



TECHNICAL ASSISTANCE TO THE IRAQI OFFICES OF THE INSPECTORS GENERAL

**SECOND QUARTER - 2013
PROGRESS REPORT # 6
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1. Activities during the Reporting Period

The Training of Trainers courses continued throughout Q2 in the areas of Audit, Administrative Investigation, and Performance Evaluation with completion anticipated in Q3 2013. Completed courses are undergoing evaluation and receiving feedback from the Offices of Inspectors General (OIGs) in an effort to tailor and optimize content and planning for the next phase of training that is to be provided to the remaining 1,460 staff in the OIGs.

During the period under review, Output 3 “Enhancing the IT Skills of the OIGs” initiated including the development of a workplan for the implementation of Phase One. A launch with the Inspectors General (IGs) is planned to roll-out the activities and initiate the IT needs assessment including the nomination of IT focal points.

Output 1: The role of IGs is strengthened within their ministries

- Activity 1.1* *Share knowledge among IGs and the decision making level to ensure common understanding of their respective mandates as stipulated by relevant laws, policies and regulations*
- Activity 1.2* *Develop performance evaluation protocol and tools*
- Activity 1.3* *Provide technical support for the implementation of Codes of Conduct for Public Officials (in line with Civil service laws and codes)*
- Activity 1.4* *Develop governance and performance indicators*
- Activity 1.5* *Provide technical support for institutionalizing the IG Association*
- Activity 1.6* *Assess the need for provincial OIGs*

A Visiting Committee has been nominated by the Joint Anti-Corruption Council (JACC) to undertake visits to the ministries for the purpose of enhancing the relationship between the IGs and their respective ministers. The Committee includes:

1. The Prime Minister Coordinator for Oversight Affairs;
2. *Deputy Coordinator, Office of the Prime Minister Coordinator for Oversight Affairs;*
3. Deputy Commissioner, Commission of Integrity;
4. UNDP; Mr. Salem Poles, National Consultant.

The role of this Committee is to meet with the respective ministers and their deputies to highlight the IGs role as a supporting independent factor for their ministries as stipulated in CPA 57 and discuss the difficulties the ministers are facing in their work with the IGs. Two meetings were held with the IGs on 4 and 13 June 2013 to discuss Output 1 and prepare together for upcoming visits. A comprehensive presentation was delivered by UNDP regarding Output 1 activities and steps of implementation. The meetings resulted in the agreement that each of the attending IGs would prepare a report that does not exceed three pages based on an outline provided by UNDP. UNDP is taking into account the different views that merged during the two meetings and incorporating this information into the next steps under Output 1 which remains ongoing.

Output 2: IGs and their staff demonstrate improved technical skills and capacity

- Activity 2.1* *Develop Standard Operating Procedures (SOPs)*

A concept paper has been developed outlining areas of work.

- Activity 2.2* *Provide training on strategic planning and performance management*

Training workshops on Strategic Planning were conducted for two groups of the Inspectors General (IGs) on June 6-8 and 10-12, 2013. Current challenges facing the Iraqi IGs were incorporated into the training with training exercises adapted to fit their needs based on discussions that emerged. The aim of the training was to enhance the skills of the IGS in: 1) Introducing Strategic Planning for the OIGs by identifying weak and strong factors including challenges and opportunities; 2) Using an implementation tool that links implementation and performance through the application of performance indicators; 3) Improving the institutional framework within the OIGs by using strategic planning in programme design including the identification of implementation mechanisms. The two groups actively participated in the discussion and various group exercises. A number of recommendations were identified of mention are; integrating the IGs system, providing IGs with more independence and accountability and need for capacity development.

The following services related to Output 2 are under development:

- Activity 2.3 Conduct technical training sessions for technical staff*
- Activity 2.4 Develop a training manual for new staff*
- Activity 2.5 Address gender differential issues, responsive programming and budgeting*
- Activity 2.6 Conduct training sessions on public asset management*
- Activity 2.7 Conduct workshops for investigators on advanced investigative skills*
- Activity 2.8 Develop study visit for investigators*
- Activity 2.9 Conduct needs assessment on IT Forensic Audits*
- Activity 2.10 Develop ToT and Certification*

The main focus of activities during this reporting period was:

Training of Trainers (ToT):

The training of trainers (ToT) component of the project launched on 10 March 2013 at PMCO continued throughout 2nd Quarter. At the end of this reporting period, a total of 9 training sessions have been held: 3 in Audit, 3 in Administrative Investigation, 2 in Inspection, and 1 in Performance Evaluation with a total number of 184 participants out of the planned 240. It is anticipated that the ToT training course will complete during 3rd Quarter 2013.

