Local Government Associations in Al Hillah and Kirkuk. The LGA conference in Al Hillah resulted in the spontaneous formation of the South Central Region Local Government Association (SCRLGA) to give collective voice to all the South Central local governments in demanding an enabling legal and constitutional framework for local governance, and to serve as a central source of technical assistance and training.

During the extension, the LGP also focused heavily on council training. In total, the LGP trained approximately 507 governorate council members from all across Iraq, of which 136 were women. The LGP council training material was prepared in three languages—English, Arabic, and Kurdish— and distributed to all government council members via CD ROMs. The LGP's Council Training Modules covered several topics that included

- Local Council Authorities

- Meeting Procedures

- Code of Conduct,

- Governorate Councils and Executives Duties

- Transparency and Team Work

- Council Procedures and Functions

- Citizen Participation

- Legislative Oversight

- Budgeting

- Decentralization

Sustainability of Effort

The key objectives of LGP were to create local democratic decision-making processes and to strengthen the capacity of local civil administrations so that they can deliver basic public services in the postconflict environment. One goal of the program was to ensure that these capacity-building efforts of LGP continue through local Iraqi institutions and professionals. To this end, LGP has:

- Worked with local think tanks and universities to build their capacity to deliver technical assistance, research, and training services to subnational governmental institutions. For example, the LGP has worked with the universities of Babil, Baghdad, Al Mawsil, Al Basrah, Salahaddin (in Arbil), and Salah Ad Din.

- Recruited, hired, and trained Iraqi professional staff to deliver LGP technical assistance and training to subnational governmental institutions. For example, by March 25, 2004, the LGP had 350 senior Iraqi professionals on its program staff. Past events attest to the fact that this strategy was successful: when the LGP temporarily relocated its international program staff from across the country to safe havens, program activities were carried out—without interruption—by the Iraqi professional staff who remained.

- Trained a cadre of trainers-of-trainers selected from subnational governmental institutions to spread the knowledge and skills transferred to them by the LGP. For example, the LGP has trained more than 195 trainers-of-trainers for the *Amanat* in Baghdad, as well as in the cities of Al Basrah, Al Hillah, Kirkuk, Arbil, Al Mawsil, and Tikrit. In addition, it had hired and trained more than 550 Iraqi CDP/DDA facilitators.

Program Constraints and Limitations

A very brief calm followed the fall of Saddam Hussein's government in March 2003, but by mid-April, the security situation began to deteriorate across the country. This situation hampered and slowed down the recruitment of expatriate professionals. As a result, the LGP did not reach its targeted staffing level until the beginning of December 2003.

In addition, the security situation restricted the teams' movement partly due to a shortage of armored vehicles. Threat assessments had also locked down teams in their residences. Lockdowns became more frequent beginning in November 2003. Because nearly all program activities benefit from frequent interaction with counterparts and field visits, these security circumstances slowed program momentum overall.

Following Muqtada al-Sadr's uprising in April 2004, violence ensued that had devastating effects on LGP's staff deployment and program activities. In many governorates, LGP residences were abandoned and international staff had to be regrouped in hub offices in the cities of Al Basrah, Al Hillah, Baghdad, and Arbil. Movements of the international staff were also severely curtailed.

In some cases, LGP activities were unevenly implemented across governorates. For example, CSO activities in one area differed significantly from those in another. Some areas focused on the development of neighborhood advisory councils (NACs), while others did not. This was partly because of the unique combination of influences on LGP teams coming from the CPA governorate coordinators, regional military brigade commanders, and GSTs.

Finally, the addition of the unexpected work, the Civic Dialogue Program, and changing USAID priorities resulted in shifting resources around. In addition, the decrease in USAID funding for Year 2 resulted in large staff turnovers and reductions.

Lessons Learned and Best Practices

Lessons gleaned from the LGP's two-year experience, include the following:

Restoration of Basic Public Services

Success through cooperation and collaboration

The LGP's essential-services restoration experience confirms a key lesson of other postconflict, capacity-building efforts: the success of such efforts requires strong cooperation and coordination with the military and other donors' programs. Early coordination with the military and other contractors helped the LGP to fill its knowledge gap regarding the status of essential services in the region and the entities involved. Collaboration with other groups helped to leverage LGP resources and to identify and coordinate larger scale infrastructure repairs and replacements.

Sustained service delivery through engagement of local civil service staff

The LGP, particularly in the early days of the program, relied heavily on the knowledge and skills of the local civil service staff, in lieu of a full-fledged diagnostic assessment of the status of essential needs and services. The LGP also found that local civil servants were well educated, skilled, and motivated; concerned about the need to restore services quickly; and willing to work closely with the LGP. However, they needed simple instructions, a few tools, and other resources to restore services. Significant service-delivery improvements were achieved once the Iraqi counterparts, most of whom were technically competent, were provided with technical assistance and RRGs to purchase and use spare parts and small tools.

Sustained technical service delivery through reliance on local talent

Iraq has a large number of trained and educated cadres of engineers. Many of these professionals previously worked in state-owned enterprises or in the private sector. Involving the private sector in essential-services restoration efforts not only augmented the skills of service-delivery departments but also created employment opportunities for many Iraqis. More importantly, these Iraqis complemented the LGP's staff and carried out technical assistance when the expatriate staff was locked down as the security situation deteriorated.

Credibility through accountability and transparency

In a country that is alleged to have a long history of corruption, government accountability and transparency at the local level are essential in order for citizens to support and work with the local government officials and local councils. The LGP's introduction of accountability and transparency early in the services-restoration process appears to have given credibility to local service-delivery departments and strengthened the legitimacy of local officials.

Quick restoration of services through rapid-response grants

The RRG element of the LGP was vital in restoring basic services and in building the capacities of service-delivery departments. RRGs provided small tools, personal protective gear, and supplies. They also offered the LGP the flexibility to support service delivery and capacity building for local service-delivery departments, while helping the LGP to establish strong working relationships with the local government departments.

Working with Local Councils

Council member selection

Because of the urgency to get councils established in place and functioning, the vetting of candidates was necessarily hurried. Later, this haste undermined the perceived legitimacy of council members. It was difficult to sort out the status of Ba'athist Party members, because party membership had been mandatory for almost all types of professional positions. The CF and LGP staff were forced to rely on ad hoc assessments of who had been a "good" or a "bad" party member. The council refreshment process, put in place by the CPA in lieu of direct elections, sought to retrofit councils with more popularly selected members and to avert Iraqi criticism of council formation.

Building trust

Intervening in local neighborhoods required trust and cultural sensitivity. LGP Iraqi council facilitators—who spoke the local language, understood the culture, and shared Iraqi concerns regarding the rebuilding of their communities and their country—were key to the LGP's progress in council formation. The LGP's reliance on Iraqi local staff and expatriates, with their in-depth experience in and knowledge of the Middle East and Iraq, was a critical success factor. It was influential in dispelling the popular suspicion regarding the motives of LGP staff and of the U.S.-led intervention in Iraq.

Council resources

The absence of resources and budgets for the councils contributed to citizens' perceptions that councils were ineffective or lacked legitimacy. Channeling reconstruction funds through local councils to help employ the people in the communities could have counteracted this perception and, in the opinion of some observers, lessened the chances of insurgency, particularly in the poorer neighborhoods.

Increasing Women's Participation

Leadership training and mentoring

After receiving leadership training and subsequent mentoring, women who had previously lacked courage and self-confidence suddenly became strong activists for gender equality. They presented themselves in front of male-dominated councils and effectively argued the reasons they

should be selected as members of the council. They articulated their visions and stated what they would contribute to their community and their country. As a result, during the January 30, 2005, elections, 87 women were elected to the 275-member National Assembly, comprising one-third of this governmental body. In addition, approximately 20 percent of the newly elected governorate council members are women. This is a significant achievement, attesting to the effectiveness of the LGP's strategy.

Participation in national and regional conferences

Women held conferences in Baghdad, Al Basrah, Kirkuk, As Sulaymaniyah, and Salah Ad Din that assembled participants from all across Iraq and demonstrated the increasing self-confidence and participation. Each subsequent conference attracted more participants and included more vocal and assertive women. Increasing numbers of women declared their readiness to serve on local councils and committees. These conferences also brought together women from parts of the country that had previously been separated under Saddam Hussein's regime and allowed these women to share experiences and learn from one another.

Women working with women

One of the lessons learned from early in the program was that Iraqi cultural norms, for the most part, dictated that only female staff could work effectively with women in Iraq. The Iraqi Women in Local Governance (IWLG) initiative's hiring of international staff of Iraqi origin and a cadre of female local staff was significant in broadening and deepening the reach of the initiative in all regions of Iraq. IWLG female staff served as both role models and mentors. Others inspired program participants by sharing experiences from other societies.

Service-Delivery Capacity Building

Targeting to respond to specific capacity needs

The LGP's success in responding to specific capacity needs can be attributed to three factors:

1. the grounding of technical assistance and training programs on needs assessment surveys and dialogue with local officials, which helped the team understand the state of affairs on site and identify specific areas of assistance;

2. the use of experienced local professionals to deliver the technical assistance and training, which closed the language, trust, and cultural gaps, and ensured long-term sustainability; and

3. the use of study tours abroad to expand the experience of local officials and their staff, as well as that of the LGP's national staff.

Regarding this latter factor, regional and international study tours, which exposed public officials and staff to cutting-edge technologies and best practices, were particularly effective in expanding the views of local officials—enhancing their skills, effectiveness, and enthusiasm for change. This was especially beneficial for participants from a country where access to international experience was closed for more than three decades, as was evident with officials and managers from both the Al Basrah Governorate and Baghdad Mayoralty *(Amanat),* who participated in study tours to the United States, Egypt, Jordan, and the Philippines.

Early provision of resources to governorate institutions

Providing resources as early as possible in the postconflict period empowered and encouraged local officials and civil service departments to be proactive in restoring operations

and service delivery as evidenced everywhere in Iraq that the LGP was active. The LGP provided RRGs, and the CPA provided the Local Governance Fund (LGF) and other resources. The military also provided resources out of military and seized-asset funds. By contrast, central ministry officials created funding bottlenecks, which greatly disappointed local government officials because it constrained their capacity to deliver services to the local population.

Working with the Military

Mutual understanding of military and civilian objectives and mandates

In postconflict reconstruction settings, the military and civilian agencies have different but mutually dependent objectives. Clearly, better advance planning for postcombat Iraq would have facilitated the restoration of peace and stability more quickly than was the actual experience on the ground. The unanticipated extent of the postwar looting and infrastructure damage exacerbated reconstruction challenges. All actors acutely felt the pressure to take action. In the process, there were conflicting messages, misunderstandings, and funding bottlenecks. From the beginning, it is important to establish objectives and scope, communicate these to all actors, and clarify and communicate the resources each actor can contribute. Not all objectives need to be the same; however, areas of overlap and interdependency should be clearly identified.

Part I: Technical Report

Overview

The LGP began work in Iraq in April 2003, when Iraqi institutions lacked the capability to provide such basic services as water, sewerage, electricity, and solid-waste collection and disposal. As governorates were declared "permissive"[9] by the CF, the LGP began work in each governorate (province), first through LGP staff deployed to four regional hubs (Al Basrah, Al Hillah, Arbil, and Baghdad) and, subsequently, through the presence of full-time resident staff in each governorate. The program conducted activities in all 18 governorates, with resident teams in 17 of them. As of March 31, 2004, more than 200 international staff from 36 countries were serving in long-term assignments in the governorates or in LGP HQ in Baghdad, and approximately 2,400 Iraqi national staff were employed by the program in various categories.

Because of security concerns during Year 2 (Option Year 1) of the program, the expatriate staff resided in and worked out of four regional hub offices. However, LGP offices in the governorates remained open, and Iraqi professional staff—mentored and assisted by their expatriate colleagues—continued to deliver LGP's technical assistance and training to local government officials, council members, and staff in various technical areas. Over the life of the program, the LGP team members worked on (1) restoring basic public services, (2) building local government service-delivery capacity, (3) establishing or developing local councils, (4) strengthening CSOs, (5) offering democratic decentralization policy reform advice, and (6) facilitating civic dialogue among Iraqis.

Context at the Onset of the LGP

Prior to the overthrow of Saddam Hussein's government in March 2003, the government in Iraq was highly centralized, with all subnational government entities established by and accountable to the government in Baghdad. Since establishment of the no-fly zone following the First Persian Gulf War, the three northern governorates (Arbil, Dahuk, and As Sulaymaniyah) located above the "Green Line"[10] had been relatively autonomous from the rest of Iraq, controlled by the previous regime. In the other 15 governorates, governors were appointed by the central government, and larger cities and towns had centrally appointed executive leadership. All local government employees were actually employees of the central government.

An "executive council" had also existed at the governorate level and in the larger towns and cities. This executive council consisted of municipal and social services department heads, Ba'ath party appointees, and individuals appointed directly by the Head of State (for Baghdad and a few other large cities). An equivalent to a citizen-selected representative council was nonexistent. There were community groups that performed a variety of social and party-approved functions, but they were strictly prohibited from any semblance of political activity, such as representing various groups to local government.

The central government determined and planned the level of municipal and social services, independent of citizens' needs and priorities. Moreover, access to services was determined administratively, with some sectors of the population denied services because of the political disposition of their community leaders or because of the population's resistance to unpopular Ba'ath Party policies. Local authorities and the civil service staff existed only to implement central

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[9] "Permissive" means that the CF determined security conditions to be calm enough to allow civilian contractors activities.
[10] Denotes the no-fly zone boundary, established after the First Persian Gulf War in 1991 and ending with the Second Persian Gulf War in 2003, which separated the Kurdish autonomous region from the rest of Iraq.

government plans and policies; they were restricted from taking initiatives on their own. Economic, political, and social freedoms and rights were very few, and the private sector was overshadowed by state-owned enterprises.

In addition, the extensive sabotage and looting that followed the war incapacitated local service-delivery departments and ruined or destroyed most of their assets. These conditions—coupled with the effects of the 7 years of war with Iran that began in 1980, two U.S.-led wars (Desert Storm and Iraqi Freedom), 10 years of economic embargo, and decades of governmental economic mismanagement and neglect—left Iraq's public services infrastructure in shambles.

Immediately after the formal conflict was declared over in March 2003, the CPA dismissed all the governors, mayors, and senior Ba'ath Party members from their government posts. The dismissals created a significant administrative and managerial vacuum. Local departments of central ministries were left without leadership or, at best, with technical personnel who had no previous managerial experience, yet were promoted to head these offices. The dismissal also extended to teachers and healthcare professionals.

Furthermore, these governorate-level and local government managers were afraid to take the initiative to restore services because of the legacy of central planning and controls that had remained in place from the previous regime. They were not accustomed to having private-sector partners in service delivery or to conducting open, competitive tendering for services. Many were also young and in-experienced.

Because of the war, local government employees had not been paid salaries since January or February 2003. Also, for at least the first 6 months following the end of formal hostilities, the local market had only a limited capacity to provide any imported spare parts and tools needed for the repair of electric generators, power stations, substations, water pumps, water-treatment plants, and solid-waste removal equipment.

Consequently, postconflict Iraq had a weak local civil administration: the local civil service had little experience in decision-making, the government was generally corrupt, and the legacy of decades of central government control and intimidation of local officials had conditioned these officials and the civil service to avoid taking any initiative. Within this context, the LGP began working in Iraq to address the insufficiency of services, the lack of capacity or any degree of local control over public services and local political institutions, and citizens' and civil organizations' lack of experience in holding government accountable. A legal and constitutional framework for an empowered participatory democratic local administration was also lacking.

Central ministry officials who were not willing to relinquish their control over local government decision making hampered the LGP's efforts, however. The central ministries' objectives conflicted with those of the newly appointed local authorities. Increasingly, the newly reestablished ministries began to block local initiative by creating funding bottlenecks in Baghdad. For example, for the 6 months beginning with April 2003, allocated budgets for spare parts and other nonsalary operating expenses were not disbursed to the governorates.

Focus and Goals of the LGP

The LGP was created to address many of the difficulties afflicting Iraqi society. During the early phase of implementation, the LGP's focus was on restoring basic public services, while at the same time working on the following objectives:

- Building capacity of Iraqi local government institutions to provide basic services to citizens effectively, efficiently, and sustainably;

- Developing a system of local government, including new political institutions that are representative, responsive, transparent in their operations and decision making, and accountable to the local population; and

- Developing and strengthening CSOs to become advocates for local government performance, to find a voice, and begin to influence the emerging political system.

The overall goal of LGP activities in Year 1 was to help establish a local government structure that would serve citizens well, that citizens would value, and within which citizens would play a role. In Year 2 of the program, the focus was on building efficient, transparent, and accountable subnational governments that consolidated Iraq's transition to sovereignty. Thus, the LGP concentrated efforts on the following:

- Assisting subnational governments to become more functional, effective, and efficient;

- Assisting subnational governments to become more democratic, representative, responsive, and accountable to citizens;

- Facilitating the development of a policy framework that enabled subnational governments to have a fundamental political and economic role in a sovereign Iraq; and

- Ensuring that Iraqi citizens understand participatory democracy and engage and participate effectively in national and local political processes.

Implementation Strategy

On March 26, 2003, at the beginning of the LGP, it was physically and programmatically impossible to start with a full complement of staff. On that date, no part of Iraq was permissive; in fact, most of the country remained nonpermissive until the end of June. The governorates in the Sunni Triangle remained nonpermissive until September/October of 2003.

In mid-April 2003, the LGP established a program office in Kuwait to facilitate interaction with USAID, also based in Kuwait. The LGP drafted an implementation plan, presented it to USAID, and began aggressively recruiting staff with expertise in city management, utilities, public administration, public finance, and civil society development. As these staff arrived in Kuwait, they received orientation on the security situation in Iraq and on LGP's scope of work, program objectives, and strategy. At the same time, during May 2003, LGP devised the regional hub concept of operation.

Staffs were deployed in hub offices[11] to support the governorates in their region and establish a residence as these governorates became permissive. In late April, the LGP had begun work in Baghdad and, by mid-May, had deployed a small team to Al Basrah and Al Hillah. By the end of May, it had fielded another small team in Arbil.

> **LGP Toolkit:**
> – *Advice and mentoring*
> – *Targeted technical assistance and training*
> – *Policy analysis and dialogue*
> – *Public awareness campaigns*
> – *Rapid-response grants*
> – *Coordination, collaboration, partnering with, brokering and linking local institutions with other U.S.-Government and non-U.S.-Government resources*

During this expansion period, the LGP was aggressively developing a variety of tools for effective implementation of the program. Technical assistance and training packages were being developed. RRG application procedures and tracking systems were put in place. Public awareness campaign programs and brochures were also being prepared. At first, the LGP staff began attending coordination meetings in Kuwait; later, they met, coordinated, and collaborated with the other U.S. government contractors in Baghdad and in the governorates.

In the initial months, LGP teams worked very closely with the military's civil affairs GSTs and were supported by the CF and later by the CPA until teams were able to establish their own residences. From the hub offices, LGP teams made numerous visits to the capital cities of the governorates in each region, meeting with GSTs and local government officials in order to introduce themselves and LGP activities, to assess the immediate needs of the governorate, and to determine where assistance might have the greatest impact.

The LGP teams connected with the military GSTs and obtained whatever assessments and insights the GSTs could provide. Initially, the LGP worked side-by-side with the military's GSTs in the training and strengthening of local councils and service restoration. As mentioned previously, the military had formed local councils to serve as communication conduits between the coalition forces and Iraqi citizens. In some cases, the military requested LGP assistance in organizing the selection of council members. The formation process followed by the military was not uniform across the country, and membership selection criteria were ad hoc and rarely transparent. Success with these councils varied. Some councils functioned quite well; however, when military commanders were dissatisfied with those members (for a variety of reasons, e.g., corruption, revelation of Ba'athist connections, or complaints from other citizens) they had initially selected, they dissolved councils and put new ones in place.

Many of these early councils that the military had established were neither recognized by ORHA nor by the CPA. They did not benefit from the trust and respect from the local population. For the most part, the military's objectives for council formation had been security related and not necessarily oriented toward fostering participatory democracy. From the perspective of the local population, the legitimacy of these councils was questionable. In November 2003, the CPA issued directives to (a) reconstitute or "refresh" existing councils by replacing some of their members with newly selected individuals based on a transparent, open, and a fair process; and (b) expand the number of councils using the new process to increase participation of unrepresented groups, such as women and minority tribal groups. The LGP was charged with these tasks and worked with the military in identifying where refreshment was needed and in approaching communities that did not

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[11] The Al Basrah (South) regional hub office served Al Basrah, Dhi Qar, Al Muthanna, and Maysan; the Al Hillah (South Central) regional hub office served Babil, An Najaf, Al Qadisiyah, Karbala, and Wasit; the Baghdad (Central) regional office served Baghdad, Diyala, Al Anbar, and Salah Ad Din; and the Arbil (North) regional hub office served Ninawa, At Ta'mim, Arbil, Dahuk, and As Sulaymaniyah.

yet have councils. The LGP then assisted in establishing councils in those communities still without council representation.

The military perceived the councils that they had set up and supported primarily as mechanisms to help them achieve their immediate postcombat stabilization objectives and secondarily as instruments for creating a democratic infrastructure. Military commanders generally set council agendas and chaired council meetings. Usually, uniformed and armed GST members were present during council meetings. In some cases, council members felt intimidated and did not feel comfortable expressing their views. Thus, while military control of councils served the military's needs, it did little to foster participatory democratic governance practices among council members, who were intended to be contributors to the CPA's nation-building effort.

The LGP staff discussed the problem with the military and reached consensus on the benefits of (a) a reduced military profile at council meetings and (b) transferring council support functions to the LGP. In most governorates, though not in all, the military subsequently transferred council capacity building and related work to the LGP. The transfer process tended to be gradual. In At-Ta'mim, for example, the LGP team leaders were first asked to cochair these meetings with the military commanders. Later, the LGP team leaders were asked to chair the meetings with the military commanders sitting as observers. Next, the military commanders' attendance was reduced to intermittent visits. Finally, military personnel stopped coming to council meetings, and the council meetings were conducted by the Iraqis, with the LGP providing technical assistance and training. This transfer strategy served very well in that council work was handed over to the LGP in a progressive and relatively seamless manner.

