



Capacity Building Assessment Report

Independent Electoral Commission of Iraq

12 November – 19 December 2006

**United Nations
Electoral Assistance Division**

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Executive Summary

This presents a summary of the report on the capacity building assessment of the Independent Electoral Commission of Iraq (IECI) which took place from 12 November to 19 December 2006. This report includes (i) assessment of areas requiring attention in the IECI's organizational and human resource capacity to conduct future electoral activities; (ii) review of the forms of capacity building which have taken place to date; and (iii) recommended priorities for capacity building in 2007.

Summary of Findings

The IECI's administration of three elections in the space of one year must be acknowledged as a great success for the Board of Commissioners and Electoral Administration. As well as representing an achievement the IECI can rightly feel proud of, this also provided the IECI with a broad opportunity for learning through practical experience. With a good measure of on-job learning, ongoing guidance provided by the International Electoral Assistance Team and some intensive election-specific training, there is now an existing skills base in most sectors of the IECI.

Election work, however, is a highly technical field of expertise. The IECI is a relatively new institution and, as such, a certain lack of experience and skills is to be expected. Additionally, more could have been done in terms of enhancing skill sets and developing capacity since the last election. As a result, some parts of the IECI are functioning well while others are less satisfactory.

There are within the IECI a few specific areas which have previously involved significant international assistance for election implementation and this has resulted in insufficient skills development and/or experience within IECI. These areas would currently require a relatively high level of international support in the event of an immediate electoral operation, and should therefore be prioritized in any capacity building programme until skills and experience are further developed.

There are also weaknesses in the IECI structure, systems and working practices, which are hampering the ability of IECI staff to work to their potential. This affects the IECI in different ways on all levels, posing limitations on IECI efficiency and placing emphasis on personal relationships in the coordination of activities. The effectiveness of the organization as a whole and its staff could be greatly improved if attention is paid in 2007 to addressing structural inadequacies, establishing a comprehensive range of standard operating procedures, enhancing definition and understanding of roles and responsibilities, and improving coordination, communication and management practices.

In general, IECI activities in 2006 have been limited. Some of the capacity building needs identified following previous elections have resulted in technical capacity building initiatives throughout the year. However, these have not taken place as part of any comprehensive capacity building strategy. With no previous experience of a non-operational phase of an election cycle, the opportunities afforded by the absence of an imminent operation have not been fully utilized.

It is recognized that the IECI is operating in an extremely challenging environment. Security risks place daily and continual limitations on the ability of the IECI to undertake activities. The delay of more than a year in the adoption of the law to establish a permanent electoral commission is adversely affecting the IECI by creating a sense of uncertainty and insecurity of job tenure. The retention of existing staff at all levels is therefore of immediate concern to the IECI's human resource capacity. While the IECI's ability to mitigate these contextual factors may be limited, a non-election period presents a prime opportunity, in the meantime, for development of internal organizational and human resource capacities, so as to ensure the IECI is equipped and prepared to conduct future electoral events.

There is therefore good scope for a capacity building programme in 2007, to build upon and enhance the level of staff skills, knowledge, understanding and access to information, and to improve organizational management structures, in order to better prepare the IECI to conduct future electoral events. There is also scope for looking towards the long term sustainability of the institution in broadening awareness of alternative technical methodologies and electoral policies, and in encouraging support and commitment to electoral processes by a range of external electoral stakeholders through enhancing transparency and promoting active engagement of stakeholders.

Summary of Recommendations

In order to support the development of the IECI organizational and human resource capacity to conduct future electoral events, it is recommended that the following priority aims are included in a capacity building programme for 2007:

Organizational Capacity

- **Structure, systems and working practices:** Improve organizational structure, administrative systems and working practices to facilitate the management of electoral activities, reduce reliance on individuals and relationships and enable staff to utilize their skills to the full.
- **Management:** Develop management skills at all levels of management, and middle management in particular, to maximize the efficiency and coordination of working practices and strengthen the depth of management skills and experience throughout the IECI.
- **Planning:** Enhance specific planning skills and provide guidance on the coordination of planning activities in a way that incorporates all sectors of the IECI, to increase IECI ability to develop an operational plans for future electoral events and strategic plans for all future activities of the IECI.
- **Board of Commissioners:** Support the new IHEC Board of Commissioners with an initial training programme, which presents the principles of election administration and functions of an electoral management body, drawing upon lessons learned of the current Board; provide close guidance in the initial stages of their term in order to prepare them in the performance of their duties.