To plan for the upcoming general training, two one day meetings were held with different groups of IGs on June 5 and 14 to brief them on the accomplished and on-going ToT training courses and get their feedback. A number of participant comments were received regarding the completed training thus, UNDP requested the IGs to provide their comments in writing through an evaluation form that has been provided electronically. At the end of the quarter, UNDP continues to collect feedback from the IG Offices in order to evaluate the ToT and the respective trainers. This initiative and the received comments are assisting UNDP to better plan and strengthen the upcoming general training.

Study Tour

Discussions have initiated with the Council of the Inspectors General on Integrity and Efficiency (CIGIE) based in Washington D.C. USA regarding their support and availability to conduct a study tour for the Iraqi IGs. Negotiations are underway with the CIGIE to identify areas of cooperation in order to develop a study program.

Simultaneously, in a meeting with the IGs, UNDP highlighted the importance of all IGs to benefit from this study tour, though noting that the available funds under this project activity were limited. Thus, UNDP explored the willingness of the IGs to share costs to enable all of them to take part. The IGs expressed their willingness and commitment to partially cost share to cover a portion of the costs of the study tour for increased participation.

Output 3: Enhancing the IT Infrastructure and Skills of the OIGs

Activity 3.1 Carry out a need assessment for the development of IT based reporting tools based on existing software

Activity 3.2 Provide technical support to develop standard IT requirements for IG Offices

Preparations are underway to launch the work under this output, divided into two phases. The first phase will cover IT assessment and development of a Study and related Terms of Reference regarding secure communication, network and IT infrastructure. The second phase will include technical support in providing IT infrastructure and training for the OIGs.

Challenges

The following difficulty has been encountered during this period:

- Delays in circulating correspondence initiated from UNDP by PMCO. Additionally, UNDP faces difficulties in following up issues related to the IGs as they are not copied in emails despite the frequency of requests put forward to PMCO to kindly do so.

2. Background to the Project

The Offices of the Inspectors General (OIGs) were established on 5 February 2004 through CPA Order 57. The Inspectors General (IG) represent a new concept to the Iraqi institutional framework. Placed within each of the Iraqi Ministries, the IGs function as internal, yet independent, oversight bodies. Order 57 establishes “independent Offices of Inspectors General to conduct investigations, audits, evaluations, inspections and other reviews in accordance with generally accepted professional standards” (Section 1) and provides that “each Iraqi ministry” should have one Office of Inspectors General (Section 2). IGs were also appointed to carry out the same functions in government institutions not linked to a ministry (e.g. Central Bank the Commission of Media and Communication, Christian and other religion Endowment).

While the scope of work is considerably wide, IGs face a multitude of challenges at the policy and technical levels. These include, but are not limited to, the following:

- (i) In many ministries and government institutions which are not directly attached to a ministry, there remains a lack of clarity about the role of the IGs, their powers and functions, as well as the practical work arrangements between the IG and the Minister or public official/head of government institution. The lack of clarity in Order 57 regarding appointment and dismissal of IGs combined with the obvious interest that Ministers have in controlling the process, has sometimes led to the appointment of unqualified IGs on the basis of their relationships with the concerned Minister.
- (ii) In view of the hostile environment and the related risks that many IGs are exposed to, difficulties in attracting qualified candidates are often faced. Many of the current staff members do not possess the necessary professional skills and qualifications to carry out their functions and tasks expeditiously and effectively.
- (iii) IGs are often limited to acting in a passive manner, and/or only act on the basis of specific allegations. There is a view that IGs are not adequately empowered to refer suspicions or evidence to the highest degrees of administration of enforcement agencies.
- (iv) The IGs are not represented in the provinces, thus a number of OIGs will need to extend their presence to the provinces in order to adequately review certain government projects that are

currently under implementation and accompany the new federal dispensation in governorates and municipalities.

The exclusive reporting line of the IGs to their line Minister blocks further action and transparency within the limit of their duty and mandate. It is viewed that the Prime Minister's Office should be controlling the overarching steering of all IGs, and the devolution of powers to their line ministry be clarified by administrative or ministerial orders. The current legal framework fails to provide for coordination between the IGs, which has also quickly contributed to disparities in working methods. Efforts have been made to address these differences through the formation of an IG Coordination Committee that meets once a month which is headed by the Head of the Commission of Integrity. However, presently the Committee does not have official status and any decision it takes is non-binding.