By June 2003, the LGP's deployment master plan had been tentatively laid out, projecting an expatriate staff deployment of approximately 100 professionals by September 1. In August 2003, Ambassador Bremer, through USAID, mandated an expedited preparation and deployment schedule, which included milestones for deployment at the end of September and October—ultimately reaching 200 expatriate staff by the end of November. In addition, RTI's proposed methodology for achieving the target LOE for the contract was approved in an amendment to the USAID contract. This amendment specified a mix of expatriate staff—U.S. personnel and third-country nationals (TCNs)—and senior professional cooperating-country national (CCN) staff. By the end of December 2003, LGP teams had established residences in 18 governorates and worked out of 4 regional and 18 governorate offices.

During the Muqtada al-Sadr uprising in April and May 2004, the LGP moved most of its expatriate staff to safety in Kuwait; later, when the security situation permitted, staff returned to the four regional hub offices. This temporary move was necessary to protect international staff from the escalating insurgency in all regions of the country. However, during this time, the governorate LGP offices remained open and operational with the help of Iraqi local professional staff who provided technical assistance and training to the LGP's local government counterparts.

As shown in Exhibit 1 below, LGP teams began working from the four hub offices in May 2003—in the early part of Year 1. Then in June 2003, LGP teams began to establish residences and offices in those governorates declared permissive. After June 2004, the LGP regrouped into the four hub offices but continued to operate in Tikrit and Dahuk governorates.

Exhibit 1: LGP Resident Expatriate Staff Deployment
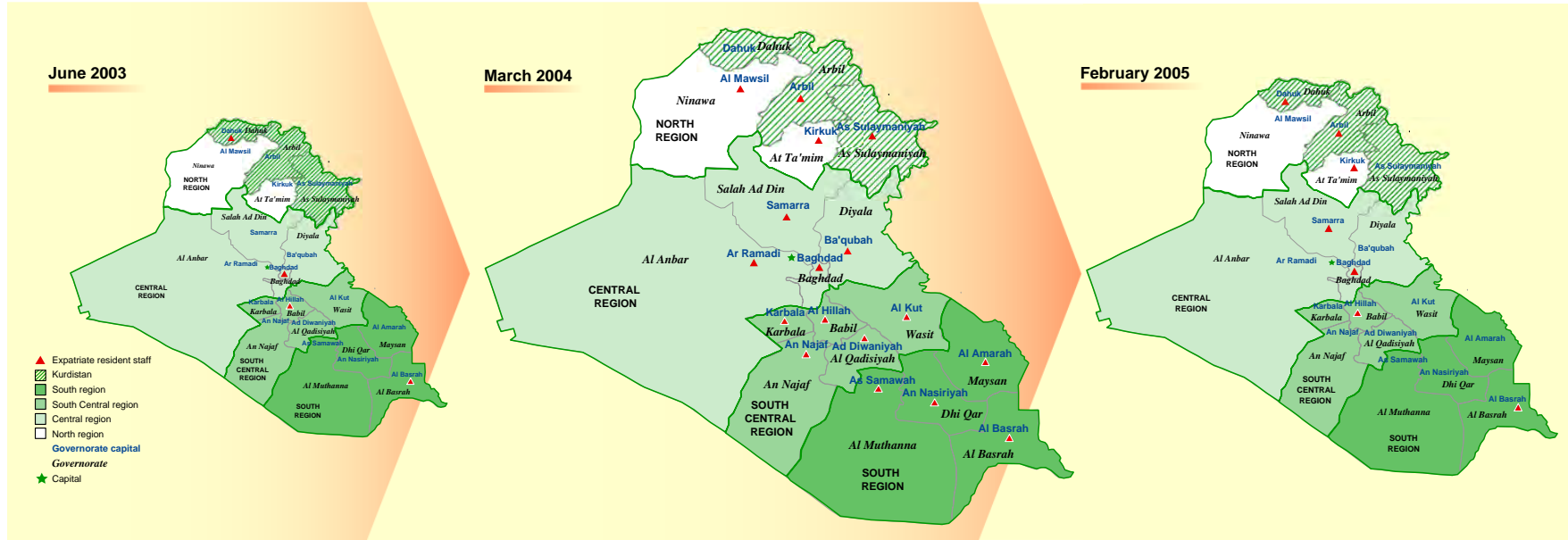
By the end of December 2003, the LGP had approximately 230 expatriate staff and approximately 1,900 Iraqi staff deployed in Iraq and working out of 4 regional and 18 governorate offices. About 350 Iraqi staff were classified as senior professional/technical (social scientist, information technology [IT] specialist, etc.), and approximately 400 Iraqi staff were classified as junior/midlevel professionals. Security guards comprised the largest single classification of Iraqi national staff. In February 2004, the LGP began hiring dedicated Iraqi national staff for the CDP/DDA events that were implemented through November 2004. Approximately 550 Iraqis were recruited, trained, and hired to accomplish these events.

After a rapid staff buildup during October through December 2003, LGP was forced to reduce its staffing level as a result of decreased funding for Year 2. As shown in Exhibit 2, by February 2005, the expatriate professional staffing and Iraqi staffing had leveled off to 35 and 880, respectively.

Exhibit 2: LGP Deployment of Staff
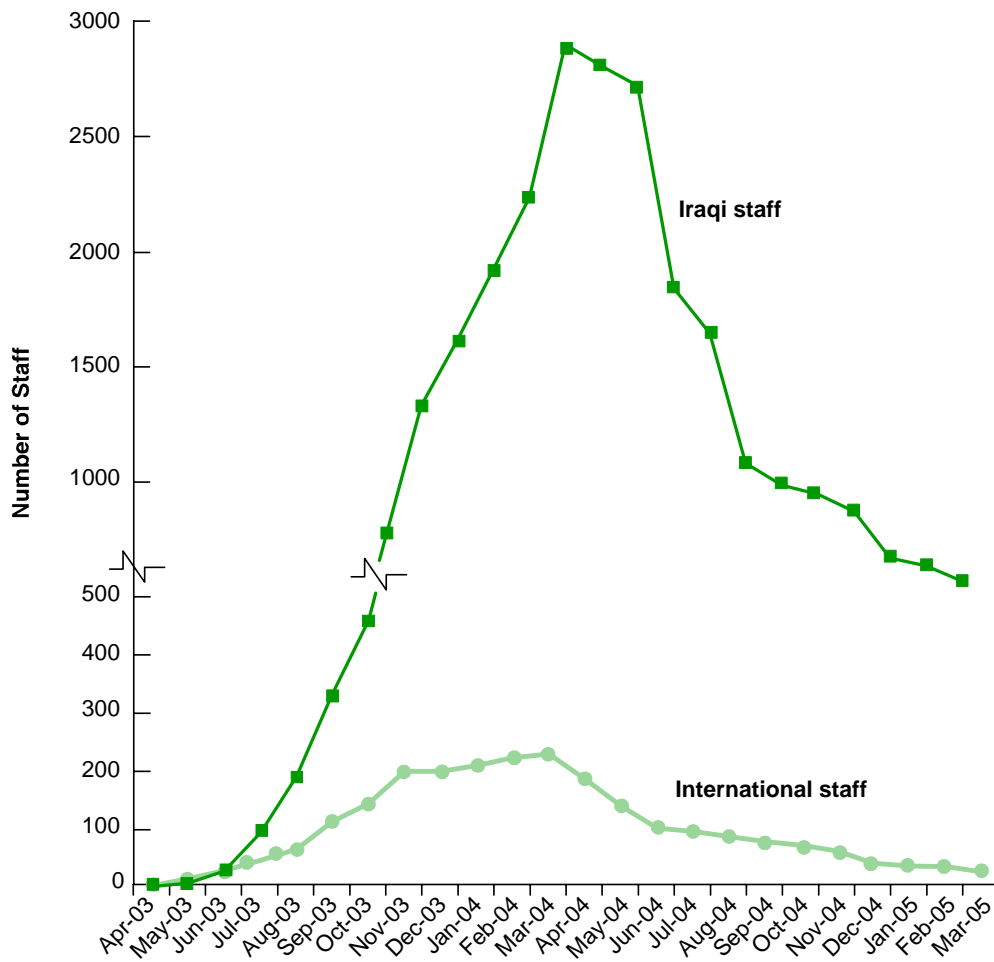
SO 4.1: Iraqi Citizens Benefit from Improved Local Governance (Year 1); Efficient, Transparent, and Accountable Subnational Government That Consolidates Iraq's Transition to Sovereignty (Year 2)

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The Performance Dashboard

The LGP has made significant progress toward achieving its strategic objective. Despite increased insurgency and the low-level conflict all across Iraq since October 2003, many communities have benefited from restored basic services, strengthened local service-delivery departments, and knowledge and exercise of their civil and political rights.

Overview

In Year 1, the LGP operated under a set of conditions that had been established by decades of repressive rule and had isolated the population in many ways from the rest of the world. It set neighbor against neighbor, tribe against tribe, ethnic group against ethnic group, and religious group against religious group. In the immediate preconflict period, subnational governance was defined by two features:

1. A highly centralized system in which all decisions were made by central-level ministries and carried out by ministry personnel at the governorate level and

2. Total control over all aspects of civic life, and many aspects of personal life, by the Ba'ath Party structure. The Ba'ath Party determined appointments to governmental positions and, at the same time, ran a parallel, secret structure that used the institution of the *mukhtar*[12] to spy for them in urban and rural neighborhoods.

The system was so centralized that, even after the regime change, Iraqis who tried to restore some semblance of public services at the local level were unable to undertake simple acts without written authorization from Baghdad. Because society had been deliberately fragmented, reconstruction efforts at the local level were hampered by the difficulty of persuading individuals from different backgrounds (ethnic, religious, cultural, tribal) to meet in the same room to discuss solutions to problems. The party structure had used patronage to reward or punish, but according to the many Iraqis with whom LGP teams worked, the patronage had seldom occurred in a detectable pattern, so that one never knew one's status or standing with the political authorities.

Within this context, in addition to facilitating the restoration of basic public services, the LGP assumed responsibility for these efforts:

- Improving the ability of subnational governmental institutions to deliver those basic public services to the population and

- Forming or strengthening civic organizations to interact with local government and hold it accountable for its performance and actions.

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[12] In Ottoman terms, a government-appointed individual who collected taxes and enforced the law in communities within his domain.

That is, the LGP was to form the basis for a civil society rooted in interaction between citizens and local government. In so doing, the LGP team—working closely with civilian and military personnel under the CPA umbrella—had to overcome extreme service deficiencies wrought by neglect, as well as attitudes and beliefs that had been formed over decades in which Iraqis learned to fear and distrust not only authority but also each other.

Strategy

As shown in Exhibit 3 below, the LGP began with a broad vision for local government and civil society. Its primary focus was to establish, develop, and strengthen participatory democratic governance that delivers the effective and efficient public services that Iraqis expect from their local governments. To this end, the LGP procured and provided technical assistance and other resources to strengthen local governments, civic institutions, and processes. LGP activities were designed to respond to specific challenges faced by subnational governments, democratic institutions and processes, and CSOs. They also sought to empower individuals and civic groups to help set local economic-development and investment priorities through democratic participation and interactions with local government leaders.

By the end of Year 1, much remained to be accomplished in the overall Iraq reconstruction program. One critical element was solidifying the gains that the LGP and Iraqi counterparts had made in establishing subnational government. This system of subnational government has a vital role to play in stabilizing Iraqi society and in ensuring that, as the country completes the transition to a sovereign national government, it does not revert to a highly centralized system that invites the return of an autocracy.

In Year 2 LGP activities at the subnational level focused mainly on local government officials and institutions (governors, mayors, councils, and service-providing departments) and their accountability and relationships to citizens. At the national level, the LGP worked with counterparts on the development of a legal, constitutional, and policy framework that would recognize an important, autonomous role for subnational government. This framework was built on the TAL, signed on March 8, 2004, which identifies governorates, cities, districts, and neighborhoods as governmental entities. The framework also built on the CPA's Order 71: Local Government Powers Order (LGPO), which broadly outlines the powers assigned to local government throughout the transitional period until a permanent Iraqi government is installed.

The LGP's strategy in Year 2 was to solidify and extend the autonomous role of subnational governmental institutions to prevent, or at least discourage, a recentralization of power in the hands of central ministries and other central executive and legislative bodies. This strategy was intended to promote a more democratic society that governed closer to the people and improved service provision at the local level. Good governance at the subnational level was perceived as critical to preserving hard-won progress toward a more democratic and stable Iraq and to realizing a sustained and dynamic democratic society over the long term.

In Year 2, the LGP also focused on strengthening the effectiveness and efficiency with which subnational governments delivered services, while facilitating the building of a subnational government structure that would be democratic, representative, responsive, and accountable to its citizens. Concomitantly, the LGP launched the CDP (which operated from February 2004 to November 2004) to inform Iraqis and engage them to participate in national and local political processes.

Exhibit 3: Strategic Framework of Base Year (Year 1) Compared with Option Year 1 (Year 2)

LGP Year 1 Program Strategy

IR 4.1.1 Restoration of basic services

IR 4.1.3 Efficient and effective local administration

IR 4.1.4 Effective civil society organizations

IR 4.1.2 Transparent and participatory policy process

SO 4.1. Improved public services, quality of life, and functioning civil society

Local services and administration
Strengthening civil society

LGP Year 2 Program Strategy

IR 4.1.1 Subnational government that is functional, effective and efficient

IR 4.1.3 Subnational government that has a fundamental role in a sovereign Iraq

IR 4.1.4 Iraqi people are informed about and participating in national and local political processes

IR 4.1.2 Subnational government that is democratic, representative, responsive, and accountable

SO 4.1. Efficient, transparent, and accountable subnational government that consolidates Iraq's transition to sovereignty

Strengthened local civil administration
Empowered polity

Thus, over the life of the program, LGP activities were designed to

- set the stage for successful local governance by helping the CF and the CPA to identify, select, or elect local leaders (when requested) and by advising and mentoring these newly elected leaders so they could become effective;

- restore basic services through a combination of RRGs and technical assistance;

- reinforce stability and sustainability of service delivery by strengthening the local administrations' ability to effectively, efficiently, and sustainably deliver essential daily services and manage resources, services, and staff, while simultaneously increasing citizen participation in local policymaking;

- strengthen the ability of individuals and CSOs to participate in local processes, with emphasis on enhancing the role of women and of previously excluded groups;

- promote the drafting of an enabling policy, legal, and regulatory framework for the democratic decentralization of government decision making and the devolution of administrative and fiscal authorities to subnational governments; and

- initiate civic dialogue to bolster the formation of a civil society.

In the short term, the overall objective of the LGP was to facilitate the restoration of basic services in order to improve living conditions for Iraqis. In the long term, the objective was to establish a subnational governmental structure that would provide tangible benefits to citizens and prevent the return of an autocratic central government.

Overall Accomplishments

The LGP was among the first USAID programs on the ground in Iraq in 2003. LGP staff worked side by side with the military's GSTs to restore essential services and build a participatory, local decision-making process. In October/November 2003, the first of four Quality of Life (QOL) surveys[13] administered by the LGP indicated that access to basic services had improved significantly, although service quality remained insufficient. This is illustrated in the following findings:

- According to respondents, the average daily availability of water was one hour above prewar levels, and the average daily availability of electricity was more than three hours above prewar levels.

- Service quality also generally exceeded prewar levels, indicating the completion of LGP's transition from addressing emergency needs to improving the effectiveness, efficiency, and quality of services.

- Survey respondents viewed most public services as having improved since the end of the war.

- Survey respondents indicated that access to places of worship and public transportation had improved markedly.

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[13] The QOL 1 survey (October/November 2003) covered all 18 governorates, with a sample size of 7,500. The QOL 2 survey was administered in March/April 2004, the QOL 3 in September 2004, and the QOL 4 in January 2005.

- In the view of most survey respondents, access to electricity, employment, housing, and social welfare services have deteriorated since the end of the war.

Subsequent QOL surveys have reported improvements in the quality and quantity of basic services. However, respondents expressed a general dissatisfaction with the protracted restoration of basic services.

The CF and the CPA established governorate (provincial) councils and governors in all governorates, with the exception of the three Kurdish governorates of Arbil, Dahuk, and As Sulaymaniyah in northern Iraq. The LGP also assisted in establishing district, subdistrict, and neighborhood advisory councils. As shown in Exhibit 4, by January 2005, the LGP had helped form or had strengthened 750 councils and trained and mentored more than 20,000 council members.

Exhibit 4: Number of LGP-Assisted Local Councils
(May 2003 to February 2005)
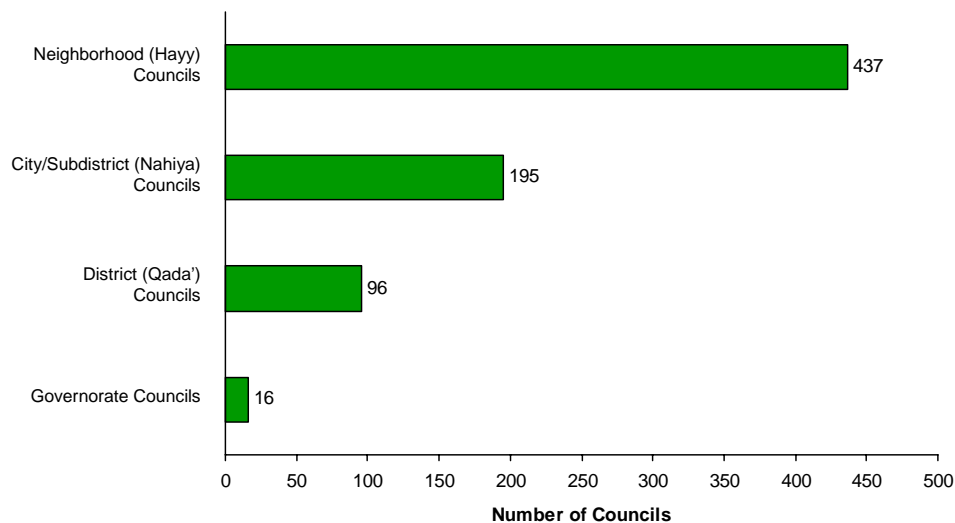
The LGP's assistance to CSOs also raised political awareness and participation of citizens in national and local political processes. As shown below in Exhibit 5, according to the LGP's QOL surveys, the citizens' awareness and knowledge about their local councils had increased over time. By the end of Year 2 (QOL4), more than 68 percent of Iraqis were aware of their councils, and of these 68 percent, 47 percent (or 32 percent of all respondents) stated that a local council existed in their community. Awareness levels of local councils in QOL4 were higher than those measured in QOL3 (29 percent of respondents) and QOL2 (21 percent of respondents).

Exhibit 5: Awareness of Local Councils
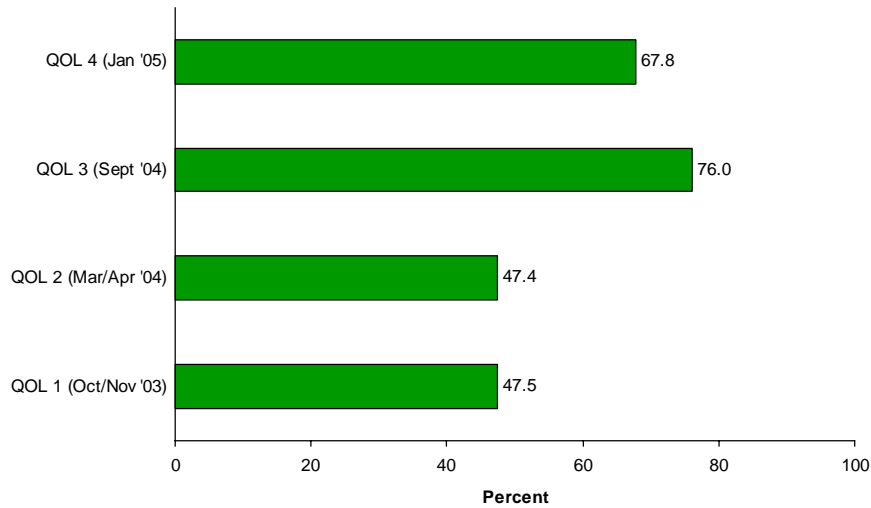
As shown in Exhibit 6, the average of the four QOL surveys indicated that more than 70 percent of Iraqis were ready for local and national elections. This finding was borne out during the elections of January 30, 2005, when more than 70 percent of Iraqis—despite personal risk from threats of violence—went to the polls to elect members of the Transitional National Assembly and Governorate Councils.

Exhibit 6: Iraq's Readiness for Local and National Elections
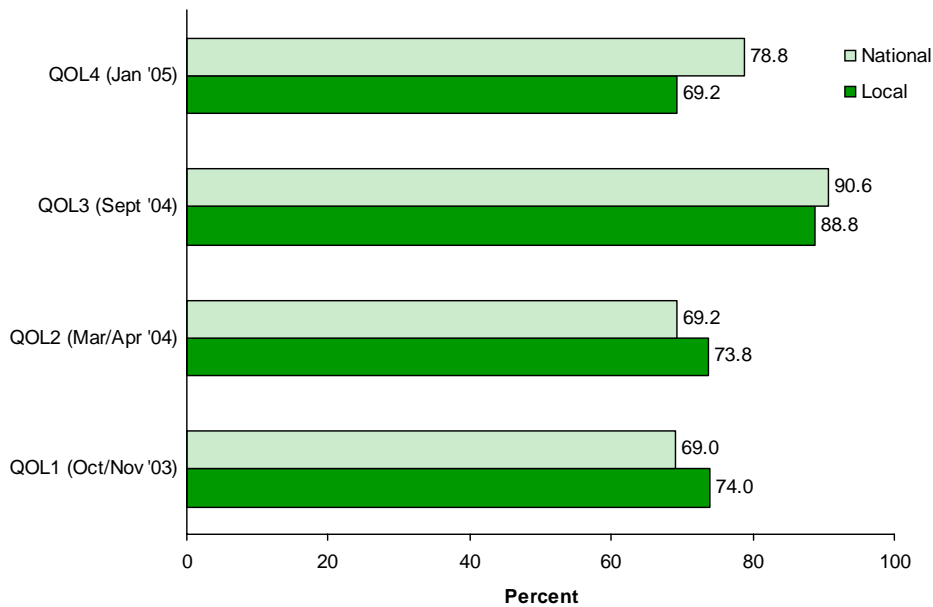
Impact of Accomplishments

LGP accomplishments significantly improved the quality of life of millions of Iraqis. The following are examples of the impact of these accomplishments:

- Restoration of such essential services as water, electricity, sanitation, health care, and education provided immediate relief and improved the daily lives of Iraqis.