Human Resource Capacity

- **Skills Development:** Target specific areas requiring improvement for conduct of future electoral activities, to reduce reliance on international support. This includes particular focus on
 - (i) technical areas of minimal capacity, with no or limited experience and/or skills transfer to date (procurement, database development, ballot design, legal drafting)
 - (ii) other priority areas requiring an increase of skill or experience for fulfillment of functions (translation, public outreach/media, complaints, specific aspects of operations).

Cross Cutting Areas

- **Voter Registration:** Provide guidance and specific capacity building inputs into the full range of processes required to ensure measures are in place to establish and maintain an accurate voter list for the next election and in the longer term.
- **Engagement with Stakeholders:** Increase dialogue and engagement with external stakeholders, including government, political entities observers, civil society organizations, the media and other electoral bodies, and promote transparency of electoral processes and policies, in order to increase confidence in and commitment to electoral processes and strengthen sustainability of the institution in the longer term.

Capacity Building Methodology

- **Focus of Support:** Focus capacity building efforts in a way that encompasses all sectors of the IECI, so as to address needs of particular sectors as part of the whole.
- **Programme Activities:** Aim to enhance knowledge and awareness, as well as specific skills, including (i) awareness of alternative policies and methodologies, so as to broaden options in decision making, and (ii) understanding of the role of all sectors of the IECI in the electoral process, so as to target focus on unit objectives and facilitate coordination.
- **Capacity Building Division:** Work with the IECI to establish a clear remit for the Capacity Building Division and fully involve the Division in the coordination of all related activities, to enable the Division to effectively fulfil its function of developing IECI capacity.
- **Internal Mechanisms:** Improve, define and integrate into IECI processes internal mechanisms for developing and implementing capacity building activities, in order to maximize impact of activities and ensure activities fully address identified needs.

1. Background to Assessment and Report

This report reviews the capacity building assessment of the Independent Electoral Commission of Iraq (IECI) which took place from 12 November to 19 December 2006. The assessment reviewed the IECI's current organizational and human resource capacity to conduct electoral events, in order to highlight areas for priority focus in any capacity building programme in 2007.

1.1. Scope of Assessment

The assessment assumes that the goal of an IECI capacity building programme is to support the development of the IECI as a sustainable institution, existing within the government structure of Iraq, and operating in a fully functioning and professional manner, with minimal reliance on external inputs. It also assumes that electoral capacity building in its broadest sense encompasses support to the development of the IECI as an institution, the legal framework in which the IECI operates and in which elections are conducted, the organizational structure and working practices of the IECI and the development of the human resource capacity to plan and implement electoral activities.

Whilst recognizing the impact of institutional and legal framework factors on the IECI's capacity to undertake electoral activities, the assessment focused on organizational and human resource capacities, as internal to the functioning of the IECI. These are defined as:

- **Organizational Capacity:** the management structures, administrative systems, processes and procedures which facilitates the management of electoral activities. This includes the management of relationships with other organizations and sectors (public, private, civil society).
- **Human Resource Capacity:** the level of staff skills, knowledge, understanding and access to information, which enables them to perform their functions effectively.

1.2. Assessment Methodology

The assessment was reliant on the knowledge and institutional memory of staff of the IECI and the International Electoral Assistance Team (IEAT). The main resources for the assessment were:

- i. Interviews with relevant stakeholders, including: current IECI Commissioners, current and former staff of the IECI Electoral Administration, members of IEAT, representatives of other UN agencies and training institutes, where relevant. (For full list of interview sources see Annex 1.)
- ii. Review of relevant documents relating to, for example, the activities of particular sectors of the IECI, lessons learned from previous elections, previous needs assessments, training and other capacity building activities.