In addition, the IGs lack several basic technical and policy tools to accomplish program reviews, including;

- (a) Methodology to conduct management performance evaluation, including measuring the efficiency, effectiveness, integrity and governance of the Ministries;
- (b) Up-to-date IT infrastructure and skills;
- (c) A clear reporting format with devolution of powers within their respective line ministry as well as a collaborative approach to other integrity institutions;
- (d) An institutional strategy and work-plan that includes the establishment of governance/provincial offices;
- (e) Performance indicators for IG staff;
- (f) IG staff do not possess the specific technical know-how required to enable them to evaluate the specialized work of the Ministries in a sound fashion, and there are several limitations (cost, security risks) in terms of securing such technical know-how: and
- (g) The limited possibility to recommend corrective action for their line Ministry according to the ad-hoc regulations and legal system, or the further possibility to follow up on recommendations.

Since 2008, UNDP has been working with the Iraqi anti-corruption entities including the Inspectors General. UNDP has collaboratively assessed the needs of Inspectors General and their offices. UNDP has also organized trainings seminars on anti-corruption and fraud detection awareness for the purpose of assisting the Inspectors General in improving internal auditing and enhancing institutional performance.

UNDP has involved the IGs in the UNDP anti-corruption, particularly with regard to Iraq's compliance with the United Nations Convention against Corruption (UNCAC). Training of Trainers was conducted from 14-18 February 2010 for representatives of all three oversight institutions including IGs on self-assessment analysis of legal, institutional and operational requirements to identify and minimize institutional corruption. Self-assessments were completed with the technical assistance of UNODC and the information was used in the development of the National Anti-Corruption Strategy. The role of the IGs on monitoring and evaluating the outcomes of the National Strategy has been clearly identified.

This project is designed to strengthen the capacity of Iraqi Inspectors General and their staff on managerial, operative, legal, administrative and technical levels. It will strengthen the administrative capacity within their respective ministries and in collaboration with other integrity institutions. This will subsequently improve the ability of IGs to satisfy their legal obligations, thereby contributing to a reduction in corruption and other wasteful and criminal practices in Iraq.

The systemic approach to enhance levels of integrity, accountability and transparency in the Executive Branch of Government is intimately related to addressing public trust and restoring the rule of law, administrative and legal existing systems, as well as reforming the civil service for the general interest. The preventive, normative and corrective role of Inspectors General in preventing or investigating corrupt acts within the civil service and beyond in the public sphere, obviously constitutes the only channel to restore the credibility of the State. This action will assist to rebuild the societal pact of integrity and citizenship that has severely deteriorated and assist to reinforce the capacity of the State to deliver public services by increasing delivery on public expenses.

The duration of the project was agreed to be a three year period with an additional three months at the beginning for the necessary preparation required at the outset.

The contract was signed at the end of July 2011, when UNDP started the recruitment procedures for the project personnel. Short listed candidates were interviewed for the position of the Project Manager but unfortunately, they were not of the calibre needed for this project. Another recruitment cycle was initiated in November 2011.

Meanwhile, ACCO requested revised annual work plans for the entire project. This is a requirement in line with the Grant Award documentation.

UNDP received instructions from Department of State on 30th Dec 2011 that until the revised work plan was approved no activities may begin. UNDP provided these plans and received approval from Department of State on 14th March 2012.