- Repair and furnishing of offices of local government service-delivery departments—coupled with technical assistance and training—restored operations and improved their service-delivery capacity.

- The rehabilitation of government buildings where governorate/provincial, city, and district councils meet and work enabled these councils to respond to citizens' complaints effectively and to address their priority needs.

- The process of creating three to five levels of advisory councils (i.e., governorate/provincial, city, district, subdistrict, and neighborhood and village advisory councils) played a significant role in planting the seeds of representative democratic governance.

- Support to CSOs—particularly those representing women—substantially increased women's participation in national and local political processes, even in the more conservative areas of Iraq. The success of the LGP in this area was confirmed on January 30, 2005, when 87 women were elected to the 275-member National Assembly and 140 women were elected to serve on governorate councils. On average, women took approximately 20 percent of the governorate council seats in all governorates—an achievement that had never been experienced in Iraq or the region.

- The dialogue on political, fiscal, and service-delivery decentralization among national and local government stakeholders advanced, with the MMPW agreeing to begin piloting the decentralization of limited municipal services in selected areas. By the end of Year 2 of the program, a stakeholder base of governance and service-delivery decentralization advocacy groups was in the making at both the national and the local levels.

- LGP training and technical assistance has increased the budgeting and expenditure management capacity of local governments.

- The leadership incubator role that the LGP fulfilled for council members, local government executives, and CSO leaders remains an important legacy of LGP activities. Fifteen former local council members, three CSO leaders (two women), and two former governors were appointed by the CPA to serve on the former Interim Governing Council, which operated through June 2004. In addition, several LGP-trained council members were elected to the TNA.

However, the LGP's success in promoting democracy also made it a target of insurgents. In many places, insurgents who were afraid that the LGP would succeed in establishing a secular, democratic, and open society in Iraq publicly accused LGP staff of being Israeli agents.

Sustainability of Effort

In order to sustain the local government capacity-building efforts implemented by the LGP, the program developed several strategic partners and recruited, hired, and trained a cadre of Iraqi professionals. In addition it:

- Trained a cadre of trainers-of-trainers that were selected from subnational governmental institutions to spread the knowledge and skills transferred to them by LGP

- Worked with local universities and building their capacity to deliver technical assistance and research and training services to subnational governmental institutions

- Worked with local consulting firms to conduct research, training, technical assistance, and surveys to benefit subnational governmental institutions

As early as June 2003, the LGP began working with local universities in Babil, Al Basrah, and Ninawa. At the same time, a professor of accounting and finance attached to Babil University developed a 4-week series of workshops on budgeting and municipal finance and arranged with university officials to conduct these workshops on campus. In Ninawa Governorate, Al Mawsil University was engaged to provide research and technical assistance to the Directorate of Municipalities and Public Works and the Directorate of Water, Sanitation, and Environment. In addition, with LGP support, Al Mawsil University developed and delivered a series of short courses for enhancing skills of local civil servants.

Additionally, the Arbil LGP team, working with the University of Salahaddin in Arbil Governorate, provided training and technical assistance to the staffs of the Kurdistan Regional Government (KRG). In Salah Ad Din, the LGP collaborated with the CFs' GST, USAID's Office of Transition Initiatives (OTI), and the CPA to develop an action plan to establish an Institute of Local Government at Tikrit University. This activity was planned for completion in Year 2, but because of the security problems in the governorate, the plan was put on hold.

The LGP aggressively (but carefully) recruited, hired, and trained Iraqi professionals to carry out elements of its work. Events demonstrated that this was accomplished successfully: as insurgent violence escalated in 2004 and the LGP temporarily relocated international program staff from across the country to safe havens and later to four regional hub offices, program activities continued to be carried out by the Iraqi professional staff who had remained in the governorates.

IR 4.1.1: Increased Access to Basic Services

> ### *The Performance Dashboard*
>
> The LGP, with rapid-response grants, training, and technical assistance, has restored access to potable water, electricity, sewerage, fire safety, and sanitation services. It has also restored access to health care and education through the rehabilitation of schools and primary health care facilities in several localities.

Overview

At the end of the formal conflict, many Iraqi citizens lacked access to such basic public services as water, sewerage, electricity, and solid-waste collection and disposal. One priority of the CPA had been to quickly restore disrupted services, in an effort to reduce human suffering. Except for the military, no other USAID or CPA contractors were in place to address these essential service-delivery problems, and the GSTs were overextended with limited resources. From April through August of 2003, the LGP, OTI, along with Development Alternatives, Inc. (DAI), and Creative were the only USAID contractors on the ground that were actively restoring access to basic services. The LGP and OTI/DAI collaborated in the restoration and furnishing of public buildings in many locations.

The LGP also worked to build capacity in the various local government directorates that were responsible for service delivery. Whereas in Year 1 the LGP's focus was on the restoration of basic services, in Year 2, efforts were directed at making local government responsible for the management and delivery of those services. The improvement of the efficiency and effectiveness of local government service delivery was pursued through technical assistance and training.

In the Northern region, during Year 1, LGP assistance to the governorates of Ninawa and At Ta′mim were extensive compared with the more limited activities in the Kurdish governorates of Arbil, Dahuk, and As Sulaymaniyah. During Year 2, however, the LGP provided extensive assistance to build the capacity of the KRG to identify, plan, and implement initiatives that encouraged economic growth throughout the region. As a main component of that initiative, LGP staff members contributed to the formation of a comprehensive Arbil Economic Development Strategy (AEDS) that fulfilled a request from the KRG's Prime Minister. LGP program activities in the Kurdish governorates were based on partnerships with several KRG ministries, such as the Ministry of Municipalities (MOM), Ministry of Planning, Ministry of Tourism, and Ministry of Relations and Cooperation (MORAC), and the University of Salahaddin. In addition, the LGP supported a number of local nongovernmental organization (NGO)/CSO activities in the region and facilitated introductions of these CSOs with donors, USAID contractors, the CPA, and international NGOs for assistance.

In the Central region, Baghdad Governorate, the LGP used RRGs to address specific problems related to increasing Iraqi citizens' access to essential municipal services. The LGP worked with service departments of the Baghdad City Mayoralty (*Amanat*) and the 11 districts comprising the city. Within the city limits, services were delivered by service departments that reported to the Deputy Mayor for Technical Affairs and the Deputy Mayor for Municipalities, as part of an overall municipal services structure for the city. Communities outside the city limits received services through the MMPW in the same manner as the other governorates in Iraq.

The LGP worked closely with the CPA and the CFs' Civil Affairs (CA) units to address the restoration of basic services throughout Baghdad Governorate. The LGP also worked with NACs and District Advisory Councils (DACs) to address the basic service-delivery needs of their respective constituents by

- providing RRGs and technical assistance,

- bringing together the local government service provider in the *Amanat* with the local councils of Baghdad City, and

- bringing together the relevant local government service provider with the district and neighborhood councils outside the city.

Similarly, in the South Central and South regions, the LGP worked with local councils and service-delivery departments to restore basic services to affected communities. Local councils, together with the local community, identified and prioritized the service needs of their particular community. In many cases, the local communities were made responsible for (a) providing the labor force, (b) supervising the service-restoration progress, and (c) safeguarding restored assets from looters and saboteurs.

Accomplishments

The LGP had neither the scope nor the resources to engage in large-scale infrastructure projects. However, LGP had an impact on services in several localities in Iraq through technical assistance from international public-utility and city-management experts and the judicious use of a small-grants program to procure repair-tools, test equipment, monitoring instruments, spare parts, and initial operating supplies. As shown in Exhibit 7 below, millions of Iraqis in LGP-assisted areas have benefited from such service-delivery improvements as

- better water quality,

- longer hours during which water is delivered daily,

- increased daily operating hours for electricity services,

- improved garbage collection and disposal,

- improved storm-water drainage,

- increased operating efficiency of sewage treatment plants,

- rehabilitated city office buildings and community centers, and

- rehabilitated schools and public health clinics.

Impact of Accomplishments

Because of LGP activities, millions of Iraqis now have access to clean water, sanitation, electricity, education, and health services. Exhibit 7 illustrates the magnitude of this impact, indicating the number of Iraqis who have directly and indirectly benefited from the LGP's combined grant and technical assistance activities.

Exhibit 7: Direct and Indirect Beneficiaries of Restored Services
(May 2003 to February 2005)
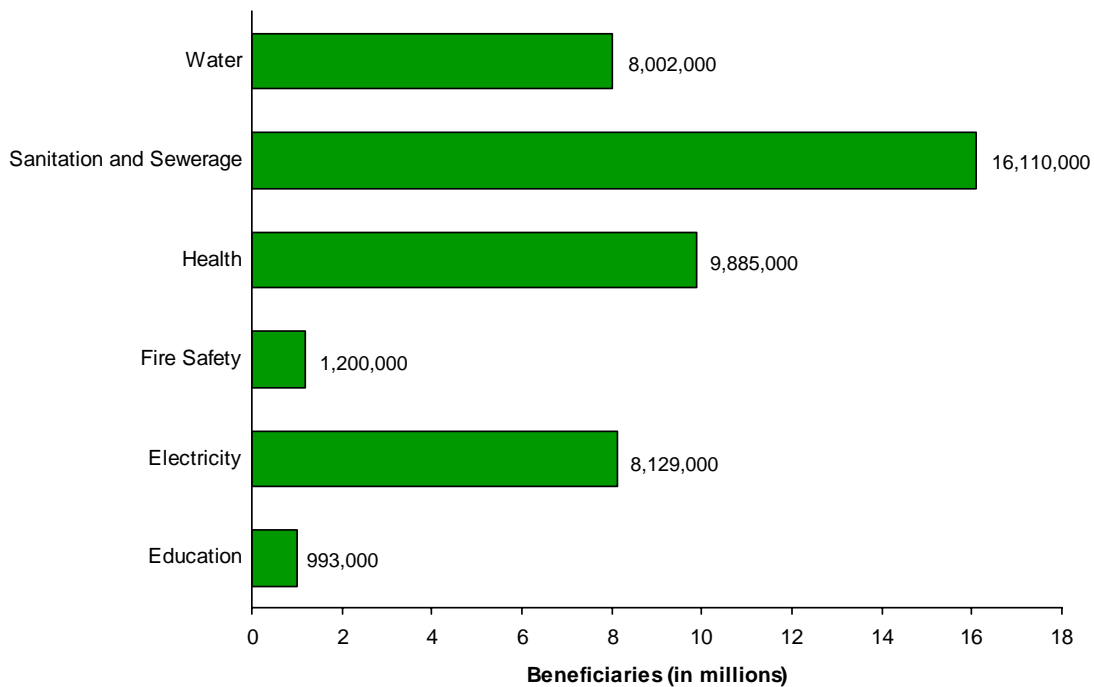
Exhibit 8 below outlines the specific technical assistance, training, and RRG support provided to restore basic public services. Across all governorates LGP's assistance has provided more than 23 million people access to one or more restored services.

In Al Basrah, for example, availability and access to electricity now exceed prewar levels, in part because of LGP grants for repair-parts and tools. In Kirkuk and Al Mawsil, garbage collection and disposal and the supply of electricity and clean water also now exceed prewar levels.[14] The QOL surveys indicate that the number of hours per day of water and electricity availability were higher than prewar levels. According to QOL4 respondents, in December 2004, the mean hours of availability per day were 16.1 hours for water and 6 hours for electricity. Since QOL1, availability of electricity has decreased and is positively correlated with the increase of insurgent activities.

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[14] Some of the restored services may now be inoperative because of sabotage or looting that occurred during Muqtada al-Sadr's uprising and because Baghdad failed to provide nonsalary operating funds.

Exhibit 8: LGP Service Restoration Activities and Beneficiaries

Sector	Governorate	LGP Activities	Direct and Indirect Beneficiaries
Water	Al Basrah	• Provided technical assistance, training, and RRGs for the repair, dredging, and clean up of the Al Basrah raw-water canal • Repaired and refurbished the Al Basrah Water Directorate's office and plant to restore operations and provide the staff with adequate work space • Provided spare parts and water-quality analysis equipment • Rehabilitated and repaired several reverse-osmosis (RO) water-intake facilities • Repaired Al Basrah's water-distribution network • Repaired and rehabilitated water-treatment plants in Al Basrah, Al Mounwad, Hartha, Al-Germah, Al Jubrielah, Al Rubat, and Al Brathiya	1.6 million individuals
	An Najaf	• Provided rapid-response grants and technical assistance to the city of An Najaf to clear clogged water-intake systems and repair ruptured water mains	200,000 individuals
	At Ta'mim	• Renovated compact water-supply units in six villages • Collaborated with the CPA and the Directorate of Water to restore access to potable water for the residents of Hawija	14,000 families 85,000 individuals
	As Sulaymaniyah	• Drilled two artesian wells and installed pumping infrastructure in the Chamchamal municipality	800 individuals
Electricity	Al Basrah, Dhi Qar, Al Muthanna, and Maysan	• Repaired 14 power substations where the 132 kV[15] transmission lines were stepped down to distribution lines of 0.4, 11, and 33 kV • Provided test equipment, protective gear for electrical workers, tools, and supplies • Repaired electrical towers and high-tension lines that had been toppled by looters and saboteurs, including the specific neighborhoods of Al Jummoriah, Al Khadra, Al Dar, Al Qaam, Al Rashid, Al Abbass, Al Maamal, Al Jubeilah, and Al Muhandesen quarters • Installed and replaced power transformers, inhibitors, and circuit breakers throughout Al Basrah's city center and main commercial zone • Repaired and replaced light fixtures and bulbs in Al Basrah city's main streets	4.0 million individuals
	Al Qadisiyah	• Provided RRGs for spare parts and the repair of bullet holes in the primary transformers in Ad Diwaniyah • Repaired electrical distribution lines • Provided protective equipment for electrical workers • Provided fencing and air conditioning units for the Electric Power Directorate to restore operation	500,000 individuals

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[15] Kilovolt (1 kV = 1,000 volts).

Sector	Governorate	LGP Activities	Direct and Indirect Beneficiaries
	Karbala	• Provided RRGs for spare parts, personal protective gear, work equipment, and the repair of substations to restore electricity	3,240 individuals
	Babil	• Repaired power lines • Renovated and repared substations and damaged transformers • Provided test equipment and personal protective gear for electrical workers	500,000 individuals
	At Ta'mim and Ninawa	• Provided communication equipment to the At Ta'mim Electric Generation Company for surveillance and prevention of sabotage along the electrical distribution grid	2.5 million individuals
Sewerage	Al Basrah	• Cleaned and repaired sewerage networks in Al Rubat, Al Ashair, Al Hussein, Al Jamiyat, Maqel, and Asmai • Rehabilitated the Al Basrah Sewerage Directorate office to restore operations and provide adequate workspace for staff • Provided safety equipment for gas instrumentation and air blowing, including personal gas masks and protective clothing, gloves, and boots • Repaired 150 damaged sewage pumping stations • Repaired all government-owned vehicles for jetting and pumping sewage	1.5 million individuals
	Al Muthanna	• Repaired the Khuder City sewage connections to the municipal offices	100,000 individuals
	Dhi Qar	• Repaired, performed maintenance, and cleaned the sewerage system in An Nasiriyah • Reclaimed low-lying land that had overflowed with sewage and become a breeding ground for water-borne diseases	390,000 individuals
	Al Qadisiyah	• Redirected waste-water discharge from the local sewage treatment plant to prevent it from entering a surface canal outside the city and contaminating rivers that constitute the only source of drinking water and irrigation for five villages in the Agra'a tribal area	20,000 individuals
Solid Waste	Ninawa	• Provided technical assistance and RRGs to outsource garbage collection to the private sector in Al Mawsil city	500,000 individuals
	Al Basrah	• Repaired solid-waste removal vehicles and support equipment	950,000 individuals

Sector	Governorate	LGP Activities	Direct and Indirect Beneficiaries
Health	Al Basrah	• Restored the Al-Ma'qil clinic and its adjoining regional support center, which serves 12 primary care centers in the city of Al Basrah	50,000 individuals
	Karbala	• Provided refrigerators to the Al Hindiyah Hospital for storing blood and to a laboratory for storing chemicals, culture kits, and test kits • Facilitated computerization of patient records at the Al Husain General Hospital and Al Hindiyah Hospital	25,000 individuals
	Babil	• Facilitated computerization of patient records in the Pediatric Hospital and the Public Health Department in Al Hillah	25,000 individuals
	Al Basrah	• Reconstructed and refurbished the Al Qadisiyah and Al Resala primary health care clinics • Refurbished the regional Al Tib al-Adel Forensic Medical Clinic, which provides end-care forensic medical services, performing autopsy services for citizens of the Al Basrah, Al Muthanna, Dhi Qar, and Maysan governorates	75,000 individuals 1.5 million individuals
	Al Qadisiyah	• Repaired three walk-in refrigerators at a warehouse in Ad Diwaniyah that distributes medicines and medical supplies to two referral hospitals, three secondary hospitals, and more than 20 primary health care clinics	425,000 individuals
	An Najaf	• Rehabilitated and repaired more than 20 primary health care clinics—degraded from decades of neglect and postwar looting	500,000 individuals
	At Ta'mim	• Purchased and installed 152 refrigeration units in hospitals and health centers throughout the governorate, enabling the storage of 1,270,000 doses of various vaccines, lab samples, and blood	1.5 million individuals

Sustainability of Effort

To ensure sustainability of restored services, the LGP almost always required that services be restored by the local service-delivery department, with the involvement and supervision of the local councils. This approach built local capacity for inspecting and maintaining water systems, electricity distribution lines, and sewage drainage lines. Local councils, working together with their constituents, were asked to ensure that these repaired and rehabilitated assets were secured from looting and sabotage. However, longer term sustainability depends on availability of nonsalary funds for the local service-delivery departments for preventive maintenance and operation.

Lessons Learned and Best Practices

Success through cooperation and collaboration

The LGP's essential-services restoration experience confirmed a key lesson of other postconflict capacity-building efforts: the success of such efforts requires strong cooperation and coordination with the military and other donors' programs. In Al Basrah, for example, the British forces provided security and safeguarded the LGP's cash reserves that were being held to pay local contractors, purchase spare parts, and finance small grants. The British also provided security information that the LGP used in planning daily activities and movements. Early coordination with other contractors helped the LGP to leverage its resources and identify and coordinate larger scale infrastructure repairs and replacements.

Sustained service delivery through engagement of local civil service staff

The LGP found that local civil servants were well educated, skilled, and motivated; concerned about the need to restore services immediately; and willing to work closely with the LGP. These governorate-level and local government staff members were knowledgeable about the needs and priorities of the local population and knew how to address them. However, they lacked simple instructions, tools, and other resources to restore services. Once they were provided with technical assistance and small grants to purchase spare parts and small tools, significant service-delivery improvements were achieved.

Credibility through accountability and transparency

In a country that is alleged to have a long history of corruption, government accountability and transparency at the local level are essential in order for citizens to respect, support and work with the local government officials and local councils. The LGP's introduction of accountability and transparency early in the services-restoration process appears to have given credibility to local service-delivery departments and strengthened the legitimacy of local officials.

Results through public–private partnerships

In Al Basrah, for example, the LGP involved local communities in the essential-services restoration efforts in many ways. The communities were asked to nominate workers; participate in service delivery—particularly in solid-waste removal—or in monitoring progress of service restoration; and secure the assets. Private-sector contractors worked with the local community and the service-delivery departments to restore services. Only when projects involved local service-delivery departments, civic groups (such as the interim NACs), and the private sector were essential services quickly restored, secured, and provided in a sustainable manner. Involvement of civic groups was essential for understanding local priorities and for safeguarding restored service-delivery assets from sabotage and looting.

Quick restoration of services through rapid-response grants (RRGs)

The RRG element of the LGP was critical in restoring basic services and in building the capacities of service-delivery departments. These grants provided small tools, personal protective gear, and supplies, and they gave the LGP the flexibility to be involved with service delivery and capacity building for local service-delivery departments. They also helped the LGP to establish credibility and strong working relationships with the local government departments, councils, and civic groups.

IR 4.1.2: More Transparent and Participatory Local Governance Processes

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The Performance Dashboard

As of March 25, 2005, the LGP teams had worked with 745 local councils and had trained and mentored approximately 20,000 local council members. During the life of the LGP, the seeds of participatory democratic governance were planted and cultivated through the formation and strengthening of neighborhood, subdistrict, district, and governorate councils. The roles and responsibilities of local councils were clarified; mechanisms for council outreach and citizen participation were established. Mechanisms for the interaction between local legislatures and local service-delivery officials were established and strengthened so that local legislatures can exercise their oversight responsibilities and synchronize service delivery with local populations' needs and priorities through participatory planning. Legislators selected/elected from different ethnic and religious groups were able to set aside their differences and work as teams to address local populations' needs. They were also more accepting of women as equal partners and worked with women legislators harmoniously.

Overview

The LGP's technical assistance and other resources in Year 1 were directed at establishing and strengthening local governance bodies—such as city, district, subdistrict, neighborhood, and municipal councils—and governorate representatives and legislatures that oversee the public entities that are responsible for public safety, delivery of services, and enforcement of the rule of law. In Year 1, through Intermediate Result (IR) 4.1.2 and IR 4.1.4, "More effective advocacy and participation of civil society organizations," the LGP sought to ensure that political, social, and economic priorities were based on broad consensus and that the voices from all segments of Iraqi society would be heard—including those from previously excluded groups. LGP work activities under IR 4.1.2 focused mainly on the institution of local government, although these activities also interacted with IR 4.1.4, which focused on civic groups at the local level.

The establishment of district, subdistrict, and neighborhood advisory councils provided and enabled a voice for citizens to become aware of, influence, and ultimately hold local government accountable for its decisions and performance. The LGP used RRGs to furnish meeting halls or to purchase office equipment and supplies, without which these councils could not function. LGP staff trained these selected/elected local government officials, teaching them their roles and responsibilities. The LGP also assisted with public-outreach activities to make the citizenry aware of government activities and performance through such processes as public hearings, town hall meetings, open council meetings, and providing information about local government through local print and broadcast media. It also focused on enhancing leadership skills and raising awareness of democratic decision making, including the processes and structures that encouraged and maximized citizen participation in the political process.