Given the time available, the assessment could not be comprehensive, but focused on immediate capacity building priorities. Interviews intended to cover the full range of IECI sectors but were dependent on time and staff availability. This was particularly restricted in relation to staff of the Governorate Electoral Offices (GEOs)¹. Additionally, there are technical areas for which there is no current IEAT advisor and which require a more comprehensive audit for defining full capacity building needs (such as finance and human resources).²

¹ This is also true of some sections of the Operations Division. However, IEAT knowledge, existing documentation and feedback from other sectors of the IECI could provide sufficient information.

² Time constraints also prevented completion of other components of the assessment terms of reference, such as a full technical assistance plan for 2007 including budget, and evaluation of training methodologies. These will take place in early 2007.

1.3. Scope of Report

This report reviews:

- i. Areas requiring attention to improve IECI capacity to conduct future successful electoral activities
- ii. Capacity building initiatives to date
- iii. Recommended priorities for capacity building in 2007.

In this, the following must be noted:

1. Election work is a highly technical field of expertise. The IECI is a new institution and, as such, a certain lack of experience and skills is to be expected.
2. The IECI's administration of three elections in the space of one year must be acknowledged as a great success for the Board of Commissioners and Electoral Administration. Since the elections, however, more could have been done to cultivate skill sets and develop capacity. As a result, some parts of the IECI are functioning well while others are less satisfactory. This report will not cover these distinctions in detail and instead focuses on capacity building needs.
3. All staff and sectors can of course benefit from capacity building inputs. This report will highlight only recommended priority areas.
4. In assessing limitations to the IECI's capacity to conduct electoral activities, these can be said to fall into two categories:
 - (i) External factors arising out of the legal, political and security context in Iraq. These relate to the environment in which the IECI operates as an institution and, as such, the IECI's ability to mitigate these may be limited.
 - (ii) Other factors are internal to the IECI and can potentially be addressed through a capacity building programme.

It must be emphasized that external factors, in addition to impacting on the IECI's ability to function to its full capacity, may also adversely affect the outcomes of any planned capacity building activities in 2007.

1.4. Assumptions

Recommended priorities are put forward on the basis of need and the assumption that context will allow time and space for capacity building activities to take place. They are therefore based on the following assumptions:

- a) The legal and legislative status of the IECI/IHEC is resolved to allow for Board decision-making authority on IECI capacity building activities,
- b) There will be no election called prior to late 2007 at the earliest.
- c) The security situation permits daily IECI operations to continue and staff to travel.
- d) There will be a continued IEAT (currently UNAMI and IFES) support to the IECI and presence in Iraq.
- e) There is sufficient retention of IECI staff since the time of the assessment that recommendations remain relevant.

2. Legal and Political Context

This section outlines factors arising out of the political context in Iraq which present potential limitations to the IECI's capacity to conduct electoral events and to implementation of capacity building activities.

2.1. Institutional Status of the Electoral Management Body

Of primary concern at present are delays in the Council of Representatives to the adoption of the Law on the Independent High Electoral Commission (IHEC), which will establish a permanent electoral administration and trigger the appointment of a new Board of Commissioners. The delay of more than a year has created uncertainty for IECI staff, and led to a sense of insecurity of job tenure.

Staff members of the Electoral Administration are on temporary renewable contracts until the establishment of the permanent commission³. Management at HQ and GEO level fear their job security will be threatened by the arrival of a new Board and Chief Executive Officer, who will be directly appointed by the Council of Representatives. There is also fear that there could be politicization of the Board and executive management, resulting in a recruitment process characterized by political affiliation, rather than on the basis of qualifications and experience. The retention of existing staff is therefore of immediate concern to the IECI's human resource capacity.