3. Progress Achieved in the 2nd Quarter 2013 as per the Project Work Plan

Objectives/Activities	Indicators	Target	Baseline	Data Source	Timeline
<p>1. The role of IGs is strengthened within their ministries</p> <p>1.1 <i>Organize a workshop to bring together all Inspectors-General as well as senior ministry staff from all ministries and major independent agencies</i></p> <p>1.2 <i>Develop performance evaluation protocol and tools.</i></p> <p>1.3 <i>Provide technical support for the implementation of Codes of Conduct for Public Officials (in line with civil service laws and codes).</i></p> <p>1.4 <i>Developing governance and performance indicators.</i></p> <p>1.5 <i>Provide technical support for institutionalizing the IG Association</i></p> <p>1.6 <i>Assess the need for provincial OIGs</i></p>	<p>i. Number and types of mechanisms in place within ministries for provision of ad-hoc and long term advice and expertise to strengthen the institutional framework required by the National Anti-Corruption Strategy, specifically in the area of prevention, improving the performance of the ministry and minimizing waste in public funds.</p> <p>ii. Number and types of policies, strategies and action plans in place in ministries reflecting internationally based codes of conduct and corruption indicators for accountability, integrity, transparency, and oversight of criminal justice, public, and private sector institutions.</p> <p>iii. Number of new partnerships structure between ministries, OIGs and other relevant</p>	<p>i. A minimum of five mechanisms established, including protocol for reporting mechanisms for inspection, administrative investigation, audition, and performance review, and protocol for communication.</p> <p>ii. A minimum of 10 policies, strategies and action plans established including Code of Conduct and corruption indicators for accountability, integrity, transparency, and oversight of criminal justice, public, and private sector institutions.</p> <p>iii. Two partnership structures established through a White Paper between the 34 OIGs and</p>	<p>i. No performance protocol is in place</p> <p>ii. Generic summary of Code of Conduct read by staff during recruitment to the government post. A law is in existence but has not been enacted; None.</p> <p>iii. No partnership structure in place.</p>	<p>i. Interviews with ministries to determine establishment of mechanism and written protocols provided.</p> <p>ii. Interviews with ministries to determine establishment of policies, strategies and action plans that support the use of internationally based standards.</p> <p>ii. Consultations with ministries, OIGs and relevant anti-corruption</p>	Q1 – Q4 2012

	organizations on anti-corruption policy, technical enforcement and advocacy.	their respective ministries on one hand and with other oversight authorities on the other.		organization ensuring established White Paper covering their two partnership structures on anti-corruption policy, technical enforcement and advocacy.	
	iv. Number and quality of new corruption risk assessments undertaken within the ministries.	iv. Two surveys undertaken within ministries result in OIGs are using indicators developed for accountability, transparency and integrity.	iv. No indicators in place.	v. Published annual reports by OIGs indicating corruption risk assessment through surveys conducted in their respective ministries.	
Progress/activities during the period:					Status
<ul style="list-style-type: none"> 1.1.-1.6.: Output 1 initiated during 1st Quarter 2013. 					On-going
Planned Activities:					
a) Organizing and conducting a kick-off meeting with the IGs.					
Objectives/Activities	Indicators	Target	Baseline	Data Source	Timeline
2. IGs and their staff demonstrate improved technical skills and capacity 2.1 <i>Develop Standard Operating Procedures</i> 2.2 <i>Provide training on strategic planning and performance management</i> 2.3 <i>Conduct technical training sessions for technical staff</i> 2.4 <i>Develop a training manual for new staff</i> 2.5 <i>Address gender differential issues, responsive</i>	i. Number and percentage of OIGs staff who have received training indicating enhanced knowledge / competence through pre and post training assessment questionnaire. ii. Number and type of new methodological tools developed by OIGs to generate quantitative data and statistical	i. 1465 technical staff (100%) received technical training in their area of expertise on inspection, administrative investigation, auditing and performance evaluation. ii. Three tools kits introduced on Integrity, Accountability and transparency	i Technical training has not been offered. ii None.	i. Pre and Post training evaluation will be conducted on the technical staff to measure change from before and after the training. ii Consultations to determine use of developed tool kit.	Q1 2012 – Q3 2014

<p><i>programming and budgeting.</i></p> <p>2.6 <i>Training sessions on public asset management of public officials</i></p> <p>2.7 <i>Workshops for investigators on advanced investigative skills</i></p> <p>2.8 <i>Study visits for investigators</i></p> <p>2.9 <i>Forensics capacity needs assessment study</i></p> <p>2.10 <i>ToT and Certification</i></p>	<p>indicators on corruption, focusing on different forms of corruption.</p> <p>ii. Number and quality of statistical and analytical methodologies to profile corruption consolidated at the national level (standardized survey tools and core set of indicators on corruption).</p> <p>iv. Number of new surveys and financial reports on corruption, at national and regional level available in order to provide evidence and analyses for policy implementation and monitoring.</p>	<p>iii. Two statistical and analytical methodologies taught with specific use on corruption quantifying level and type of corruption issues.</p> <p>iv. Integrity survey in the public sector and improved reporting procedures are adopted by the OIGs</p>	<p>iii None.</p> <p>iv None specific.</p>	<p>iii. Training and system established for statistical analysis.</p> <p>iv. Consultations are held with OIGs to ensure surveys are conducted and publically available through OIGs websites and annual reports.</p>	
<p>Progress/activities during the period:</p> <ul style="list-style-type: none"> • 2.2.: Training conducted on strategic planning and performance management, June 6-8 and 9-11, 2013. • 2.3.: A concept paper developed on the design of the ToT Workshops. • 2.4.: The general Training Manuals in the areas of Audit, Inspection, Administrative Investigation, and Performance Evaluation are developed and endorsed. • 2.8.: Initial preparations are underway for the conduct of a study tour for the IGs. • 2.9: An IT Forensics capacity needs assessment study completed. • 2.10: The ToT training has been launched for 320 trainees from OIGs. 					<p>Status</p> <p>2.2. Completed</p> <p>2.3. Completed</p> <p>2.4. Delivered</p> <p>2.8. On-going – Q4 2013</p> <p>2.9. Completed</p> <p>2.10. ToT Training – Ongoing - Q3 2013</p>
<p>Planned Activities:</p> <ol style="list-style-type: none"> a) Develop a study programme for the IGs. b) Complete the ToT. c) Plan the general training for the OIGs. 					
<p>Objectives/Activities</p>	<p>Indicators</p>	<p>Target</p>	<p>Baseline</p>	<p>Data Source</p>	<p>Timeline</p>
<p>3. IT infrastructure and skills enhanced</p>	<p>i. Number and types of</p>	<p>i Five automated reporting</p>	<p>i None.</p>	<p>i. Meetings are</p>	<p>Q1 2012 – Q2 2014</p>