In addition, the LGP worked with local governments to develop political and administrative institutions that are democratic, representative of the populations they serve, responsive to constituent concerns, and accountable for their actions. In several governorates, the LGP introduced mechanisms for transparent dialogue among local executives, councils, citizens, and the business community. These mechanisms included developing committee structures, committee hearings, community-based review boards, and citizen advisory boards.

Program Adjustment and Plans for Year 2

In Year 2, the LGP focused on consolidating the gains it had made in Year 1 toward creating and developing a "democratic, representative, responsive, and accountable subnational government." This shift in focus resulted from the need to accelerate the process of establishing participatory democracy[16] before Iraq's transition to full sovereignty and to prevent the reemergence of autocratic governance.

LGP Year 1   LGP Year 2

IR 4.1.2: More Transparent and Participatory Local Governance Processes.

IR 4.1.2: Subnational Government that is Democratic, Representative, Responsive, and Accountable.
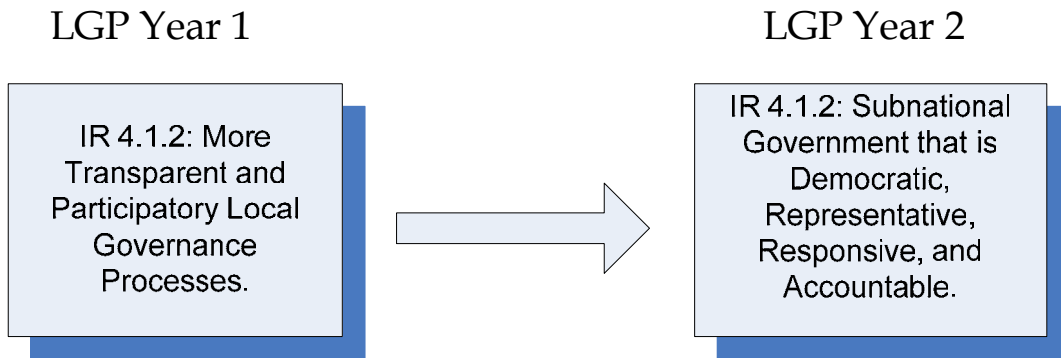
Throughout the 2-year period, the LGP strived to do the following:

- Build the capacity of local governments to improve service delivery, to create local economic-development strategies, and produce investment plans.

- Build the capacity of local government officials to develop economic- and social-development plans and strategies at the governorate, city, municipal, district, and subdistrict levels that relate to the national vision and reflect local citizens' expectations.

- Expand the capacity of local government officials to develop avenues for citizen input and feedback for multiyear capital-investment planning (CIP) and budgeting through public budget hearings, publication of planning and budgeting documents, and publication of annual financial reports to foster community discussion.

- Develop the capacity of executive and legislative local government officials to report on and measure service-delivery performance against agreed-on benchmarks and targets and to modify goals, strategies, and plans in response to performance problems and citizen feedback.

- Integrate women and other disadvantaged groups into the local political process and encourage their active participation.

Strategy

The LGP's strategy with regard to IR 4.1.2 consisted of the following actions:

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[16] Participatory democracy requires citizen representation and participation, increased public–private partnerships, and government responsiveness and performance. Participation and partnership relate to the inclusive nature of good governance, whereby subnational governments consult citizens to determine priorities and forge alliances with various partners to augment their capacity to deliver services that citizens demand and expect.

- Training, mentoring, and providing technical assistance to governorate councils, in collaboration with the CPA and the GST, that were established by the CF in the governorates under their domain

- Establishing and strengthening such local governance bodies as city, district, subdistrict, neighborhood, and municipal councils. These councils were trained on their respective roles and responsibilities and provided office space and, in some cases, Internet connections so that they could interact with their constituents and colleagues more easily

- Providing local councils access to donors' resources so that these councils can directly address local priorities, garner legitimacy, and gain the confidence of their local communities.

In both Year 1 and Year 2, the LGP's focus was on promoting processes that ensured political, social, and economic priorities were based on broad consensus and that the voices of all segments of Iraqi society—including previously excluded groups—could be heard.

In several governorates, LGP activities emphasized the importance of establishing the following elements:

- Constructive and transparent dialogue among local executives, councils, and citizens

- Planning and budgetary decision making

- Transparent and participatory oversight for monitoring the quality of essential services based on independent audits

- Strong local governments, dynamic private sectors, and active civic groups to promote community and economic development

In Year 2, the LGP's effectiveness was hampered by (a) the decrease in program budget, which necessitated a drastic staff reduction, and (b) an unstable security situation, which restricted movement. As staff reductions occurred and remaining expatriate staff were relocated to hub offices, the LGP increasingly relied on local Iraqi professional staff to continue delivering LGP's technical assistance and training. However, the benefits of day-to-day interactions between international staff and local officials were lost. These interactions were valuable, because they exposed local officials to other countries' philosophies of service delivery.

The LGP expatriate staff also developed a series of training material and technical assistance packages that could be delivered by their Iraqi professional staffs. Expatriate staff trained and mentored the Iraqi professional staff on these tools, and the repeated use of these tools with different groups enhanced the Iraqi staffs' proficiency.

Accomplishments

In Year 1, the LGP worked with representative councils at several levels: governorate, city, *qada', nahiya*, *hayy*, and tribal. While refurbishing facilities and providing office equipment and tools through collaboration with USAID/OTI and other contractors, the LGP provided direct technical assistance, training, and mentoring. This enabled councils to work as a team and to interact effectively with citizens.

In Year 2, the LGP continued to provide training and technical assistance to these councils by clarifying their roles and responsibilities; teaching them visioning (i.e., what they wanted their community to look like 5 to 10 years from now) and participatory, strategic planning and budgeting; developing strategic plans for local economic development; and assisting them in numerous other ways. The LGP also assisted in the selection/election of new council members, as turnover occurred due to security concerns or other reasons. Throughout both years, the LGP worked to establish and maintain four elements that were critical to the councils' ability to connect with citizens: (1) council-selection/-election criteria that are regarded as open, legal, and fair; (2) a council member composition that is considered representative and accountable to the local population; (3) council performance that meets the expectations of local citizens in the form of policies, programs, and service delivery; and (4) resources readily available to councils, which enable them to translate their decisions into concrete and tangible results for local citizens.

The LGP's accomplishments in Year 1 and Year 2 fall under the following categories:

Forming Local Governing Councils

As shown on page 11 in Exhibit 4, the LGP facilitated the formation or re-selection of neighborhood, subdistrict, district, and governorate/provincial councils. However, as shown below in Exhibit 9, local council formation varied across Iraq. For example, in Baghdad, Babil, Karbala, An Najaf, and Wasit, the LGP was directly involved in the local council selection using a secret ballot. In the South, including Al Basrah and Al Muthanna, the governorate councils were responsible for the selection of *qada'*, *nahiya,* and *hayy* councils.

Exhibit 9: Approaches to Council Formation

Approaches to Council Formation

In Baghdad Governorate and City, councils were formed from the bottom up using the caucus approach. In collaboration with the CPA and CF, the LGP was directly involved in the formation of the governorate/provincial, regional, Baghdad City, district, subdistrict, and neighborhood councils. First, in the City of Baghdad, NACs were formed, and then the NACs nominated individuals from their ranks to form the DACs. The DACs, in turn, nominated some of their members to form the Baghdad City Council. The NACs, DACs, and the Baghdad City Council were all in place by July 2003. In January and February 2004, the LGP then established NACs and DACs outside of the City of Baghdad. Once these NACS and DACs were formed, a regional council was formed, followed by a governorate/provincial council. In total, 133 councils were formed, representing close to 7.5 million people.

In the South region, council formation was top-down using the direct-election approach. The governorate councils were responsible for forming lower-level councils (e.g., Al Basrah and Al Muthanna). The governorates had established election commissions, and these commissions then developed and implemented a comprehensive plan for electing councils at the neighborhood, subdistrict, and district levels. For the most part, these were direct elections. The LGP provided technical assistance, and the CF provided funds to facilitate these elections. The LGP also provided technical, logistical, and monitoring support. It organized, trained, and fielded election-monitoring teams at the request of the governorate councils. By the end of the election process, citizens had elected more accountable and representative councils.

In the South Central region, the governorate councils were formed collaboratively by the CF, CPA, and LGP using the caucus approach. Lower-level councils—neighborhood, subdistrict, and district councils—were established by the LGP with the assistance of local tribal leaders and the *makhateer* (aldermen).

In the North region, in Ninawa and At Ta'mim, the governorate and lower-level councils were formed by the CF. In the Kurdish governorates (Arbil, Dahuk, and As Sulaymaniyah), the councils were elected directly by the citizens.

Strengthening Councils' Capacities

By January 2005, the LGP had trained approximately 20,000 council members from governorate to neighborhood advisory councils, of whom less than 5 percent were women. The LGP developed and employed various council-training materials in order to build the councils' leadership skills and to enhance their ability to carry out their responsibilities to citizens. Between May 2003 and

December 2004, LGP teams had provided council training covering a range of topics including the following:

- Council business: meetings and procedures
- How are council subcommittees established, and what are their roles?
- How are council bylaws drafted and ratified and what do they represent?
- How to form Citizen Advisory Groups
- How to oversee executive departments' performance
- Public services and public works tendering
- How to conduct community outreach and encourage citizen participation
- Transparency and accountability
- Roles of city councils and managers
- Parliamentary procedures and minutes
- Rule of law
- Budgeting: a democratic process
- How to be a successful council chairperson
- Participatory, strategic planning for effective and efficient service delivery
- Performance measurement
- What to do about corruption
- Project prioritization and preparation
- Financial management and transparency issues—including operating and capital budgets and accounting basics
- Basic management and supervision

The LGP developed several resource documents, which were then translated into both Arabic and Kurdish and distributed to council members. These included bylaws, codes of conduct, and rules of procedure. Council members were also provided working space in which to meet individually with citizens and constituency groups, prepare for council meetings, and attend committee meetings, thus enhancing their effectiveness as leaders.

Involving Tribal Leaders in Local Political Processes

The LGP worked with tribal councils and provided training workshops to instill democratic principles and practices among tribal leaders. During October 2003, for example, the Babil team conducted four workshops for the Babil Tribal Democracy Assembly. These workshops included discussions on democracy, good governance, and participation; the role of tribal leadership; and constitutional electoral politics and processes.

Tribal leadership is an important part of civil society in Iraq. All across Iraq, even in the major cities, Iraqi society is organized in tribal groups, and tribal leaders have influence on the daily lives of Iraqis. Because of the significant role of tribes in Iraqi society, the LGP sought to involve tribal leaders in local political processes. In some areas, tribal leaders have been given extensive training on their role in the new Iraq and on democratic processes. For example, in Al Hillah, 150 tribal leaders from the South Central region—covering six governorates and representing nearly 40 percent (10 million) of Iraqis living outside of Baghdad—participated in a series of workshops that covered topics on representative and democratic decision making:

- Tribalism and Democracy: How Tribal Leaders Can Participate in a Democratic Iraq

- Islam and Democracy: How the Islamic Religion Is Compatible with Democracy and How Muslims Can Work Together for a Free and Democratic Iraq

- Tribalism and Free Elections: How Do Tribal Leaders Organize Their Own Election Campaign To Become a Member of the National Parliament

- Tribalism and Human Rights: How Do Tribal Leaders Strengthen Government Institutions in a Way That Will Ensure That Human Rights Are Protected?

Fostering Transparency and Accountability

In Year 1, the LGP began the process of establishing, developing, and fostering transparency and accountability practices among councils and service-delivery departments. Specifically, the LGP assisted the governorate councils in establishing the financial audit agenda and functions, as these examples show:

- In Babil Governorate, the LGP recruited and hired local auditors to help the council conduct an external audit of the 54 governorate departments.

- In Kirkuk city, At Ta'mim Governorate, the LGP provided technical assistance and an RRG for establishing a Finance and Audit Office that would report to the Deputy Governor for Government Affairs.

- In Al Basrah, the LGP provided technical assistance and training to the Supreme Audit Board (SAB) to conduct an objective and transparent audit of local service departments and to review its findings with the governorate council.

- In Al Muthanna and other governorates in the South region, the LGP collaborated with the SAB to help establish and develop a professional internal auditing department. To this end, the LGP trained service-department managers and accountants in accounting, budgeting, and financial-management and audit systems.

The LGP conducted a series of workshops, including one entitled Public Audit, to disseminate and foster accountability and transparency. The LGP also developed and translated into Arabic a comprehensive "Financial Guide for Local Councils,"[17] in an effort to provide council members with a foundation for basic financial and sound accounting practices. These activities promoted departmental accountability and strengthened council oversight. Good council oversight is fundamental to firmly rooting accountable participatory democracy in Iraq. At its best, it helps councils and citizens evaluate the performance of subnational government institutions and their managers. Oversight can identify malfeasance, compelling local policy-makers to explain their policies and substantiate the reasoning behind them. When executed well, oversight prevents misconduct and corruption and gives citizens the information that they need to judge the responsiveness and performance of their local governments and to organize and manage their affairs effectively and efficiently.

Strengthening Capacity for Managing the Local Governance Fund (LGF)

Beginning in November 2003, the CPA, and later the U.S. Embassy, provided local councils with an LGF that ranged from $500,000 to $1 million to fund local priority projects. The LGP provided a specialist to manage the LGF, and in addition, the LGP teams in the governorates provided technical assistance and training to local councils on how to apply for and use the LGF funds. The LGP's training and assistance addressed how to include the participation of local citizens in identifying and

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[17] Part I of the guide consists of the following topics: Definition of an Operating Budget, Objectives of an Operating Budget, Planning Period of an Operating Budget, Authorities Assigned to Forecast an Operating Budget, Sources of Information for Operating Budget Forecasting, Follow-On Budget Approval and Means of Funding, and Samples of Operating Budgets. Part II of the guide consists of these topics: Internal Check Procedures, Internal Audit Independence and Objectivity, Internal Audit Report, and Internal Audit Authorities.

prioritizing projects, preparing project proposals, and implementing and managing projects in a transparent and accountable manner. All across Iraq, with LGP assistance, local councils have developed hundreds of project proposals and obtained LGF funding. For example, in Babil, 6 local councils and 5 service departments prepared 29 successful proposals worth $576,000. These proposals addressed community needs for water, roads, playgrounds, soccer fields, street lighting, school extensions, and a rural Internet café.

The LGP provided training and technical assistance to the councils and service departments in preparing and executing public service and public works tenders for the approved projects. The tenders were then prepared and issued and contracts awarded. As contracts were awarded, the LGP sponsored contract-signing ceremonies, attended by local officials and citizens, to publicize the role of local councils in the local media and to promote the legitimacy of local officials.

Councils were provided with intensive training on project oversight, including the approval of contractor invoices at public meetings, and the LGP also assisted in the development of LGF disbursement guidelines. As contractors completed the projects under LGF Phase 1, councils began making payments and learning more about contract arrangements and the payment process. In some cases, councils held back security deposits, which forced contractors to meet contract specifications as defined by the local councils.

Strengthening Capacity for Outreach

In many governorates, the LGP worked to strengthen the outreach capacity of governorate councils, governors, mayors, and department heads. Outreach capacity was strengthened by using various forums that maximized citizen participation, including open council meetings with coverage by print and broadcast media. Support was provided for the following efforts:

- Open council meetings, whereby the media could record, broadcast, and print council discussions, deliberations, and policy decisions

- Public civic education, whereby the governorate councils, governors, deputy governors, assistant governors, and members of the public could engage in discussion with citizens

- Establishment of citizens' complaints centers within the offices of governorate councils, governors, and service departments, in order to better understand citizens' concerns and to effectively address their problems

For example, in the North, the LGP held a series of public forum workshops on themes relating to the economic development of Kurdistan, which was co-hosted by the KRG and the University of Salahaddin and attended by more than 100 government officials, including KRG Prime Minister Nechervan Barzani and the current Deputy Prime Minister Sarkis Mamendu. In small groups, participants discussed the criteria for evaluating the 60 major recommendations of the AEDS and developed individual action plans to implement recommendations of the highest priority. These workshops were broadcast on Kurdistan satellite television; reported in the newspaper, *The Khabat Daily*; and appeared in the weekly magazine, *Gulan News*.

Increasing Participation by Women

Throughout Year 1 and Year 2, the LGP worked to increase women's participation in local policymaking. In Baghdad, Babil, Karbala, Diyala, Al Qadisiyah, Wasit, An Najaf, Ninawa, At Ta'mim, Al Muthanna, and elsewhere across the country, women have joined governorate, *qada'*, *nahiya*, and *hayy* councils. Before women presented themselves for election to the councils, the LGP

trained them on how to best present themselves, articulate and share their visions of leadership, and state how they can make a difference in their communities. In the governorates of Ninawa, At Ta'mim, Babil, and Al Basrah, governorate councils were expanded in order to add female council members.

In October 2003, the LGP established the IWLG initiative at the LGP HQ in Baghdad to focus on women's participation in Iraq's political processes. As a result of this focused strategy, LGP teams across Iraq successfully engaged women in civic dialogue and provided advice and training on the means to effectively influence public policy, assert their democratic rights, and play a role in a democratic Iraq. These efforts paid off. During December 2003 and February 2004, Iraqi women defeated the adoption of Resolution 137, issued by the Interim Governing Council (IGC), which would have dissolved the existing Personal Status Law and replaced it with Islamic Law. According to the IGC's decision, Islamic Law would have been applied to matters involving marriage, engagement, and all other issues related to women and family life, including inheritance.

Another controversial issue was the inclusion of female representatives in selected/elected bodies, including the TNA. In several conferences and workshops, the women proposed a 40 percent quota to ensure the inclusion of a sufficient number of women in the TNA. For example, the Women's Expert Committee (chaired by Her Excellency, Nesreen Barwari, Minister of Municipalities and Public Works) recommended that women should be represented by a 40 percent quota and that affirmative action should be exercised at all political and executive levels.

In Baghdad, the participation of women in the political process was increased through the development of committees within councils to support women's rights, building the capacity of women, and helping women to assume roles in the political process and local government. As of December 2004, more than 88 women were serving as council members at all levels. The LGP encouraged and advised the councils to establish committees that addressed women's and children's issues. Eighteen women's committees were created at the district, subdistrict, city, and governorate levels, and female council members oversaw these committees.

Mostly importantly, in the January 30, 2005, elections for the 275-member National Assembly, 87 women were elected, making up almost one-third of the assembly. In addition, 20 percent of the newly elected governorate council members from all across Iraq are women. This will give women a powerful platform for arguing their issues and for protecting their rights in the drafting of the Iraqi Constitution and local decision making.

Strengthening Intergovernmental Relations

In Year 2, the LGP launched an LGA initiative in an effort to foster coordination and collaboration among local governments, strengthen relationships with central ministries and local governments, and to build a stakeholder base for an enabling legal framework for decentralized local governance. The LGP trained a number of individuals through "Train-the-Trainers" workshops in Arbil, Baghdad, Al Hillah, and Al Basrah. In Arbil and At Ta'mim, the LGA training was provided to governorate council and lower council members and service department heads to demonstrate the roles and benefits of LGAs and how to form them. The LGP developed, translated into Arabic and Kurdish, and distributed its own *Local Government Association Handbook* to participants.

In an effort to streamline the relations between central government entities and local governments, the LGP conducted a series of national and regional conferences on decentralization and federalism. The first national conference was held in the Baghdad Convention Center on February 13, 2004. More than 250 participants from all across Iraq attended the conference—

including governors, mayors, governorate council members, and representatives of central ministries. Subsequent to this national conference, several regional conferences were conducted, and many of them had been requested by regional governors and governorate councils. These conferences covered a wide range of topics, including the concept of federalism, decentralization, the legal basis for decentralization, the tax and expenditure powers between different levels of government, and intergovernmental grants.

Impact of Accomplishments

The impact of the LGP's accomplishments can be summarized as follows:

- For the first time in many decades, Iraqis are able to elect their local leaders. In some cases, where citizens had opposed the choices of the CF, they successfully argued for the reconstitution of several councils to make them more representative of the population.

- Women have been given a democratic voice. With LGP support, they were able to defeat Resolution 137 and secured a quota of 25 percent representation in the TNA; this is reflected in Article 30(C) of the TAL.

- Local councils throughout Iraq are now expected to address citizens' priorities. Citizens are able to complain to councils and service departments about the inadequacy of services or the severe unemployment situation. Councils are also demanding greater control over reconstruction projects.

- With approximately 20,000 council members trained, local council members were better informed, better organized, and more effective. During the latter part of 2004, more local councils were adopting democratic concepts and principles, as well as general management and supervisory methods and techniques.

- The use of the LGF for funding local projects was very important in changing citizens' perception of the importance of local government and the role of councils. Local councils' ability to respond to constituent concerns with LGF increased the legitimacy of local government officials in the eyes of the public.

Throughout Iraq, the January 2005 elections resulted in a large turnover within governorate councils. In some governorates, the turnover was total, while in others, it was as high as 90 to 95 percent. Elections for *qada'*, *nahiya,* and *hayy* councils have not yet been scheduled.

The LGP began training the newly elected governorate councils in March 2005. These efforts continued during the LGP's extension period and will continue throughout the contract for Iraq Strengthening Local and Provincial Governance (ISLPG) program. To date, LGP has trained 507of the newly elected governorate council members, of whom 136, or 27 percent, are female.

Sustainability of Effort

In collaboration with the CF and other USAID contractors, the LGP provided meeting and workspace and office equipment for local councils. In so doing, the LGP fostered sustainability by helping local councils build their capacity to meet with their constituents and prepare for council work. This arrangement encouraged selected and elected council members to perform their jobs well.

In order to sustain its own efforts to foster local governments that are democratic, representative, responsive, and accountable, the LGP worked with local universities, CSOs, and non-profit

organizations to help these organizations build their capacity to deliver technical assistance, as well as research and training services to subnational governmental institutions. A good example is the work that the LGP accomplished with Al Mawsil University, Salahaddin University, and the Kurdish Institute for Public Administration (KIPA). Making a conscious and concerted effort to recruit, hire, and train Iraqi professional staff to deliver the LGP's technical assistance and training to subnational government institutions was essential, and it is perhaps the most important argument for supporting and extending the work that the LGP accomplished during the past two years. The LGP also coached a cadre of skilled Iraqi trainers that are now able to provide training, mentoring, and advice to local council members.