The extent of staff losses throughout the IECI as a whole is not yet clear. However, while some sectors do not appear to be significantly affected, there are indications that others are, and there are fears that this trend may continue until staff are assured some kind of longer term job security.⁴

There have also been delays in approval of the Iraqi government budget for 2007, which includes the operating and electoral budget for the IECI, and an instruction from the Council of Representatives that the IECI Board must limit its exercise of authority to day to day matters.⁵ The Board has generally been unable to undertake significant financial commitments or take decisions relating to future activities of the IECI, because of the legislative limitations. This has impacted on staff morale and resulted in limited activities throughout 2006.

There continues to be concern over the right of use to the current IECI premises. The right to use was granted to the IECI for conducting elections during the transitional period, which has now ended. This will impact on the level of international support that is possible if IECI HQ facilities are relocated outside the International Zone. This is not currently being discussed but weighs on the Board.

2.2. Security Context

In the current context, security factors place daily and continual limitations on the ability of the IECI to undertake electoral activities. These limitations have increased with the open sectarianism and escalating violence since early 2006. The level of danger and risk affects security of the voter and thereby the possibilities of conducting electoral events, and also the security of IECI staff and office facilities. Security directly impacts on the IECI's abilities to complete any necessary election preparations.

2.3. Undefined Scheduling of Future Electoral Events

Adding to the uncertainty are pending electoral events which are not yet scheduled,⁶ and there is some concern that any or all could be called at short notice. This presents obstacles to IECI planning processes for the coming year and causes hesitation about starting other activities for a non election period.

³ Executive staff members have been on two month renewable contracts since the inception of the IECI. This was the agreed probationary period, and contracts have since been renewed on the same basis.

⁴ For example, at HQ level, the Capacity Building Division has lost one of its 16 staff members, while the Translation Section has lost half and the Public Outreach Division one third of its staff since the last election.

⁵ From May 2006, the current IECI Board was acting under a caretaker mandate, which has since expired. It has not been extended and the needed legislation sits with 35 other laws waiting for passage by the Council of Representatives. The Commissioners, with the support of the Speaker's Office, have continued to lead and manage the IECI. The Commissioners all face serious personal security risks for the work they do. Yet they continue to fulfill their public duties while legislative inaction is eroding parts of the IECI.

⁶ The government plan announced in May 2006 included reference to governorate elections, the referendum of Kirkuk (to be preceded by a census), and a constitutional review referendum.

3. Electoral Experience To Date

Since certification of results in February 2006, the IECI has faced its first non-election period, without electoral events in the calendar or immediate operational tasks. However, it is of relevance to IECI capacity in several respects that experience to date has focused on a succession of operational events.

3.1. Operational / Non-operational Activities and Staffing Levels

With little experience of planning for all phases of an election cycle, the IECI seems unsure of how to conduct activities most productively in a non-election period, and time has not been utilized to its full potential. In general, activities over the last year have been limited and approached with no clear strategy. Combined with the absence of a confirmed timetable for future electoral events, this exacerbates the problems of morale and risks to staff retention.

There is in addition a lack of awareness of staffing requirements for activities in a non-operational period. Many sections and divisions highlight staff shortages as a serious limitation to human resource capacity, this is in relation to an operational period, and many sections are over-staffed for the current needs of a non-operational period.⁷

It is recommended that guidance is provided on reviewing requirements for staffing levels for both operational and non-operational periods, and on how to best take full advantage of the time made available by the lack of an immediate electoral event. A non-operational period can be used not only to prepare for a future governorate election and other electoral events, but also for consolidation and quality enhancement, improving systems and developing internal procedures, learning, exploration of alternative methods, building partnerships with external actors, and consideration of significant policy issues requiring decision for future electoral events.

3.2. Breadth of Knowledge

The focus on immediate operational needs has resulted in on-job application, or practice, of specific methods of implementation within the various sections. This limits knowledge of the available options for policies and technical methods of implementation to those of which the IECI has experience. It is recommended that efforts be made to broaden knowledge of alternative policies and methods, in order to widen the available options for decision-making in the future. Some regional comparative studies may be beneficial in this.