<p>3.1 Carry out a need assessment for the development of IT based reporting tools based on existing software.</p> <p>3.2 Provide technical support to develop standard IT requirements for the OIGs</p> <p>3.3 Provide a secure communication /networking/information technology infrastructure, administrative support applications, and knowledge transfer</p>	<p>automated processes and reports generated using a single portal for easy reference to activities, initiatives, documents and tools on anti-corruption initiatives.</p> <p>ii. Number of new software-based comprehensive performance assessment tools developed to assist IGs and other parties in reporting on their implementation of NACS and in identifying challenges in implementation and technical assistance needs.</p> <p>iii. Number and quality of new benchmarks and good practices on anti-corruption legislations electronically disseminated within the ministries and more widely</p>	<p>processes are used, these are:</p> <p>a. inspection, b. administrative investigation, c. audition d. performance review e. management</p> <p>ii Three software assessment tools are used including electronic tracking, electronic content management and archiving in 26 of the OIGs.</p> <p>iii Anti-corruption issues and legislations electronically circulated in 26 ministries by OIGs.</p>	<p>ii None</p> <p>iii None.</p>	<p>held to determine periodic reports are issued on time.</p> <p>ii Interviews with OIG – IT personnel to determine establishment of mechanism and accurate tracking system</p> <p>iii Training and system in place for internet /OIGs website, collection of good practice and consultation with OIGs to identify which are most relevant to their work.</p>	
<p>Progress/activities during the period:</p> <ul style="list-style-type: none"> 3: Activities related to 3.1.and 3.2 have been initiated. 					<p>Status Ongoing</p>
<p>Planned Activities:</p> <ul style="list-style-type: none"> a) Organize a meeting for the IGs to launch Output 3. b) Develop a questionnaire prior to the IT needs assessment. c) Organize a meeting for nominated IT focal points. d) Organize and conduct site visits related to the IT assessment. 					

4. Expenditures

No.	Category	Expenditure Amount 2012	Expenditure Amount Q1 2013	Expenditure Amount Q2 , 2013	Total Expenditure 2012 +2013 (Q1&Q2)
1	Programme Oversight & Management	0.00	0.00	0.00	0.00
2	Project Manager	154,214.43	68,897.46	61,516.48	284,628.37
3	Service Contract s Individuals (National Project Officer + National Project Associate)	44,170.84	22,498.20	24,390.14	91,059.18
4	Technical Support - International Consultant	0.00	0.00	0.00	0.00
5	Training - Contracting Services	32,259.00	223,434.71	41,962.49	297,656.20
6	Travel	21,464.38	11,727.04	47,157.40	80,348.82
7	Communication	20,831.75	450.00	0.00	21,281.75
8	Monitoring & Evaluation	0.00	0.00	0.00	0.00
9	Security	6,067.44	4,465.68	4,500.36	15,033.48
10	Common Premises	0.00	0.00	16,598.50	16,598.50
11	Other Running Operational Expenses	33,402.61	14,006.30	21,514.69	68,923.60
TOTAL		312,410.45	345,479.39	217,640.06	875,529.90

ANNEXES

The Annexes are sent as separate files marked that belong to the 2nd Quarter Report 2013

- ANNEX I** - *Minutes of Workshops, 4 and 13 June 2013 – Output 1*
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