Establishing a legal framework to guide the functioning of local representative governments was perhaps the most critical for sustainability. Currently, councils lack a formalized authority that oversees local government executive officials, departments, and budgets. They do not have access to significant levels of resources with which to work. Consequently, citizens have questioned the legitimacy of councils. Moreover, the status of local councils below the governorate is precarious. To date, the Iraqi government has not announced whether elections will be held at these levels.

Lessons Learned and Best Practices

The future of local councils below the governorate level remains uncertain. Although recognized as governmental bodies by the CPA-issued TAL and Order No. 71, their future depends on the type of government that will emerge in the next few months. The formation of a centrist, undemocratic national government that is unwilling to share power and resources with governorate/provincial and local government units would embody the worst possible scenario for these councils.

Training on roles and responsibilities of local councils

In Baghdad and elsewhere, transparent, participatory democratic local decision-making processes were established and fostered by ensuring that (a) local councils, governors, and mayors understood their respective roles and responsibilities; (b) council meetings were chaired by an elected Iraqi chairperson; (c) meeting agendas were prepared and openly discussed among the Iraqis, without fear of retribution; and (d) council decisions were backed with the necessary resources.

Using local staff as community facilitators and trainers

The LGP's use of local Iraqi staff in the formation of local councils greatly increased the LGP's reach. It also translated into legitimatizing the council formation process. Increased use of local Iraqi professionals to implement elements of LGP activities also helped the LGP to reach an increasing number of communities and subnational government institutions.

Providing functioning offices and meeting places

Council members' effectiveness was greatly enhanced when they were provided offices with computers and Internet connections. Council members used their offices to prepare for council meetings and receive guests or to form alliances with other council members. The provision of adequate meeting places also encouraged citizen participation. For example, from time to time journalists, CSOs, and citizens were invited to observe council meetings.

Providing resources to address local needs

The legitimacy of local councils was significantly enhanced when they were able to use the LGF for projects that had been identified by their constituents. The LGF provided local

government officials the opportunity to exercise their authority and the ability to respond quickly to citizens' priority needs.

IR 4.1.3: More Effective and Efficient Local Service Delivery (Year 1)

> ### *The Performance Dashboard*
>
> Using rapid-response grants, technical assistance, and training, the LGP facilitated the restoration of operations of local service-delivery departments and strengthened their capacity to deliver services effectively and efficiently. Planning, budgeting, and internal control systems of local service-delivery departments were strengthened. These departments are now able to prepare their annual budgets and capital investment plans on their own. The mindset and behaviors of local officials and civil servants have also been changed from the rule-based culture of the Saddam Hussein regime to customer-oriented service delivery and from waiting for directions and instructions from central government officials to taking initiative to address the immediate needs of the local population. Technical capacities of local service-delivery department staff have also been enhanced through the adoption of ICT.

Overview

As noted previously, under Saddam Hussein, essential service delivery was planned, managed, and controlled centrally. Access to essential services was not automatically a citizen's right. The objective of local service-delivery department administrators and staff members was to please Ba'ath Party leaders, not to meet citizens' needs. The hiring and promotion of local civil servants were not based on merit, but rather on allegiance to the Ba'ath Party, as well as ethnic and tribal affiliation. An elaborate and complex bureaucracy was developed, along with formal procedures that required mountains of paperwork, resulting in a system that stressed conformity on strict spheres of responsibility and meticulous attention to the details of form and discipline. Thus, Iraqis had not developed a culture of service to citizens. Changing the mindset of Iraqi bureaucrats and inculcating the concept of customer-oriented service delivery were among the challenges addressed by the LGP.

In Year 1, the LGP sought to reorient service-department administrators and staff members to be more customer oriented and to take the initiative to solve service-delivery problems within their jurisdiction. The LGP also sought to improve the productivity and effectiveness of public services and administration and to establish merit and performance as the bases for appointment, promotion, remuneration, or termination of employment. To achieve these objectives, the LGP assigned long-term advisors at the governorate level and below and sought to engage local government staff and officials in various types of training activities.

The LGP also focused on developing the managerial and leadership skills of newly appointed governors and department heads. Most department heads had previously held purely technical or operations positions with little or no management responsibilities. After the departure of high-ranking Ba'ath Party members, they were thrust into a managerial role and were not prepared to plan, organize, staff, budget for, or direct operations. Moreover, under the previous, centralized system, local officials had no real roles in budget forecasting, CIP, resource allocation among competing priorities, project design and implementation, outsourcing and procurement, cash flow management, accounting and auditing, performance measurement and management, or public disclosure of the financial condition of the local government and service departments. These were all in the central government domain and were considered state

> **LGP Team Composition**
>
> 1. Local Government/City Management Specialist—Team Leader
> 2. Public Finance Specialist
> 3. Utilities Specialist
> 4. Civil Society Specialist/CSOs
> 5. Civil Society Specialist/DACs and NACs
> 6. Gender Specialist
> 7. Training Coordinator
> 8. Other Specialist (Business Development, Environment, Conflict Resolution, Tourism)
> 9. Operations Officer

secrets. It was within this context that the LGP was implemented.

Program Adjustment and Plans for Year 2

In Year 2, the LGP planned to consolidate the gains made in Year 1 by concentrating resources in key technical assistance areas and on policy reform. Additional training and technical assistance were developed and provided to subnational government service departments to enhance their capacity to define the mission, vision, and goals to guide their service-delivery philosophy and strategy. The LGP's Policy Reform Initiative was also strengthened by engaging more experienced personnel to work with selected central government ministries on fiscal and administrative decentralization issues.

Strategy

For each region and governorate, LGP teams—experts in city management, utilities management, and public finance—were assigned to work with service-delivery departments. Once emergency restoration of services subsided, each LGP team conducted service-department surveys and developed a needs assessment matrix in collaboration with service department managers and staff. Subsequently, a packet of technical assistance and training materials were developed and implemented.

Accomplishments

The LGP accomplished objectives in each of the following areas:

- Accountability and transparency mechanisms
- Service-delivery performance
- Managerial and organizational effectiveness
- Transparency and public outreach
- Local economic development
- Intergovernmental relations

LGP technical assistance enabled local governments to immediately meet requirements in budget preparation and financial analysis, which ensured that critical needs were not overlooked as a result of Iraqi civil servants' lack of experience. Since July 2003, the LGP has been working to develop and strengthen the budgeting and expenditure-management capacity within local governments. LGP teams analyzed the service-delivery departments' prewar accounting and financial management systems, hiring Iraqi consultants to analyze and explain the Ba'athist regime's accounting system. LGP public-finance specialists then worked with local departments to develop budgets for July to December 2003. The departments developed budget estimates and sent them to their respective central ministries. The final budget for each department was then determined in coordination with the Ministry of Finance (MOF) in Baghdad and local MOF Treasury personnel. LGP public-finance specialists also helped the local MOF Treasury and other departments execute approved budgets. This approach enabled governorate departments to develop practical budgeting and expenditure-management skills. It also enabled them to develop their 2004 and 2005 operating budgets and get them approved on their own.

LGP training on performance-measurement tools introduced local government service providers to the tools used by municipal service providers in other countries for managing customer-oriented service delivery. This training also raised their awareness about the benefits of adopting national standards for professional codes of conduct for elected officials and executive-department personnel, as well as for fiscal stewardship accountability. In a number of departments, the LGP assisted in improving management systems (e.g., personnel, fiscal, financial, and performance measurement) to enhance transparency and public integrity. Some of these systems improved the reporting on financial and service-delivery performance. The goal of these LGP efforts was to assist departments in making information clear and available to local councils, citizens, auditors, monitoring groups, the media, and others, so that local government performance would be open to public scrutiny.

As summarized below in Exhibit 10, the effectiveness and efficiency of local service-delivery departments were enhanced through a combination of technical assistance, development and installation of new systems and procedures, and training that included study tours abroad. In order to make the service-delivery department offices operational, the LGP's small grants program refurbished offices and provided tools and equipment. Each governorate has more than 50 service departments, and each service department has benefited from at least one or more technical assistance effort, training program, or workshop activity provided by the LGP.

Exhibit 10: Local Service-Delivery Capacity Building

Capacity Area	Governorate	Capacity Building Activities	Beneficiaries
Increased Managerial and Organizational Effectiveness	Baghdad	• Developed, installed, and trained staff on new accounting systems • Developed, installed, and trained staff on a coherent financial-management system • Developed and implemented an improved solid-waste management system • Developed a computerized procurement system • Developed, installed, and trained staff on a geographic information system (GIS) • Established the *Amanat* Training Center within the Water Department—outfitted with computers, Internet connections, and audio-visual equipment—to provide a venue for training more than 2,900 *Amanat* management and technical staff between January 2004 and February 2005 • Sent study tour of Water and Sewerage officials and professional staff to Alexandria, Egypt, with a primary focus on observing and learning about modern utility operations and accounting practices (March 2004) • Privatized solid-waste collection • Established solid-waste transfer stations within the districts of the City of Baghdad and selected and began developing solid-waste landfill sites • Supported campaigns for garbage clean-up	All departments in the *Amanat* 20 Baghdad Water and Sewerage directors
	Ninawa	• Repaired 36 vehicles, 1 crane, and 1 road grader for the Ninawa Directorate of Water to restore access to water	Approximately 1.7 million residents
	At Ta'mim, Arbil, Dahuk, As Sulaymaniyah	• Held 12, 4-day, basic-management and supervisory skill-building training workshops that addressed interpersonal skills, planning, leadership, time management, customer service, effective management practices, task delegation, strategic planning, problem solving, and decision-making skills	550 senior publicly appointed and elected officials from 33 KRG and central Iraqi ministries
	Babil, Al Qadisiyah, Karbala, Wasit	• Held 15 management, administrative, and technical training workshops to effectively and efficiently upgrade skills needed to manage and deliver local government services; workshops included – *Basic Principles of Public Management* – *Organizational Restructuring* – *Planning and Management of Capital-Improvement Projects* – *Public Services/Works Tendering and Contracting* – *Line Supervision and Delegation of Authority* – *Quality Management and Quality Control* – *Fraud Prevention* – *Leadership* – *e-Government* – *Water-Pipe Corrosion, Leak Detection in Water Networks*	All Departments in the South Central region

Capacity Area	Governorate	Capacity Building Activities	Beneficiaries
		− *GIS Applications in Infrastructure Projects and Converting Maps to Digital Formats* − *Street and Road Construction* − *Strategic Planning* − *Organizational and Technical Skills Assessment (SWOT)* − *Career Planning* − *Data-Based Policy Research and Decision Making*	
More Effective Personnel Management Systems	Baghdad, Al Basrah	• Implemented computerized personnel- and payroll-management system for the *Amanat,* with direct deposit of employees' salary into their personal bank accounts • Implemented computerized personnel- and payroll-management system for Al Basrah Education Directorate	All employees of the *Amanat*, Baghdad 25,000 employees of the Al Basrah Education Directorate
Improved Service-delivery Performance	Arbil, Dahuk, As Sulaymaniyah,	• Provided training on the use of performance-measurement tools	Key KRG ministries and departments
	Baghdad	• Conducted a cost-of-services and pricing study • Developed a customer billing system	Water, Sanitation, and Sewerage departments of the *Amanat,* serving nearly 5 million people
	Ninawa	• Provided training on the LGP's *Organizational Audit for Performance Excellence Methodology Handbook,* which is available in Arabic and provides best practices on performance excellence in the following areas: − *Leadership* − *Strategic Planning* − *Citizen- and Community-Focused Service Delivery* − *Data Analysis and Use* − *Human Resources Management* − *Process and Results Management*	Ninawa Directorates of Water, Sewerage, and Municipalities

Capacity Area	Governorate	Capacity Building Activities	Beneficiaries
Increased Application of Information and Computer Technology (ICT) to Enhance Technical Capacity	Salah Ad Din	• Conducted a 6-week computer- and communication-skills training workshop	Local government employees: 120 from the Justice Department, 25 from the Office of the Governor, and 144 from the Treasury Department
	Ninawa	• Supported training for engineering software (delivered by the University of Al Mawsil's College of Engineering) on the following applications: – *Computerized Engineering Drafting* – *AutoCAD* – *2004 Structural Analysis* – *STADD.Pro 2000* – *Engineering Design* – *3-D Studio Max 3.2* • Supported development and delivery of 56 courses by professors from Al Mawsil University's School of Administration and Economics on a wide range of topics—such as computer software, engineering, vehicle maintenance, management, and leadership • Supported development and delivery of 28 courses offered through Al Mawsil University's Geology Department to upgrade the technical abilities of the governorate's groundwater engineers (both field and lab training)	Ninawa Directorates of Water, Sewerage, and Municipalities All residents of Ninawa
	Arbil, Dahuk, As Sulaymaniyah	• Provided ICT support to the Kurdistan Mapping Center (KMC) for digital mapping and enabled KRG ministries and departments to share data and create maps that show various physical and demographic data on health, education, crime, and other fields • Provided ICT support to the KRG that included (1) a KRG Intranet with central, powerful Internet and e-mail service; and (2) a package of shared databases, with preset security levels, to enable the Kurdistan Public Information Center (KPIC) to have more open and transparent decision making through greater public accessibility	17 ministries of the KRG
	Babil, Karbala, Al Qadisiyah, Wasit	• Provided the following training: – *MS Office; other Windows-based software applications; and basic, intermediate, and advanced computer skills through 3- to 4-day courses* – *Computer and printer maintenance* • Offered an Engineers Application Program Certificate—in order to create awareness about efficiencies inherent in computer-based engineering applications, enable users to develop in-depth programming content, and develop engineering-management skills—that included the following courses and competencies:	Employees of the Directorates of Municipality, Water Resources, Sanitation, Agriculture, and Irrigation; the Middle Euphrates Electrical Distribution Department; and the governorate councils

Capacity Area	Governorate	Capacity Building Activities	Beneficiaries
		− *Beginning, Intermediate, and Advanced AutoCAD* − *STAAD.Pro (structural engineers)* − *ArcView (for developing GIS)* − *MS Access* − *MS Project*	More than 11,000 department officials and council members across the region received computer training for more than 36,600 contact hours[18]
	Al Muthanna	• Conducted an AutoCAD training course for department engineers (over a 40-day period), so that the engineers could design competent technical-engineering drawings • Conducted a basic computer-training course to improve the communications skills of governorate and ministry officials	Departments of Roads and Bridges, Electricity, and Water and Sewerage
	Baghdad	• Provided computer systems (with 50 computers) and basic computer and financial training to enable the functional departments of the Baghdad Governorate to conduct activities in planning, finance, billing, and other operations that had been deficient.	Baghdad departments outside the *Amanat*
Improved Accountability Mechanism: Integrated Accounting and Financial Management Systems	Al Basrah	• Monitored procurement and accounting procedures daily, including digital photos of spare and repaired equipment, and conducted a weekly open review of receipts and payments	The Water, Electric, and Sewerage departments
	Al Basrah	• Conducted training for local departments on preparing trial-balance records accounting of monthly expenditures for the MOF	All departments and the local MOF Treasury Directorate
	Al Basrah	• Conducted a 6-week, 60-hour training on a teachers' computerized payroll system for the Al Basrah Education Directorate, which included 1 week of training on the monthly payroll database that the LGP had developed for the Education Directorate to process the payroll for approximately 24,000 directorate employees. The database program reduced payroll processing time from approximately 20 days to 4 hours, resulting in substantial cost savings.	Al Basrah Education Directorate staff
	Baghdad	• Moved the financial-management systems of the *Amanat* from pen-and-paper solutions to these computerized management systems: − *budgeting-tracking system* − *personnel and salary system* − *property-management system* − *accounting system*	*Amanat* staff
	Babil	• Trained local councils (governorate, *qada',* and *nahiya*) to review and use financial audits of selected department (audits prepared by LGP-hired private Iraqi auditors)	Selected Al Hillah departments (about 20) and the local councils

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[18] A training contact hour represents the number of participants (X) multiplied by the number of instruction hours.

Capacity Area	Governorate	Capacity Building Activities	Beneficiaries
	At Ta'mim	• Established the Accounting and Audit Office, under the Deputy Governor for Governmental Affairs, to promote transparency and accountability	All departments
	Ninawa, At Ta'mim, Baghdad, Babil, Al Qadisiyah, Karbala, Wasit, An Najaf, Al Basrah, Al Muthanna, and Dhi Qar	• Provided the following training: – *Recurring-cost budgeting for service-delivery departments* – *General accepted accounting practices for developing operating budgets, current expenditure budgets, and capital budgets* – *10-day course on Financial Management Information System (FMIS) used by the MOF* – *5-day, intensive course held in Amman, Jordan, on the FreeBalance software modules used to implement the FMIS (November 26-December 1)* – *Accountability and transparency*	All governorate departments Ministry of Planning and Development staff, Ministry of Oil staff
	At Ta'mim	• Provided technical assistance to all local executive departments for developing operating budgets • Provided training on the following topics: – *Accounting* – *Budgeting* – *Auditing principles* • Provided technical assistance to the governorate's Financial Controlling Group, which was established to solve problems that occur within a whole range of public-finance activities, such as improving security and working conditions at the Rasheed 1st Hozairan Bank and the Directorates of Treasury, Taxation, Pension, and Finance	All At Ta'mim executive departments At Ta'mim Directorates of Treasury, Taxation, Pension, and Finance employees
	Al Qadisiyah, Babil, Wasit, An Najaf, and Karbala	• Provided training in public outreach and transparency	Key service-delivery departments
	Babil	• Developed e-Government Web site for Babil Governorate to help promote the use of technology for greater public access to information	Residents of Babil

Capacity Area	Governorate	Capacity Building Activities	Beneficiaries
Improved Planning for Local Economic Development	Babil, Al Qadisiyah, Wasit	• Trained farmers and Irrigation Department staff to set up and operate small-scale, drip-irrigation systems • Provided training on crop production and protection using drip-irrigation systems • Trained participants to do the following: − *establish water-user associations and districts* − *use fertilizers and pesticides* − *install, operate, and maintain drip-irrigation systems* − *grow vegetables with drip irrigation* • Conducted a 5-day training program on modern irrigation principles and practices, successfully utilizing professionals from the central Irrigation Directorate of the Water Resources Ministry in Baghdad as advisors and trainers • Completed two primary agriculture and irrigation projects that restored and upgraded basic service delivery and repaired four irrigation water-discharge regulators at Al Hurria, Al Haffar, and Al Shafiyah in Al Qadisiyah Governorate, benefiting more than 30,000 farmers and 5,000 families that use water diverted by the regulators • Strengthened agriculture extension services within each governorate by teaching extension workers new technology and modern agricultural practices • Organized a study trip to Jordan for officials from the Al Qadisiyah, Wasit, and Babil Directorates of Irrigation and Agriculture to tour the Valley Authority's irrigation system and review − *the current organization and public-management practices with regard to the use of extension services on irrigation-improvement efficiency for farmers and* − *the manner in which Jordan's Farmers Water Users Association functions.*	Staff of Irrigation Departments and small farmers 30,000 farmers 5,000 families
	At Ta'mim	• Established a local government employment-services office to address the huge unemployment problem and to foster merit-based hiring and promotion	15,000 employment seekers, 5,000 of whom have found employment
	Arbil, Dahuk, As Sulaymaniyah	• Participated in visioning and strategic planning to develop and implement initiatives that encourage local economic development and economic growth	KRG

Impact of Accomplishments

As a result of the LGP's technical assistance, training, and provision of renovated and furnished offices, service-delivery departments are now able to plan, budget, and execute service-delivery programs. Service-delivery departments have also become more customer-oriented. For example, some department heads began visiting neighborhoods and talking with citizens to assess community needs and the status of services. In addition, service departments have established complaint desks and have been responding to citizen complaints, either with the resources they have or with assistance from the CPA (until June 2004), the U.S. Embassy, or the CF. Local service-delivery departments have also been reviewing their personnel systems and assessing the training needs of their staff members.

Other impacts are summarized below:

- Substantially more Iraqi citizens have gained easier access to better-quality basic services in the governorates where LGP activities were implemented.

- The LGP's activities developed a cadre of skilled Iraqi professionals with a broad range of skills. These skilled professionals are now in great demand. For example, a cadre of more than 400 LGP-trained, experienced Iraqi nationals in the South region entered the Iraqi workforce, and some have assumed key positions in government departments. Many more have been hired by donor agencies and contractors. Others have been hired as chiefs of party (COPs), program managers, and advisors to newly arriving contractors, from both U.S.- and internationally funded programs.

- Subnational government agencies were introduced to and have adopted democratic concepts and principles, in addition to general management and supervisory methods and techniques. This established a basic foundation for future organizational and managerial growth.

- The LGP's RRG program helped restore suitable work space and provided office equipment for managers and staff of local government service departments, so that they could resume operations and begin to provide basic governmental services.

- LGP training programs helped develop the basic skills of key managers and supervisors in applying internationally accepted standards, methods, and techniques, as well as information technology, to enhance capabilities in these areas.

- In several governorates where the LGP efforts were implemented, management capacity and service-delivery capacity have increased. Many service departments are now able to operate and maintain computerized accounting and payroll systems and to control their finances and budgets more effectively.

Sustainability of Effort

The LGP trained a large number of service-department staff, providing them with a wide range of skills in accounting, budgeting, procurement and tendering, personnel management, and service-performance management. In addition, with LGP assistance, local universities, including Al Mawsil University (Ninawa Governorate), Salahaddin University (Arbil Governorate), Babil University, and Al Basrah University, have developed and are delivering similar training. In the City of Baghdad, the

Water Department now has its own training center—established with LGP assistance—and a cadre of LGP-trained trainers. Similarly, the LGP helped to reestablish a vocational training center (VTC) in Kirkuk (At Ta'mim Governorate) near the Employment Services Center (ESC).

LGP teams made concerted efforts to empower their Iraqi professional staff in order to achieve long-standing commitments to sustainability. In April and May 2004, Iraqi leadership potential was put to the test when LGP's international staff was relocated to Kuwait for security reasons. The Iraqi staff remaining in-country continued to implement LGP technical assistance and training without interruption.