3.3. Predominance of Focus on Operations Division

With three national elections in one year, key practical tasks for election implementation fell under the responsibility of the Operations Division. This has resulted in a naturally greater focus on the Operations Division than on other divisions of the IECI.⁸ As a consequence, the Operations Division wields the largest measure of delegated authority compared to other divisions. This has also caused a blurring of some levels of responsibility and accountability between divisions. The Administration, Finance and Capacity Building Divisions and units of the Secretariat to the Board, in particular, have lagged behind in capacity building opportunities provided to the Operations Division.⁹

This focus on the Operations Division has continued throughout 2006, even when there are no immediate operational priorities. The challenge now lies in ensuring appropriate division of tasks and responsibilities across the IECI as a whole, and in integrating all sectors of the IECI fully into processes capable of running elections to compliant with international and national best practices.

⁷ For example, temporary DEO trainers have been retained on renewable contracts at GEO level, throughout 2006 with no defined tasks. The Logistics Section of the Operations Division, responsible for logistics relating to election materials, has maintained its operational staffing levels of 12 with minimal tasks since the last election.

⁸ The 'imbalanced support' and 'extensive attention of both IECI officials and international experts on electoral operations' was also noted in the March 2005 electoral debriefing report on the first election.

⁹ While the Public Outreach Division has received consistent attention from the IEAT, it has also suffered from a lack of attention by IECI management.

4. Organizational Capacity

The coherence of organizational factors is important to capacity in the ways in which management structures, administrative systems, processes and procedures facilitate the management of electoral activities. This is as important as technical skills, for organizational weaknesses can limit the ability of staff members to work at their optimum level and utilize their skills effectively.

Within the IECI, there are different ways in which factors relating to structure and working practices are impeding staff fulfillment of functions. This seems evident at all levels of the IECI in both HQ and field offices, and also the relationships between levels and their constituent parts.

In addition to a lack of information and confusion over responsibilities cited by staff, organizational weaknesses also appear to have resulted in duplication of efforts, some units undertaking tasks which fall under the remit of other units, divisions attempting to be self-sufficient without reliance on IECI support units, and some units existing with no functional role.

The end result is that structure and processes are largely dependent upon personal relationships. This carries an inherent risk of potential conflict. It becomes even more important to address these issues, with possible forthcoming replacements to IECI management. For ideally an organization with strong structures and systems should be able to function effectively regardless of politics and personalities.

While it is understood that structural changes may not be appropriate under a caretaker commission, the IECI executive can in the meantime start to address problems relating to systems, working practices and definition of roles. It is important to recognize organizational problems as factors which limit and restrict human resource capacities working to their potential. Cross-over of ideas and learning between different divisions will also identify strengths and areas for improving the IECI/IHEC institutional design.

The following outlines factors relating to structure and working practices which are limiting IECI capacity and then highlights a few priority areas where these factors have had a significant impact.

4.1. Organizational Structure

4.1.1. Definition of Roles and Responsibilities

One factor continually highlighted by IECI and IEAT staff and stressed in the 2006 debriefing exercises is the need on all levels for clarification of roles and responsibilities.

While there is an organizational chart and an IECI Staff Manual, which outlines the responsibilities of each sector, these are outdated and do not always reflect the current working structure.¹⁰ There are existing job descriptions for many positions, but some are also outdated and staff members are not always aware of them. Several commissioners and executive staff noted concern that job titles and remit of some positions are unfamiliar within the Iraqi context.

The IECI is aware of the imperative to address this, and the need for accurate job descriptions and terms of reference is frequently cited. Indeed, during the period of the assessment, three different initiatives were noted for developing job descriptions. However, this is not taking place in any coordinated or systematic way.¹¹ While it is true that most existing documents defining structure and functions were drawn up by international staff, there has been no coordinated impetus to update or improve on this by the IECI.