Training LGP Iraqi staff and building the capacity of local think tanks and training institutions— e.g., the Iraq Center for Research and Strategic Studies (ICRSS), KIPA, KPIC, and KMC—will sustain most of the LGP-initiated training and technical assistance activities that were aimed at improving local governments' skills and efficiency in service delivery, transparency, and participatory public-policy decision making.

Lessons Learned and Best Practices

Some lessons and best practices that can be gleaned from the LGP's experience in Iraq include the following:

- Adopting a participatory approach and collaborative relationships with stakeholders has proven to be essential to program success. LGP teams in all regions developed their technical assistance based on collaborative needs assessment with local officials and staff. In Baghdad, Al Hillah, Al Basrah, As Samawah, Kirkuk, Al Mawsil, and Arbil, training and technical assistance were demand-based, with requests coming from council members and executive department heads and staff.

- Exposing Iraqi managers and professionals to new and state-of-the-art management and service-delivery practices through study tours abroad has had a profound impact on the trainees and the departments they manage. The study tours to Egypt, Jordan, the Philippines, Turkey, and the United States for government officials and department heads were very beneficial and useful, as indicated by the testimonials of the participants. Upon their return to Iraq, the participants eagerly shared their experiences with their colleagues and staff.

- Managing change effectively within an organization depends on, among other things, three major factors: (1) the acknowledgement that change is necessary, (2) management's ability to supervise the change process, and (3) the nature of the communications and participation processes surrounding the change. After the collapse of the former rigid bureaucracy and being exposed to new ways of thinking and doing business, many local officials agreed that change was needed. Officials have also begun to explore new and innovative ways of strengthening their service-delivery capacity and meeting the needs of customers more effectively and efficiently.

IR 4.1.3: Subnational Government That Has a Fundamental Political and Economic Role in a Sovereign Iraq (Year 2)

The Performance Dashboard

The dialogue on Fiscal and Administrative Decentralization has continued, and with the LGP's advice and technical assistance, the MMPW is preparing to launch a pilot program for the devolution of specific service-delivery authority to local service-delivery departments in selected localities. Several decentralization and federalism conferences have been conducted around the country. A stakeholder-based advocacy for decentralization and strong local government is also in the making. Some localities in the South Central and South regions have joined to form local and regional LGAs.

Overview

By early October 2003, the LGP had made several recommendations to the CPA on the need to develop and implement a fiscal and administrative decentralization policy framework. Its purpose would be to empower local governments that were already functioning de facto as decentralized entities. Nevertheless, it was not until the TAL and the accompanying LGPO were drafted that the LGP was allowed to interact with and advise central government ministries. In an effort to facilitate the policy reform work, the LGP had established a small PRT in October 2003, supported by policy experts hired as short-term advisors. These policy experts met once a week with the CPA governance group to review how the LGP could work with CPA advisors on the decentralization policy reform. However, CPA advisors expressed only minimal interest, and the LGP could not move forward.

In January 2004, after obtaining agreement from USAID to begin work on the decentralization policy reform agenda, the LGP expanded the PRT, added more long-term policy experts, and developed an expanded scope of work and work plan. With this mandate, the team reviewed the policy papers that had been submitted earlier to the CPA and began to develop additional studies on devolution of authority to subnational governments to share with Iraqi counterparts in the central ministries, including the MMPW, MoSPA, and MOF.

Strategy

The Year 2 Intermediate Result, IR 4.1.3, was more of a national effort driven by the PRT. However, the PRT also worked with regional staff to address such issues as decentralization, the development of a stakeholder base for decentralization advocacy, and the establishment of local government associations as effective advocates for decentralization policy reform. The PRT devised the following strategies and mechanisms to carry out the LGP's decentralization policy reform mandate:

- Clarifying the roles and responsibilities for each level of government to form the basis for the legal structure of government going forward

- Promoting policy reform in support of local governance through a series of proposed roundtable discussions on decentralization with the Council of Ministers

- Reviewing with key stakeholders policy alternatives that enable subnational government to access and use national and local revenues and to promote economic development

- Developing criteria and a policy framework for a pilot program by working with the Minister of the MMPW to select one or several municipal services for which responsibility would eventually be devolved to subnational government

- Developing regularized mechanisms for citizen participation in governmental decision-making processes by establishing a national association of local governments with branches in the governorates/provinces—or a network of LGAs—to better represent the interests of local government.

- Promoting political and financial alliances among subnational entities to improve revenue sharing, service delivery, and contributions to national policymaking

Accomplishments

Since its establishment in October 2003, the PRT has accomplished several important milestones. These milestones represent important steps toward building a stakeholder support base for the democratic decentralization of administrative and fiscal authority for service delivery within national and local government.

Promoting dialogue on decentralization between central and local governments

On February 12, 2004, the LGP, the EGP (BearingPoint), and the MMPW cohosted a conference in Baghdad on administrative and fiscal decentralization. The approximately 190 attendees included Dr. Mowaffik al Ruba'ie (a member of the CPA-instituted IGC), Ms. Nesreen Barwari (Minister of MMPW), governors and deputy governors from seven governorates, several governorate council chairs, local ministry directors general from eight governorates, and representatives of several central ministries.[19] The purpose of the conference was to generate ideas on decentralization for the IGC to consider in its deliberation of the TAL. Presentations were made in Arabic and English with simultaneous translations. Speakers from USAID, CPA, RTI, and BearingPoint covered the following topics:

- Principles of administrative and fiscal decentralization

- Division of responsibilities among various levels of government

- Decentralization capacity-building needs (legislative, infrastructure, and human resource development)

- A case study of decentralization in Indonesia

- Lessons learned from the Middle East and Arab world and from Indonesia

The national conference was well received by those attending. No one spoke against the concept of decentralization or federalism, nor did there appear to be significant concern that the unity of Iraq might be threatened. The conference proceedings were published in English and Arabic and widely distributed to Iraqi officials.

On March 28, 2004, the first in a series of regional decentralization conferences was held in Al Basrah, with 150 Iraqis participating. The conference was covered on a number of television and

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[19] "Federalism and Decentralization: Key Features and Issues," Conference Proceedings, Convention Center, Baghdad, February 12, 2004.

radio stations, including Al-Nahkeel, Annareen, Iraqi Media Network (IMN) TV, and Radio Free Europe. Conference participants included the governors of Al Basrah, Dhi Qar, Maysan, and Al Muthanna, as well as governorate and local council members, religious and political party members, trade association representatives, academics, local service delivery department heads, and citizens.

In Arbil, Al Hillah, and Al Basrah, 1- to 2-day decentralization workshops were held between October and November 2004 to help local government officials gauge the level of support for decentralization at the local level and to garner support for decentralization policy reform. Initial feedback from local officials suggested they recognized the importance of some degree of decentralized authority but felt that the LGP should also work with the central ministries and government officials who make key decisions on decentralized local governance. The PRT established working relationships with the two stakeholders in the national government who could best promote decentralization and policy reform: the Minister of MoSPA and the Minister of MMPW.

The Minister of MMPW suggested in late November 2004 that the LGP should hold a series of roundtable discussions for the Council of Ministers (before new appointments) to lay out the benefits of creating strong local governments. The Minister of MMPW offered to host the roundtable discussions in late January or early February 2005, but she later postponed them because of the elections.

The LGP then collaborated with the Minister of MoSPA to hold a 2-day national conference on federalism and decentralization on March 13-14, 2005. The purposes were to form a vision for federalism while drafting the new Iraqi Constitution, and to increase awareness of the concepts and principles of decentralization. More than 350 delegates (150 of whom were women) attended the conference, including 4 ministers (the Minister of Agriculture, the Minister of Youth, the Minister of Civil Society, and the Minister of Health); 4 members of the newly elected National Assembly; 9 governors (or their representatives); and governorate council members from Al Basrah, Dhi Qar, Maysan, Al Qadisiyah, Al Muthanna, Babil, Dahuk, Karbala, and Baghdad; the Chairman of the Iraqi Scientific Assembly; university lecturers from Baghdad and Al Basrah Universities; representatives of the Cooperation Union (an umbrella organization for 2,000 NGOs); representatives of the Democratic Union of Workers; the Chairman of the General Union of Iraqi Youth; representatives of the Jurist Union and of the Lawyers' Syndicate; 12 members of the Baghdad Governorate Council; 150 tribal leaders representing various tribes; and representatives of women's groups.

LGP representatives served on the preparatory committee for the conference to assist in reviewing the policy briefs for presentation and distribution at the conference and to aid with the logistics. The LGP also participated in one of the panel discussions, giving a presentation on the benefit of establishing LGAs in Iraq and distributing copies of its 30-page handbook on LGAs to the attendees.

After the conference, the Minister of MoSPA established a ministerial committee that will continue to hold regional conferences, small meetings, and dialogues on federalism and decentralization to contribute to the National Assembly's process of drafting the Constitution. The first regional conference was planned for April 11-12, 2005, in Al Basrah.

Local Government Assessment Report

In a policy paper draft in October 2004, the LGP offered a framework for decentralization that focused on the more generic functions of government: policy formation, strategy development,

program planning, project planning, implementation, and monitoring and evaluation. Additionally, the LGP developed a matrix that proposed an assignment of responsibilities for specific government functions across all levels of government (see Exhibit 11, below). Although the matrix and the accompanying policy paper represented a good start, the LGP determined that a more thorough assessment was needed to clarify the roles and responsibilities for each level of government. Consequently, the LGP conducted a rapid appraisal of the status of current local government structures in five governorates—Al Basrah, Baghdad, Arbil, At Ta'mim, and Babil. Then, the LGP prepared a preliminary report with recommendations and observations on the appropriate roles and responsibilities for all levels of government (see Exhibit 12, below).

Exhibit 11: Preliminary Breakdown of Responsibilities Between Levels of Government

Area of Activity	Central	Governorate	*Qada'*	Urban *Nahiya*	Rural *Nahiya*
1. Security 1a. Police 1b. Traffic Police 1c. Fire and Public Safety (FPS)	1. Sets national policy	1. Develops security strategy for governorate, involving police, border police, facilities police, and Iraqi National Guard (ING). 1a. Approves Police Plan		1a. Approves Police Plan for area 1b. Approves Traffic Police Plan for area 1c. Approves strategy for deployment of FPS	1a. Approves Police Plan for area 1b. Approves Traffic Police Plan for area 1c. Approves strategy for deployment of FPS
2. Municipal Services 2a. Solid Waste 2b. Parks and Recreation 2c. Drainage 2d. Street Cleaning	2. Sets national policy and standards for provision of services.	2a. Reviews location of final disposal sites, if serving area larger than *Qada'* or near environmentally sensitive areas	2a. Manages final disposal site	2a. Handles collection and recycling 2b/c.Directs development and maintenance 2d. Provides management	2a. Handles collection and recycling 2b/c.Directs development and maintenance 2d. Provides management
3. Planning 3a. Strategic Plans 3b. Structure Plans 3c. Master Plans	3. Establishes system of planning and frequency of planning. 3a/b/c Exercises power of appeal	3a. Bears primary responsibility after consultation with *Qada'* 3b. Prepares structure plan for governorate 3c. Checks Master Plans of *Qada'* consistent with Structure Plan	3a. Provides input to Governorate Strategy, based on inputs from *Nahiya* 3c. Prepares Master Plans and checks detailed land-use plans prepared by *Nahiya* for consistency	3a. Provides input to Governorate Strategy, sent to *Qada'* 3c. Creates detailed Land-Use Plans Approves development proposals consistent with Detailed Land-Use Plans	3a. Provides input to Governorate Strategy, sent to *Qada'* 3c. Creates detailed Land-Use Plans for urban areas. Approves development proposals consistent with *Qada'* Master Plan and Detailed Land-Use Plans

Area of Activity	Central	Governorate	*Qada'*	Urban *Nahiya*	Rural *Nahiya*
4. Education 4a. Kindergarten 4b. Primary 4c. Secondary 4d. Technical Schools 4e. Teacher Training Schools 4f. Curriculum	4. Sets policy, in particular policy-compulsory education and basic educational standards. 4f. Determines curriculum, national examination standards for all subjects.	4d. and 4e. Determines construction and staffing of Technical- and Teacher-Training Schools	4c. Supervises secondary school construction and staffing with additional curriculum subjects for secondary schools	4a. Supervises kindergarten construction and staffing 4b. Supervises primary school construction and staffing with additional curriculum subjects for primary schools	4a. Supervises kindergarten construction and staffing 4b. Supervises primary school construction and staffing with additional curriculum subjects for primary schools
5. Health 5a. Primary Health Care 5b. Health Education 5c. Health Clinics 5d. Community Hospitals 5e. General Hospitals 5f. Specialist Hospitals	5. Sets policy and minimum service standards, initially based on access to medical care and later quality of available care. Sets policy on drug production, importing, distribution, and licensing 5e. Oversees construction and staffing and all costs of specialist health centers	5e. Manages General Hospitals—construction, operation, and maintenance	5d. Directs community Hospitals—construction, operation, and maintenance	5a. Oversees primary health care delivery and education, including health checks on all compulsory school-aged children 5c. Supervises health clinics—construction, operation, and maintenance	5a. Oversees primary health care delivery and education, including health checks on all compulsory school-aged children 5c. Supervises health clinics—construction, operation and maintenance

Area of Activity	Central	Governorate	*Qada'*	Urban *Nahiya*	Rural *Nahiya*
6. Drinking Water 6a. Water Treatment 6b. Water Mains Distribution 6c. Secondary and Tertiary Distribution	6. Sets policy and minimum service standards	6. Creates strategy for drinking water delivery in governorate, to meet national guidelines 6a/b. Directs water treatment and mains distribution, construction, and management where system serves more than one *Qada'*	6a/b. Directs water treatment and mains distribution, construction, and management	6c. Identifies secondary and tertiary water networks, which can be supported by the water-provision capacities of mains, water treatment, and distribution systems. Leads planning in conjunction with *Qada'* authorities	6a. Oversees small-scale water treatment plant construction, operation, and maintenance where main system not available
7. Roads 7a. Local Roads 7b. Governorate Roads 7c. National Roads	7. Sets general policy on system of classifying roads between national, governorate and local 7c. Determines planning, construction, and maintenance of national road network	7. Creates general strategy for road construction in governorate 7b. Supervises planning, construction, and maintenance of governorate roads		7a. Manages road construction and maintenance within urban areas, not part of governorate or national road system	7a. Manages road construction and maintenance in villages and between villages within *Nahiya*, that are not part of the governorate or national road system
8. Sewage Disposal 8a. Sewage Treatment Plant 8b. Sewerage Network 8c. Septic Tank Evacuation 8d. Sanitation Education	8. Sets general policy on sanitation, covering standards for construction of basic sanitation systems and effluent discharge into ground water or water courses 8d. Prepares Sanitation Education program and materials	8a. Approves sewage treatment plant location	8c. Controls location of places for discharge of effluent from septic tanks	8a/b. Supervises construction, operation, and maintenance of sewerage network and treatment plants 8d. Implements national sanitation education programs 8c. Facilitates septic tank emptying in areas not covered by main sewerage system	8c. Facilitates septic tank emptying and arrangements for final disposal.

Area of Activity	Central	Governorate	*Qada'*	Urban *Nahiya*	Rural *Nahiya*
9. Fire Protection	9. Sets national policy and standards			9. Provides and manages fire stations, their staffing, operations, and maintenance	9. Develops village fire-fighting capacity
10. Environmental Control 10a. Strategy 10b. Enforcement	10. Sets general policy on environment and environmental standards	10a. Develops environmental strategy, including identification of sensitive areas, conservation areas, and areas of special environmental interest	10b. Enforces national standards, including adequate planning/ development safeguards for environmentally sensitive areas.	10b. Ensures that all development proposed in *Nahiya* conforms with national standards and observes development restrictions in environmentally sensitive areas	10b. Ensures that all development proposed in *Nahiya* conforms with national standards and observes development restrictions in environmentally sensitive areas
11. Social Welfare 11a. Unemployment 11b. Widows and Orphans 11c. Special Needs Groups	11. Sets national policy and programs to meet needs of special interest groups	11. Formulates governorate strategy on employment generation and special needs groups		11c. Directs planning, operating, maintaining, and staffing special needs schools	
12. Housing 12a. Public Housing 12b. Land Distribution	12. Sets policy on housing provision, standards, and building regulations	12. Creates housing development (including land) strategy for governorate to meet policy requirements	12b. Provides housing land estimates for *Qada'*, included in Master Plan	12a. Oversees public housing development, management, and maintenance 12b. Regularizes titles to land with informal housing that complies with general land uses 12b. Creates service sites for low-cost, self-build housing	12b. Regularizes titles to land with informal housing that complies with general land uses. 12b. Creates service sites for low-cost, self-build housing

Area of Activity	Central	Governorate	*Qada'*	Urban *Nahiya*	Rural *Nahiya*
13. Electricity 13a. Generation 13b. Distribution 13c. Connections 13d. Street Lighting	13. Sets National Power Generation and Distribution Policy and Plan	13. Provides input into creation of National Power Plan	13. Estimates power requirements for *Qada'*	13d. Maintains street lighting	13a/b/c. Manages local generation, distribution, and connection in isolated locations 13d. Maintains street lighting
14. Culture and Sport 14a. Stadium Construction 14b. Sports Facilities 14c. Theater Construction 14d. Sports Events 14e. Cultural Events	14. Sets general policy and standards of provision	14a/b/c. Supervises regional stadium and sports and cultural facilities, construction, and operation 14 d/e .Manages regional sports and cultural events		14b/c. Manages construction, operation, and maintenance of local sports and theaters. 14d/e. Organizes local sports and cultural events	14b. Manages construction, operation, and management of sports facilities 14d. Organizes local sports events
15. Agriculture 15a. Veterinary Services 15b. Agricultural Laboratories and Research 15c. Agricultural Supplies Distribution 15d. Extension Services 15e. Land Reclamation 15f. Agricultural Education	15. Sets national policy on aid and assistance to sector. Sets policy on 15a, 15b, 15c, 15d, 15e, and 15f, and monitoring of same	15. Develops strategy for sector 15b.Maintains agricultural laboratories 15e. Manages storage, monitoring, and use of reserves 15f. Develops strategy for reclamation of land	15a and 15d. Oversees location of agricultural support services and extension workers 15c. Oversees location of agricultural supplies distribution centers 15e. Manages reclamation projects		15c. Maintains distribution capacity. 15e. Manages reclamation monitoring 15f. Provides agriculture education programs 15a. Supervises veterinary services centers—construction, management, and maintenance

Area of Activity	Central	Governorate	*Qada'*	Urban *Nahiya*	Rural *Nahiya*
16. Irrigation 16a. Water Resources 16b. Dams and Main Water-Distribution Networks 16c. Secondary and Tertiary Systems 16d. Irrigation-sharing System	16. Sets national policy on irrigation and water resources	16b. Oversees major irrigation projects 16d. Develops strategy between governorates	16c. Oversees planning and construction of secondary systems 16d. Develops strategy between *Aqdiyah* (pl. of *Qada'*)		16c. Supervises planning, construction, and maintenance of tertiary irrigation networks Oversees cleaning of secondary systems 16d. Facilitates irrigation sharing between farms
17. Transport 17a. Public Transport 17b. Traffic Management 17c. Traffic Police	17. Sets national policy 17a. Determines rail transport and air transport policy, operations, and management, including development of facilities and airports 17b. Provides air traffic control 17c. Provides railway police	17a. Sets regional public transport policy and develops and manages systems, pricing, etc.		17a. Directs local public bus company, licensing of private sector, and routing management 17b. Oversees local traffic management 17c. Manages traffic police	

Exhibit 12: PRT-Suggested Division of Service-Delivery Authority

Based on the rapid appraisal of local governance structure in five governorates—
Al Basrah, Baghdad, Arbil, At Ta'mim, and Babil—local government cannot be accountable for
fulfilling certain obligations without the authority necessary to ensure their qualified performance.
Authority should be distributed carefully between levels of government according to the relevant
responsibilities for each level of government.

What follows is a proposed distribution of authority between different levels of government
according to the responsibilities assigned in Exhibit 11, above:

I.   Central Government

1. Enacts regulations to ensure good performance
2. Establishes minimum services standards
3. Authorizes agreements and approves major imports from other countries
4. Authorizes agreements and approves important contracts with foreign companies
5. Accepts grants from bilateral and multilateral agencies
6. Monitors the work of any municipality, but submits reports to the local government

II. Governorate Level/Municipality Directorate

1. Mandates technical specifications
2. Appropriates land outside the municipalities' boundaries for landfill sites
3. Monitors the work of municipalities, but submits reports to the local government

III. Governorate Level/Council

1. Approves strategic plans, technical specifications, program planning, project planning.
2. Approves landfill site selection
3. Monitors the work of the municipality directorate

IV. Qada' and Nahiya Level/Municipality Office

A. Legal Authorities
   1. Approves land ownership
   2. Approves binding contracts (construction, goods and services, consultancy)
   3. Approves period extensions for small contracts
   4. Issues contracts
   5. Establishes surveillance and investigative committees

B. Fiscal Authorities
   1. Manages expenditures
   2. Adjusts operating budget (suitable revenues must be available)
   3. Transfers amounts between operating budget lines.
   4. Rents equipment according to current prices
   5. Oversees negotiations, contracting, and obligations
   6. Makes payments on binding contracts
   7. Manages expensing, using Ministry of Finance instructions
   8. Manages expensing of approved amounts
   9. Requests increases in allocations for the capital budget

10. Manages final settlement of accounts for contracts
11. Manages employees' compensation
12. Manages loan payments
13. Raises fees, charges, etc.

C. Administrative Authorities
    1. Makes temporary employee appointments
    2. Defines job descriptions
    3. Imposes and rescinds penalties on officials
    4. Determines overtime work hours
    5. Arranges transportation for officials
    6. Permits ordinary leave for officials
    7. Makes assignments for officials inside the country
    8. Grants study leave/sabbaticals for officials within the country
    9. Grants unpaid leave
    10. Demonstrates appreciation to officials
    11. Grants delivery/maternity leave for women
    12. Promotes officials' grade levels annually and adjusts their titles
    13. Appoints officials according to vacancies and financial allocations
    14. Grants workers' separation and accepts resignations
    15. Grants retirement of officials
    16. Places restrictions on officials
    17. Determines work suspension of officials.

D. Technical Authorities
    1. Prepares technical tenders
    2. Checks and approves technical tenders
    3. Cancels from or adds new items to the tender within the total approved amount
    4. Adds new tender items within the surplus amount of the original tender
    5. Establishes works approval committees
    6. Approves final work acceptance and pays guaranteed amounts for qualified performance
    7. Requests materials supplied by other ministries (Some materials, such as cement, asphalt, fuel, etc., need a ministerial order to be supplied to any project, which may otherwise result in the delay of work progress)

E. Property (movable and immovable)
    1. Estimates property values
    2. Prepares sales declarations
    3. Grants sales approval
    4. Manages property transfers
    5. Manages lease proposals
    6. Manages lease declarations
    7. Approves lease bids
    8. Retires machinery

V. *Qada'* and *Nahiya* Level/Council

    1. Adjusts priorities in capital budget
    2. Sets services fees
    3. Imposes legislative sanctions

4. Presents municipal encouragement rewards
5. Selects type of monuments for city beautification
6. Monitors the work of municipality office
7. Approves period extensions for large contracts.
8. Changes technical tenders according to the public needs
9. Oversees the work of municipalities directorates

Services-Delivery Process

Under the decentralized governance system, the service-delivery process consists of a number of steps that could be identified according to generic functions of government. The first step is the policy-making process, which includes the government's general goals for promoting the socioeconomic welfare of its citizens. The second step necessitates the establishment of minimum standards to ensure the achievement of government goals. The third step is the local councils' involvement in approving, monitoring, and determining priorities, which is expected to ensure good performance of service delivery through democracy and public participation.

Exhibit 13, below, identifies these steps according to the logical priorities, and shows the relationship between different levels of government in delivering municipal services.

**Exhibit 13: Suggested Flow Chart for Municipal Service Delivery in a
Decentralized Governance System**

Municipalities' Directors General

1. Policy making
2. Minimum Service Standards
16. Performance measurement
17. Evaluation

Reports

Reports

Governorate/Executive

3. Strategies
4. Technical specifications
6. Implementation, if zone of influence of activity is larger than one *nahiya*, such as a landfill-site selection

Governorate/Council

5. Approval for programs, specifications, etc.
14. Monitoring
15. Evaluation

Reports

Reports

Nahiya/Municipality

7. Program planning
8. Project planning
10. Designing, surveying, etc.
11. Delivery, management, etc.

Nahiya/Council

9. Approval for programs, specifications, etc.
12. Monitoring
13. Evaluation

Decentralization Pilot Program

The LGP worked with the Minister of MMPW to implement the pilot program in which selected authority would be delegated, on an experimental basis, from the central government to local governments. The experiment would involve two pilot sites and selected municipal services, such as waste collection, street cleaning, and drainage-system maintenance. The LGP proposed starting the pilot program in early November 2004 and formed a decentralization task force within the ministry's Directorate of Municipalities to report on and make recommendations for the program by January 31, 2005. The proposal was ultimately to field test the delegation of powers and responsibilities for identified services in selected local governments, from February to September 2005, and then to evaluate the pilot program and recommend a national rollout after September 2005.

The LGP laid out the objectives and the proposed methodology for the program at a workshop for the MMPW on October 31, 2004, and the MMPW accepted the pilot-program proposal. By mid-December 2004, under a ministerial order, the Minister of MMPW had established a steering committee composed of the ministry's directors general to oversee the progress of the program. The

PRT worked with the Decentralization Technical Task Force to prepare a report—which assessed the current authorities (financial, technical, administrative, and general) and the current roles and responsibilities of each level of government for delivering municipal services—and submitted this report to the steering committee. Based on the submitted report, the committee chose Al Kut and Hafriya (both in Wasit Governorate) as the pilot sites and delegated additional responsibilities for waste collection, street cleaning, and drainage-system maintenance from the ministry to these pilot sites. The LGP continued to work with the ministry to prepare a ministerial order that would delegate these responsibilities to the pilot-program sites; a detailed work plan has been drafted. As the new ministers and administration were still being appointed, following the January 30, 2005, elections, the pilot program was put on hold until the key functionaries were appointed. But after the original Ministerial Order was revised to address the Cabinet of Ministers concerns, Minister Berwari signed the Order on April 13, 2005.

Formation of Local Government Associations in Iraq

The LGP determined that the formation of LGAs in Iraq would be a key component of its efforts to help local governments establish a voice and participate in the decision-making process at the national level. With this in mind, the LGP spearheaded the LGA initiative, beginning in October 2004, by holding a series of workshops on the concept of LGAs, why they are needed, how they are structured, and what they can do for local government.

LGP then trained Iraqi staff to conduct LGA workshops throughout the country to raise awareness and garner support among local councils for forming LGAs. The LGP then used parts of a reference guide on LGAs—developed by the International Union of Local Government Associations (IULA)—as the basis for a condensed version of the reference guide or "toolkit." The LGP translated the adapted toolkit into Arabic and Kurdish for distribution to local council members who would be directly involved in forming LGAs in Iraq. The LGP also adapted the IULA reference guide into a condensed handbook on LGAs, in Arabic and Kurdish for distribution to a wider audience, including citizens. Other products included an LGA brochure and a comprehensive PowerPoint presentation for use at the workshops. The LGA handbook, reference guide, brochure, and PowerPoint presentation provided a variety of standardized materials to support the training and briefings of local government officials.

By mid-February 2005, LGP had convened workshops in Al Basrah, Baghdad, Al Hillah, Dahuk/Arbil, and Kirkuk for 84 local council members. Working closely with local teams, LGP identified and trained several key Iraqi staff in each of the field and/or governorate/provincial offices to facilitate policy reform activities in the regions. This ensured more of a national outreach of policy reform activities across the country, despite restricted movement because of security concerns. During these workshops, the Iraqi staff serving as facilitators distributed questionnaires to gain immediate feedback on the level of support for establishing LGAs in Iraq. All 84 participants responded to the questionnaire, and 96 percent felt that having an LGA (or LGAs) in Iraq would be useful and worthwhile.

Impact of Accomplishments

The initiated policy reform activities strengthened LGP's working relationships with the MoSPA and MMPW. Policy advisors can build on these activities to establish working relationships with other key ministers, particularly in the MOF and the Ministry of Planning, to promote a decentralized local governance system. The program activities also prepared for a national policy framework that carries over into USAID's follow-on program, ISLPG. As a result, ISLPG field staff will have a better framework and clearer strategy for carrying out their local governance work. Another

important impact of LGP accomplishments was better integration and coordination of policy and field activities. The combined activities also provided a basis for ISLPG to have indirect input when the Constitution is drafted.

Sustainability of Effort

The key to sustaining the LGP's efforts was training Iraqi staff to implement the policy reform work with minimal supervision from the expatriate advisors. The LGP focused on working with Regional Team Leaders early in December 2004, to ensure that there would be a cadre of trained Iraqi staff to achieve a continuous presence at the local level and to continue familiarizing local government officials and other stakeholders with the benefits of increased administrative and fiscal decentralization. The LGP also prepared standardized materials and documentation to ensure a consistent approach to training Iraqi counterparts on policy reform issues and to transfer a body of knowledge and information on best practices to sustain LGP training efforts. In the end, however, sustainability of the policy reform effort critically depends on the Iraqi government's political will to devolve decision-making authority to the administrations of governorates, districts, and subdistricts.

Lessons Learned and Best Practices

Lessons gleaned from the LGP's experience over the past two years in its effort to garner support for an enabling decentralization policy and legal framework include the following:

- Accommodation by CPA policy advisors to LGP's involvement early in 2003 would have accelerated the decentralization dialogue and built a wider range of support among central government ministry officials and members of the governing councils. It would have also injected substantive decentralization legislation into the TAL. The CPA policy advisors' resistance to decentralization may have inadvertently strengthened the hands of those Iraqi officials seeking to retain central control over governmental affairs.

- The training and use of Iraqi professionals to analyze the existing laws and regulations and to communicate to central and local government officials the pros and cons of decentralized service delivery has enabled the LGP to build an advocacy stakeholder group among local government executives, councils, and selected central ministry officials. Senior local Iraq professional staff who are familiar with the structure of government under the previous regime were able to converse authoritatively with central ministry officials and to convince them to support fiscal and administrative decentralization for a range of urban services.

- Taking international study tours to observe and learn how decentralization works in other countries has been a key experience for galvanizing support for decentralization. Such tours allow local officials to observe firsthand how countries in transition are grappling with decentralization or to meet representatives from LGAs to learn how they are working in transition countries or more developed countries.

- There is a great need to synchronize the expert advice provided by the different donors to Iraqi officials about the form of local government. In the developed world, for example, the form and mode of decentralization is different from one country to another. Thus, it is important for the program to coordinate policy reform activities with other international organizations and to synchronize the structure, roles, and responsibilities of local governments across programs to avoid conflicting messages and duplicating efforts.

IR 4.1.4: More Effective Advocacy and Participation of Civil Society Organizations (Year 1); Iraqi People That Are Informed About and Participating in National and Local Political Processes (Year 2)

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The Performance Dashboard

During Year 1, the LGP facilitated the establishment of several CSOs. It also strengthened the capacity of these CSOs so that they can serve as the collective voice of the local population to demand better governance and better access to basic public services. Women's CSOs were successful in arguing for representation in the TNA, and a minimum quota of 25 percent was written into the CPA TAL. Consequently, more than 30 percent of the current TNA members are women, and more than 20 percent of governorate council members are also women.

Through more than 22,000 Democracy Dialogue Activity (DDA) events, the LGP engaged Iraqis to discuss among themselves the virtues of democracy, participation, and respect for civil and human rights. Citizens were galvanized and engaged. This cumulated in the very high turnout for the January 30, 2005, national elections for the members of the TNA and governorate councils. More than 70 percent of registered voters cast their votes.

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Overview

CSOs have long existed in Iraq. However, most were associated with religious institutions and focused on humanitarian assistance. There were also professional, trade, and industrial syndicates, which were manipulated by the Ba'ath Party apparatus for political ends. The concept of a civil society that demands government services and holds government accountable, however, was virtually untried in Iraq. Therefore, one LGP goal was to stimulate greater cooperation among the public and private sectors and in civil society regarding local public service delivery. Another goal was to empower CSOs to demand and receive services and to hold service-delivery organizations accountable for the level and quality of services delivered.

To achieve these goals, the LGP provided technical assistance, training, and small grant funding to help create—or to enhance—the effectiveness of existing CSOs and NGOs at the local level. To facilitate this process, LGP civil society experts met with groups of individuals who shared common interests, which could be furthered by more active participation in local political processes.

By helping to foster fair, honest, transparent, democratic, and accountable governance that increases tolerance of diversity and pluralism, CSOs can have a constructive impact on local government in two ways. First, CSOs can appeal to (or pressure) the government to improve performance. Second, and in a more subtle manner, by modeling honest, transparent, and accountable governance within their own organizations, CSOs can encourage local governments to practice good governance. These activities both set an example for government institutions and acquaint ordinary citizens with the possibility of better governance, thus putting pressure on government to improve. Moreover, these activities provide people with the participatory experience and skills needed to make such governance a reality.

During Year 1, LGP sought to strengthen these aspects and the capacities of CSOs through training and technical assistance. The LGP also sought to identify and develop the means by which these organized interest groups could engage with, influence, and strengthen local government

institutions; raise the perception of legitimacy; and encourage more trusting relations between public officials and ordinary citizens.

Program Adjustment and Plans for Year 2

In Year 2, the LGP's role in CSO development and capacity building was very limited. The primary focus was to create a greater understanding among Iraqi citizens of the fundamental principles and institutions of democratic societies. The LGP's objective was to stimulate civic participation in the transition to a sovereign Iraqi government, particularly in local political and electoral processes. By adapting the former CDP activities and DDA events, the LGP fully incorporated "democracy education" into its overall program.

Accomplishments

In Year 1, the LGP worked with existing and newly formed citizen groups to help them develop agendas that could be met or at least assisted by local government. The LGP focused on restoring a sense of civil society by improving the ability of subnational institutions to deliver services to the people and by forming or strengthening CSOs to hold local government accountable for its performance and actions. In addition, LGP helped individuals identify others with common interests to assist in forming associations for professionals, youth, women, disabled veterans, and other interest groups. Primarily, the LGP assisted these groups to enable them in monitoring the actions of, articulating their needs to, and assisting local government as partners to achieve common goals.

The LGP identified, developed, and strengthened CSOs in all governorates, and developed CSO databases in several municipalities to better identify and support these groups. LGP staff also worked with and enhanced the capacities of local universities, such as the universities of Al Mawsil, Baghdad, Babil, Al Basrah, Salahaddin (in Arbil), and Tikrit to provide civic education and civic training.

Specific examples of LGP's efforts include the following:

- The LGP assisted women's organizations all across Iraq in voicing women's concerns and in involving women in the Iraqi political process. For example, LGP established the IWLG initiative to expand women's representation in local and national governmental bodies and to increase women's participation in Iraq's political future and nation building. As of December 2004, more than 80 percent of neighborhood, district, subdistrict, and provincial councils have one or more women representatives.

- In many parts of the country, the LGP cooperated closely with CSOs, such as the Iraqi Contractors Union (of which all contractors are members) and the Iraqi Engineers Syndicate (of which all engineers are members), to work on infrastructure rehabilitation projects for LGP-assisted subnational government institutions.

- In Al Basrah, the LGP developed a series of workshops for children to build a rapport with the community and to involve communities in solid-waste removal from their neighborhoods. Workshops on environmental health, recycling, composting, neighborhood cleanliness, water pollution, and air pollution were conducted in order to educate children about their environment and the effect of solid waste on their health. The LGP held a complementary series of workshops to involve parents in solid-waste removal and forged a partnership between the community and the Directorate of Sanitation to facilitate this effort.

LGP also supported and enhanced the capacity of selected CSOs to conduct workshops and seminars on topics of national interest. For example, in Kirkuk, the Organization for Civil Society in Iraq (formerly the Postwar Study Group) held its first conference on August 5, 2003, with the LGP's support. Titled "Towards Contemporary Civil Society in Iraq," the conference featured four speakers who addressed such different facets of civil society development in Iraq as civil society and religion, legal issues, and women and society. The conference was attended by all political parties of At Ta'mim Governorate. Attendees also included representatives from Salahaddin University (Arbil Governorate), Kirkuk University (At Ta'mim Governorate), and Tikrit University (Salah Ad Din Governorate), as well as local officials.

In Salah Ad Din Governorate, the Community Council Liaison Activities (CCLA) program, initiated by the LGP, trained Iraqi facilitators to work as liaison officers and facilitate meetings for council members and their constituents. The Salah Ad Din Governorate council members then began to regularly attend these LGP-facilitated meetings with small groups of 25 to 30 citizens. Citizens expressed their concerns about quality of life issues such as water shortages and lack of other municipal services, unemployment, and security. Consequently, citizens, council members, and local government officials began working together as one team to address many of these issues. Citizens also collaborated with councils to find solutions for financing urgently needed solutions such as text books for schools or heating fuel for kindergartens and elementary schools. As a result, citizens, council members, and local officials have developed a sense of public responsibility and caring for community welfare.

The Civic Dialogue Program (CDP) and Democracy Dialogue Activity (DDA) Events

The CDP has raised political awareness and understanding of the practices of the democratic process in more open societies and has reached more than 750,000 Iraqis all across Iraq. For example, DDA events covered various topics that included elections, federalism, human rights, Islam and democracy, and the TAL. Approximately 22,000 events were conducted nationwide. These events were facilitated by more than 550 Iraqi facilitators that had been carefully recruited and trained by the LGP.

In Salah Ad Din, this program reached more than 70,000 citizens (a total of 17 percent out of a population of 1.2 million). In Baghdad alone, nearly 2,300 events were held between February and October of 2004, reaching more than 50,000 citizens there.

In Salah Ad Din, after the launch of the CDP, citizens who had complained about corruption and misuse of public funds now recognized it as an opportunity to learn about transparency and public responsibilities. In response, the LGP staff started a series of minidemocracy education conferences. These conferences—organized to address the communities' needs and priorities—where facilitators prepared, organized, invited speakers, and included community leaders to participate in discussions, usually involved 75-150 participants. For example, in the Tuz district, where different ethnic groups sometimes experienced conflict, the local democracy education conferences primarily focused on conflict resolution and reconciliation. In Samara, the theological center for Sunni Muslims, the local democracy education conferences addressed Islam and democracy. Overall, facilitators conducted approximately 30 miniconferences for citizens from different educational and religious backgrounds. In some cases, these conferences attracted community and religious groups that were not represented on the council. Facilitators conducted some of the conferences in mosques and during *Mudhifs*[20] or *Diwaniyas*[21] (regularly held informal gatherings among friends). Tribal *Sheikhs* (clan leaders) also collaborated with facilitators to convey the messages of these conferences to tribal communities in

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[20] Originally, a reed hut used by Marsh Arab men as a tribal assembly hall or guest house.
[21] From the Arabic word "diwan/divan," denoting a room or place to gather informally and discuss issues of life.

rural areas. CDP conferences evolved into forums for citizens to express their opinions and discuss differences and functioned as outlets for people to complain, communicate concerns, and address community needs.

In the South region, the LGP brought together the Marsh Arabs and discussed the possibilities of involving the grassroots institutions of all Marsh Arabs in creating an umbrella NGO to build alliances with local government and potential funding organizations for the development and protection of the Marsh Arab lands. As a result, these grassroots institutions, in coordination with the Maysan Governorate Council, formed "The Committee of the Marshes Union" in November 2004.

Also in the South region, local councils formed an association of councils now known as "the General Council for City Councils" (GCFCC) in June 2004. The GCFCC established a working group that assisted in the development and review of the LGP's *The Councils Handbook*. Likewise, in an effort to give CSOs and other organized groups in the region a democratic voice, LGP initiated a series of CSO/NGO forums in September 2004. The first such meeting, held for the purpose of sharing information, knowledge, and experiences, brought together 21 organizations, including 39 representatives from these various organizations, as well as representatives from the U.K. Department for International Development (DFID) and the Director of the Directorate of Marsh Arab Affairs. The majority of the participants were from Marsh Arab communities who had been socially and economically neglected for decades. The participants developed an action plan to continue with these meetings so that different segments of civil society can share their knowledge and information for the political, economic, and social development of the new Iraq.

In the city and governorate of Baghdad, LGP's 29-member Civic Participation Team (CPT)—divided into three teams and each led by a council coordinator—attended weekly meetings of the more than 100 councils in the city and the governorate, organized town hall meetings, workshops, colloquia, conferences, seminars, and committees within the local councils. They created a forum to discuss and address issues related to democratization and democratic processes that was used in two ways: first, to reach out to a significant number of Iraqi citizens in Baghdad to hear their opinions and concerns, and second, to provide a perspective of roles, responsibilities, and expectations for citizens and government in a democracy.

Also in Baghdad, the LGP's Civic Participation Team (CPT) provided guidance to Iraqi citizens on the values of freedom and democracy. They

- mobilized the community to address critical social, educational, and political problems;

- trained the local government to be responsive to local needs;

- encouraged local government officials to engage in partnerships with local intellectuals, educators, artists, writers, public officials, and community leaders to collectively nurture the development of free expression and citizen participation; and

- helped the councils to recognize the power and potential of women in Iraq.

On many occasions, CPT members and CDP/DDA facilitators conducted meetings that represented a risk to their own lives. In Baghdad and the Central region, some members were killed, injured, and threatened as they carried out their work. However, their perseverance fostered an enthusiasm for democratization and a better understanding of the democratic process among the Iraqi people.

In Baghdad, the LGP sponsored more than 35 town hall meetings and 8 colloquia that addressed a variety of topics related to decentralization and other issues affecting local government and councils. The colloquia, held over a 6-week period for approximately 60 participants, improved the citizens' understanding of the role of women in politics, the role of the citizen in a democratic political system, the cultural significance of gender in Iraqi society, the impact on the political and social transformation of Iraq, the development of new community leaders, and the development of civil society in Iraq. These public meetings also involved academic institutions and intellectuals in these debates and discussions. For example, the first series of colloquia represented a collaborative effort by the LGP and a committee from the Iraqi Cultural Institute, *Bayt al Hikma* (the House of Wisdom), to encourage academic and scholarly dialogue in Baghdad. The colloquia served as a forum for university professors, Iraqi intellectuals, university students, and citizens to meet and exchange views on the meaning and significance of "civil society" in today's Iraq.

Similar events were held all across the South Central region involving the citizens of five governorates. The CDP/DDA facilitators introduced citizens to a wide range of topics on democracy, government accountability and transparency, and citizenship rights and responsibilities.

Impact of Accomplishments

There are now more than 850 CSOs and NGOs all across Iraq, and more are being established each day. The LGP has also helped local Chambers of Commerce create public–private partnerships that are designed to promote economic and social development.

By recruiting contractors and engineers through their local unions, instead of advertising for bids, the LGP has invigorated the unions and encouraged members to sharpen their skills so they can actively compete with one another to win contracts. This is clearly demonstrated by attendance at meetings, which ranges in the hundreds. In addition, other U.S. government projects, international organizations, and NGOs have adopted the LGP model of working with the unions.

The technical assistance, capacity building, and training that the LGP has provided to CSOs and newly formed associations has resulted in a more informed, better organized, and effective citizenry in the South region. Community organizations and marginalized populations have been introduced to and have adopted democratic concepts and principles, and they have started applying these principles to their individual and collective involvement in the political processes in the region and at the national level.

The success of the CDP/DDA efforts was confirmed by the large turnout for the January 30 elections. It is estimated that more than 70 percent of eligible voters went to the polls under very insecure conditions.

Sustainability of Effort

The sustainability of the LGP's efforts to strengthen CSOs was effectuated through the large cadre of civic dialogue facilitators that the LGP had recruited, trained, and hired. These facilitators were capable of initiating and conducting small and large group meetings and conferences to discuss important social, economic, and political issues. When they encountered issues they could not immediately handle, they forwarded queries on those issues to LGP HQ in Baghdad to obtain answers and solutions.

Annex 1:   LGP Work During Extension Period

Annex 1. LGP Work during the Extension Period (March 30 – May 9, 2005)

During the extension period from March 30 through May 9, 2005, the LGP focused on (a) policy reform support for administrative and fiscal decentralization, (b) the formation and development of LGAs, and (c) the training of newly elected governorate council members. Each of these LGP work activities and accomplishments are discussed below.

Policy Reform Support

The LGP continued to support policy reform by providing training and technical assistance to promote the establishment of a decentralized local governance system. This assistance included supporting a Regional Decentralization Conference in Al Basrah and aiding the MMPW in drafting the implementation rules for the devolution of selected urban services to local governments as part of a decentralization pilot program.

Regional Conference on Federalism and Decentralization

The LGP team met and worked with the MoSPA, the Preparatory Committee, the Center for Peace and Development for Federal Studies (CPDFS), and the Governor of Al Basrah to organize and hold a Regional Conference on Federalism and Decentralization in Al Basrah. The CPDFS, an NGO chaired by Judge Wa'al Abd Al Latif, sponsored the conference. The LGP provided funds for conference workbooks, catering, badges, and invitation cards.

This decentralization and federalism conference, with the theme "The South Region is Part of the Federalism of United Iraq," was held at the Oil Cultural Centre on Al Jamhuriya Street, Al Basrah, on April 28, 2005, on the same day that the establishment of the new Iraqi government was announced. The 210 conference attendees were composed of governorate council members; tribal Sheikhs; chamber of commerce representatives; academics from Al Basrah University; and members of CSOs and NGO's from the three governorates of Al Basrah, Dhi Qar, and Maysan. Unfortunately, there were no female attendees at the conference, a problem attributed to coordination issues within the Preparatory Committee. The conference was covered by the local print and broadcast media, including *Al Iraqia* and *Al Faiyha*.

During the conference, the LGP team also presented a discussion on LGAs, the roles they can play in the decentralization process, and how they can raise citizen awareness. Despite support for the concept of LGAs, a survey of conference participants indicated that the concept of LGAs is not fully understood, even among the academics that contributed to the conference. At the end of the conference, the participants made the following two recommendations:

1. To establish an LGA in the South region to bring expertise in unifying the councils to adopt the principle of decentralization for the region.

2. To conduct a series of follow-on conferences on federalism and decentralization to train leaders on the topic of federalism by using international and national expertise, as well as the model of the Northern region of Iraq.

MMPW Decentralization Pilot Program

The LGP policy reform team continued to meet with the MMPW's Decentralization Steering Committee under the chairmanship of Mr. Kamil Chadiriji, Deputy Minister of the MMPW, to discuss the draft Ministerial Order regarding implementation of the pilot programs in selected

localities in the South Central region. The MMPW had sent a letter to the Cabinet of Ministers requesting approval to delegate more responsibilities to the local councils at pilot locations. In a return letter, the Cabinet of Ministers disapproved any further delegation of authority. They stated they would not accept the rules of the CPA's TAL or the accompanying Local Government Powers Order (LGPO) No.71.

One of the issues to which the Cabinet of Ministers most objected was the devolution of service-delivery authority to local councils that are not subordinate to the MMPW. There was also disagreement on how much authority should devolve to local managers under the pilot program. In response to these objections, the Steering Committee decided to rewrite and simplify the Ministerial Order and resend it to the Cabinet of Ministers for approval. In the process, the LGP team and the Steering Committee discussed the legal basis for decentralization and outlined an implementation plan.

The LGP team advised the Steering Committee to involve the local councils in a service-performance monitoring capacity. The LGP team also suggested that the local MMPW departments submit monthly reports to the local councils and that these reports provide an open and objective review of progress on the objectives and impact of the pilot program. LGP's advice and suggestions were adopted, and Minister Berwari signed the Ministerial Order on April 13, 2005. The LGP team continued to meet and work with the technical task force to set and prepare guidelines for minimum service standards and related policies.

Local Government Associations (LGAs)

South Central region. As a result of the LGP's advocacy on the importance of establishing LGAs, several governorates in the South Central region have established such associations. For example, the Wasit Governorate LGA now consists of 25 members, representing the governorate, *qada',* and *nahiya* councils. A governorate council member, Mr. Nazar Kareem, was elected LGA chairman. LGA members will temporarily finance the association and look toward the next steps of electing board members and holding a conference to develop a constitution. In addition, on April 27, 2005, an LGA conference was held at the Human Rights Association building in Al Hillah, Babil Governorate. The conference slogan was "Together We Build the New Iraq and Support Effective Local Government." The conference was attended by officials from five governorates that included those

- **from Babil:** the governor, governorate council members and the chairman, members from local councils, LGA representatives, six department heads, and officials from the city hall;
- **from Wasit:** the governor, governorate council members, and LGA representatives;
- **from An Najaf:** governorate council members and the chairman;
- **from Al Qadisiyah:** members from local councils and LGA representatives; and
- **from Karbala:** governorate council members, LGA representatives, and subdistrict council members.

In addition, the conference was attended by representatives from the Kurdistan Regional Governments of Arbil, Dahuk, and As Sulaymaniyah.

The conference was well received and was covered by the local media. During the course of the conference, the attendees spontaneously decided to establish a regional LGA, the South Central Region Local Government Association (SCRLGA), with headquarters in Al Hillah. At the close of the conference, the newly formed SCRLGA drafted and issued a final statement (see Exhibit A-1 below).

Exhibit A-1: Final Statement of the LGA for the South Central Region

Final Statement of the South Central Region Local Government Association

In the name of God, the most Gracious and the most Merciful,

the final statement of the founding conference of the National Local Government Association held on April 27, 2005, under the motto, "Together We Will Build The New Iraq and Support Effective Local Government," and in accordance with the Quranic verse, "Cooperate on good deeds and piety and don't cooperate on bad deeds and offence," and the prophetic tradition," It is of faith to love your country," follows below.

Confirming the patriotic principle of working on the enhancement of the unity of Iraq and its people, the branches of the National Local Government Association for the South Central Region held its first founding conference on April 27, 2005, to announce the following:

1. *The establishment of the Local Government Association for the South Central region with Al Hillah as its center.*
2. *The Association will consist of branches in An Najaf, Karbala, Al Qadisiyah, Wasit, and Babil.*
3. *The Association will work in accordance with the reports of administration and finance, media and education, and relations and services for the coming period until the second conference is held upon approval by the conference attendees.*
4. *The Association will work on the enhancement of and confirm the unity of Iraq and its people and the necessity of administrative federalism that serves the new Iraq.*
5. *The Association will actively cooperate with every sincere governmental effort for the benefit of Iraqi citizens in general, and the South Central provinces' citizens in particular, and combat corruption in all its forms.*
6. *The Association will cooperate with all security forces to provide and secure peace and fight terrorism.*
7. *The Association will exert all efforts to put an end to the occupation by all political, diplomatic, and legitimate means, and in doing so, being oriented and guided by the religious and political authorities and the Iraqi elites.*
8. *The Association will conduct the headquarters and branch elections after the national elections have been held, which have been set for the end of 2005.*
9. *The Association will encourage all those who are concerned in drafting the permanent constitution to focus on the concrete and moral rights of the local councils in a way that is compatible with the goals of these councils and that benefits the citizens and the new Iraq.*
10. *The Association will work hard to achieve the goals of the local councils based on their bylaws and in cooperation with all associations, unions, and societies for the benefit of the great Iraqi people.*
11. *The Association will work together with the elected councils (local, city, district, governorate) in the South Central region.*
12. *The Association will seek the establishment of a National Local Government Association throughout Iraq to achieve the national goals and enhance Iraqi unity.*
13. *The Association will cooperate with the companies and institutions that provide support to Iraqis, in coordination with governmental parties, and in an honest manner, refuse conditions and activities that do not serve Iraq or that harm its people.*

North Region. The LGP team also continued to provide training on LGAs throughout the extension period. In the North region, an LGA regional workshop was held in Kirkuk on April 20, 2005. Participants from four governorates: As Sulaymaniyah, Ninawa, Dahuk, and At Ta'mim, with 27, 30, 25, and 18 participants, respectively, attended the workshops. Participants mainly included newly elected governorate council members. The topics addressed in the workshop included

- What is an LGA?
- Why are LGAs needed?
- How is an LGA established?
- What should the goals and activities of a LGA be?

- How does an LGA function?
- How are LGA members determined?
- What issues should new LGAs consider?
- How can LGAs be financed?

A majority of the workshop attendees welcomed the establishment of an LGA. However, there were differences of opinion on how to fund the LGA and on membership composition.

Council Training

The January 30, 2005, direct national elections for the TNA and the provincial councils resulted in the election of new members that had no prior experience in parliamentary procedures and participatory democratic decision making. These council members also had no clear ideas about their legal authority, roles, and responsibilities. During the extension period, the LGP's efforts were to provide training and guidance to these newly elected provincial councils. Council training material was developed in three languages—English, Arabic, and Kurdish—and distributed on CD ROMs. In Baghdad, the LGP *Council Procedure Manual* was distributed and is now heavily used by the councils. In every meeting, the council members refer to it to maintain order at their meetings.

In each region, LGP teams developed training schedules in collaboration with governors and provincial council chairs. These schedules were adjusted, as needed, to reflect security conditions in each provincial, and when applicable, joint sessions were held with neighboring provinces. More than 650 new provincial council members were trained on one or more of the council training topics. The following four graphs summarize the workshop topics and the number of participants by province.

MODULE TRAINING TITLE	South Central Provinces					
	Babil	Najaf	Karbala	Qadisiyah	Wassit	Total
Introduction and Sources of Local Council Authorities, Meeting Procedures	32	21	41	30	41	165
Council Work Methods and Code of Conduct	41	29	22	41	41	174
Budgeting	26	31	21	31	20	129
Provincial Council-Executive Duties	41	32	20	19	26	138
Citizen Participation	14	17	20	21	28	100
Transparency and Working Together	29	24	20	17	27	117

Central Region Province		
MODULE TRAINING TITLE	Baghdad	Total
Introduction and Sources of Local Council Authorities, Meeting Procedures	47	47
Council Work Methods and Code of Conduct	47	47
Budgeting	47	47
Provincial Council-Executive Duties	47	47
Citizen Participation	47	47
Transparency and Working Together	47	47

MODULE TRAINING TITLE	Northern Provinces								Total
	Arbil	Dahuk	Ninawa	Sulimaniyah	Kirkuk	Diyala	Salah Al Deen	Anbar	
Introduction and Sources of Local Council Authorities, Meeting Procedures	36	38	33	32	15	30	36	0	229
Council Work Methods and Code of Conduct	22	38	33	31	24	34	37	0	219
Budgeting	31	36	33	31	24	34	36	0	213
Provincial Council-Executive Duties	35	38	33	30	24	25	32	0	217
Citizen Participation	36	38	32	30	24	30	33	0	223
Transparency and Working Together	35	38	30	30	0	8	33	0	174

MODULE TRAINING TITLE	South Region Provinces				Total
	Basrah	Dhi Qar	Maysan	Muthanna	
Introduction and Sources of Local Council Authorities, Meeting Procedures	41	27	39	32	139
Council Work Methods and Code of Conduct	30	17	33	35	115
Budgeting	24	12	33	35	104
Provincial Council-Executive Duties	24	32	33	31	120
Citizen Participation	31	17	21	31	100
Transparency and Working Together	31	17	21	31	100

Feedback collected from workshop participants indicates that these council training workshop sessions were informative and useful. In some provinces, the discussion about LGAs led some of the participants to declare "a National Local Government Association should be established as soon as possible." The feedback also resulted in a request for additional information and training including:

- Training on strategic planning
- Training on basic management for councils and the implementing directorates
- Information about documents and written materials on councils from other parts of the world
- Out-of-the-country training where council members can exchange experiences with their counterparts in other parts of the world

In some provinces, the "council procedures" training generated passionate discussions with participants commenting, "Now, I can freely talk to the council chairman, because I understand better the points of order to correct him if he is off the point of the topic of agenda."

Several questions were also posed by the participants. For example, in one of the training workshops on "Budgeting," participants asked, "How can Governorate Council members have an oversight on a budget that does not exist, since old laws and structures are still dominant"?

    These training workshops were covered by the local print and broadcast media. In some regions, for example in the Kurdish North, the local media also publicized the place and date for the next training workshops.

Supplemental "On Demand Training"

Supplemental "on Demand" PC Training Subjects continue to be developed and presented by LGP Regional Teams upon request of their respective PCs. This training is being rolled out as the second phase of PC Modules are being developed for implementation. Examples of these "On Demand" training topics are.
- Legislative Oversight and Projects
- Decentralization
- The Role of Local Government Associations (LGAs)

In addition to council training, at the request of USAID and council members in the South Central region, the LGP team developed and continues to provide additional "On Demand" training geared toward women. The training topics that were developed and delivered include the following subjects and were delivered presented to more than 55 female council members throughout South Central Provinces

Training for Women in the South Central Region

Training Session	PC	Female
Women Role in activating PC work	Babil	7
Women Participation in decision making	Qadisiyah	6
Women Participation in society	Babil	8
Women Participation in decision making	Babil	8
Women Participation	Karbala	8
Activating Women Role in PC	Babil	6
How to develop a conference	Babil	7
Women Participation in council work methods	Babil	7
Women's Rights	Qadisiyah	8

    The production of the CD ROM Training Modules and implementation of the next phase of PC Module Training will be delivered to Provincial and Local Councils upon approval of the implementation plan by USAID.

Appendix 1: Glossary of Key Terms

Appendix 1. Glossary of Key Terms

Term	Definition
Accountability	The ability to call public officials and their staffs to account, requiring that they be answerable for their policies, actions, and use of public funds.
Capacity Building	The delivery of technical assistance, training, and commodities to equip individuals, organizations, or communities with the tools, skills, and resources they need to perform their tasks and to carryout their responsibilities effectively and efficiently. It is also a process for increasing the ability of individuals, groups, organizations, and communities to (a) analyze their strengths, weaknesses, and environment, (b) identify and prioritize problems, needs, and opportunities, (c) formulate strategies to deal with these problems and needs, and seize the relevant opportunities, (d) design a plan of action, (e) take action, and (f) use a review and feedback process to improve outcomes.
Civic Participation	The process by which citizens' and nongovernmental stakeholders' (the regulated community) concerns, needs, priorities, values, expectations, and problems are taken into account in governmental decision-making processes. It is the interaction between the government and citizens, with the overall goal of better citizen-supported decisions, to increase the well-being of citizens and communities. Civic participation encompasses three interrelated elements of governance: 1. *Inclusion.* The provision of information and citizen involvement in complex governmental activities and decision-making processes. 2. *Transparency.* The consistent and persistent flow of information from the government to its citizens and vice-versa. 3. *Accountability.* The efficient ways of informing citizens to understand their roles and responsibilities to participate as equal partners and to hold policymakers accountable. Civic participation takes root only within a framework of checks and balances where governmental bodies are willing and receptive to stakeholders' participation, and CSOs and individuals have the tools and mechanisms to make their demands known and actively contribute to government resource-allocation decisions and the development process.

Term	Definition
Civil Society Organizations	The LGP defines "civil society" as organized groups or associations that are nongovernmental in nature and are formed voluntarily by members of a community to protect or extend their interests, values, or identities. This definition excludes most highly informal personal networks; political parties; and private, for-profit business organizations. However, it includes business associations, the media, and nonprofit enterprises that seek to improve local governance. All these associations and groups are considered civil society organizations (CSOs).
Corruption	The misuse of public office and public resources for private gains. It is the improper use of public services by public officials and employees to enrich themselves or those close to them, which includes • Acceptance or solicitation of bribes • Overcharging for public services • Patronage • Nepotism • Theft of public goods • Clientelism Corruption results in poor quality services, inequitable access to public services, increased social polarization, and increased potential for conflict.

Term	Definition
Democratic, Participatory Planning And Budgeting	Relates to the involvement, on a regular basis, of legislatures, executives, nongovernmental stakeholders, and civil society in the prioritization of public services that citizens need and want, and the involvement in the formulation of service-delivery plans and allocation of resources for the effective and efficient delivery of these services. It includes • Participation by citizens to review and determine the current status of public services and public policy and the impact they have on the well-being of citizens. • Participation of key stakeholders (the regulated community) to determine the effect and impact of existing public policies and to discuss possible improvements to the policy framework for increased compliance and enforcement of policies and regulations. • Participation of legislatures to facilitate participatory planning and budgeting for public services by involving citizens, other stakeholders, and executive departments. • Engagement of officials and staff of service delivery departments to ensure that public services reflect the priorities citizens and key stakeholders' priorities and that the budget is executed accordingly. In general, participatory planning and budgeting make governments more transparent, accountable, efficient, and effective in serving local communities; promote solidarity for the common good; and avoid or minimize conflict over resource allocation. Democratic participation requires appropriate venues (including public hearings, town hall meetings, and neighborhood discussions) that are inclusive to enable citizens and key stakeholders to deliberate openly with elected leaders and public officials and make decisions collectively about service-delivery plans and budget allocations. During each budget cycle, citizens and other stakeholders review the performance, criteria, rules, and procedures used in the previous budget cycle and make changes and improvements to enhance quality and fairness.
Effectiveness	Relates to the issue of whether or not program activities are producing the desired program results and impacts.
Efficiency	Relates to the time spent and amount of resource used for generating a given level of outcome or result. Shorter time frames and lower costs are preferred.
Empowerment	Is the expansion of the assets and capabilities of citizens to participate in, negotiate with, control, and hold accountable the institutions and officials that affect their lives.

Term	Definition
Gender Mainstreaming	Relates to the introduction of gender perspectives in policymaking and public resources allocations. It is a key aspect of strengthening participatory democracy and is concerned with • ***Representation and participation:*** to ensure that women and traditionally marginalized groups are active participants in the planning and budgeting for basic public services so that their needs and priorities are taken into account. • ***Equity in the distribution of resources****:* to ensure that women and marginalized groups have equal access to public resources and services. • ***Human rights and equal protection under the law****:* to ensure that women and marginalized groups attain their equal civil, legal, economic, and political rights. • ***Prevention of violence against women****:* to ensure that violence against women is addressed effectively.

Good Local Governance	Is a set of institutions, policies, and procedures for managing local public affairs. It encompasses
	• ***Performance*** of local authorities in terms of fiscal effort and discipline, and allocative and operational efficiency in managing public resources and discharging their responsibilities for
	   a. Delivery of economic and social services,
	   b. Protection of the environment and management of natural resources, and
	   c. Promotion of economic development.
	• ***Participation*** of CSOs and individuals in local public sector resource allocation and decision making
	• ***Partnership*** between local authorities, CSOs, and private sector entities for the provision of essential public services, enforcement of the rule of law, and conflict mitigation.

Governance	Is the processes and institutions by which those who govern (a) are selected, held accountable, monitored, and replaced; (b) have the skills, tools, and resources to manage resources and provide services efficiently, and to formulate and implement sound policies and regulations; and (c) those who govern and the governed have respect for the institutions that govern economic and social interactions.
Local Governance	Is the set of institutions, mechanisms, and processes through which citizens and their groups can articulate their interests and needs, mediate their differences, and exercise their rights and obligations. It includes citizen participation, all segments of society, local administrations, partnerships with key stakeholders, access to information, institutions of accountability and gender sensitivity, and an enabling legal environment for action.

Term	Definition
Local Government Stakeholders	Refers to all the men, women, and children who live within the boundary of the local government and are receiving one or more local government services; private sector and public enterprises that do business within the local government's jurisdiction; the local government officials, legislators, and employees; and provincial (governorate), regional, and national institutions and officials and their staffs that interact with local governments. It includes all individuals, organizations, and enterprises affected by local government laws, regulations, policies, operations, and performance.
Participation	Relates to the process through which citizens and stakeholders influence and share control over setting priorities, making policy, allocating resources, and accessing public goods and services. It also relates to the increased ability of communities and their organizations to participate in budgeting processes; expenditure tracking; and monitoring quality, quantity, and effectiveness of service delivery.
Productivity	Relates to the value–added produced by program activities. It is focused on effecting synergy to produce more with less. Instead of doubling input to double the value of production, productivity implies doubling the value with less or the same level of input. For example, the use of good management practices and effective utilization of information technology may lead to higher level productivity.
Public Administration	Relates to all the institutions, processes, and individuals employed in government who bear the responsibility for delivering public services and for enforcing laws, regulations, and rules enacted and adopted by legislatures, executives, and the courts.
Public–Private Partnerships	Relate to the cooperation and/or the business relationships between local government entities and private businesses. Local governments use public–private partnerships to (a) leverage resources so that they can provide more and better services, (b) enhance the quality and efficiency of service delivery; and (c) to "jump–start" the local economic development. Public–private partnerships can take different forms. For example, local government may outsource certain services and transact a service contract with private sector vendors; it may elect to hire a private enterprise, through a management contract, to manage selected local government services (e.g., management of state-owned enterprises); it may lease government assets to the private sector; or it may provide concessions for selected services to private vendors. Local government may also enter into a contract with the private sector to build-operate-transfer or build-operate-own infrastructure such as schools, office buildings, etc. Local government may also privatize state-owned enterprises to be owned and operated by private entrepreneurs.

Term	Definition
Public–Public Partnerships Or Intergovernmental Alliances	Relate to the close collaboration among different local administrative authorities. Intergovernmental alliances/public–public partnerships are an important means for realizing economies of scale and other efficiencies in the use of scarce resources. Typically, these partnerships/alliances are considered to be either horizontal or vertical.
	Horizontal alliances and partnerships provide opportunities for cooperation between local administrations to
	• assist their internal restructuring and transformation processes, and • support improved service delivery to the public.
	This may include collaboration on developing and operating internal services such as computerized accounting and management information systems by sharing the cost of developing, implementing, and operating such systems. In addition, multijurisdictional service areas provide the potential for economies of scale in, among other things, procurement, engineering, repairs, and maintenance. Such savings can then be used to increase the availability and quality of public services. Development of horizontal alliances and partnerships can be facilitated through local government associations.
	Vertical alliances and partnerships between a district government and a provincial (governorate) or national government also provide opportunities to improve and expand service delivery. Vertical cooperation can be used to develop and enhance services, for example, in the areas of tourism and recreation facilities, public transport systems, port facilities, and airports.
Sustainability	Relates to whether or not the changed conditions brought about by program activities can be maintained over time. It is validated by the absence of regression or relapse to prior conditions when the activities or interventions have ended.
Transparency	Relates to the condition when people affected by public policies know how these decisions/policies were made and have participated in the decision/policymaking processes. All stakeholders have agreed to and are aware of the impact these decisions/policies will have on them.