It is recommended that guidance be provided to the IECI that any attempt to address this problem should aim to be (i) comprehensive in scope for the organization as a whole, (ii) fully coordinated by the appropriate division incorporating inputs from the respective sectors of the IECI and (iii) in a standardized manner that is compatible with the Iraqi context.¹²

The IECI must also bear in mind the extent to which clear definition of roles goes hand in hand with good working practices. For in order for this to be effective, efforts must also be made to

¹⁰ The current copy of the IECI Staff Manual is in draft form, dated May 2005.

¹¹ These initiatives related to three different divisions, all with differing methodologies.

¹² Civil service templates may be considered as a basis, although these will not cover some election specific roles.

ensure that staff members understand the role of their own position and unit, that staff understand the role of other units, and that fulfillment of tasks by the appropriate unit is properly monitored by management.

4.1.2. Division Size and Remit

Three of the existing five Divisions are currently responsible for a number of different sections and wide range of functions (Administration, Public Outreach and Operations Divisions). Ensuring fulfillment of the range of different tasks and coordination of functions puts significant emphasis on management skills. This is workable providing division management is strong, but the structure in itself does not facilitate coordination where it is not. The difficulty in supervising a large number of staff was also raised by some sectors in the 2006 debriefing workshops as a persistent challenge. This is particularly so when divisional responsibilities include working with a large number of staff at GEO level.

Consideration could be given by the IECI to how best to distribute resources across divisions to ensure all units are a manageable size and with coherence of functions. This will facilitate coordination and management practices.

4.1.3. Redundancies and Duplications in Structure

There are also some areas of redundancy and duplication within the IECI structure:

- There are some sections which exist but are not fully functional (for example, the Translation Section [see 6.2.1] and the Planning and Reporting Cell [5.4.2]). This results in other sections making staff available to fulfil the relevant functions.
- There are also some functions for which there is no designated unit within the IECI (for example, graphic design and information management). This results in sections becoming self-sufficient to meet all requirements, or in confusion over responsibilities for coordination.
- There are also cases where the definition of the structure itself has resulted in similar responsibilities lying across more than one division. This generally arises out of the clear separation of functions between what is required for implementation of electoral events and what supports the IECI as an organization. The clearest example is in relation to warehousing. Warehouse facilities fall under the Administration Division with its responsibility for materials for IECI facilities, but responsibility for storage and distribution of election materials lies with the Operations Division. There are staff members in both divisions responsible for storage of materials in warehouse facilities.¹³

The above scenarios do not necessarily imply a dysfunctional structure, but they do illustrate the emphasis on personal relationships in coordination of activities, and it is not the most efficient utilization of resources across the IECI as a whole. It is recommended that consideration be given to the best means of streamlining resources and how to ensure all units are effectively functioning and utilized.¹⁴

¹³ Training is another example. There are trainers within the Procedures and Training Section of the Operations Division responsible for election specific training and trainers within the Capacity Building Division responsible for training on 'general skills' and 'electoral skills'. There currently appears to be little coordination between them.

¹⁴ Consideration could also be given to the structure of support roles to the Board. There is some duplication of efforts between the Administrative Section of the Secretariat to the Board and the Commissioners secretaries, and the Deputy Commissioners have minimal working function in most cases.

4.2. Organizational Systems

Internal processes within the IECI are generally marked by an absence of standard operating procedures. There are some standard forms for administrative purposes, but processes have largely been developed as agreed working practices, rather than as defined procedures. This results in a lack of clarity in processes and a lack of consistency in their application.

This is particularly evident for administrative support processes between HQ and GEOs. HQ Sections of the Administration Division believe that fundamental requirements are being met at GEO level, but are not fully aware to what extent entire processes are applied uniformly.

It is recommended that priority is given to establishing clear standard operating procedures for a range of processes. This is particularly important for administrative support processes, given the legal requirements for accountability (such as human resources process, finance and procurement). Internal guidelines should also be considered for a range of mechanisms which are applicable across the IECI (for example for reporting, document management, warehouse inventory, information flow, translation requests, handling of sensitive election materials, and many others). This would aid management by developing uniform standards, which would facilitate consistent application of processes and managerial oversight. Efforts could then also be made to assist GEOs in ensuring their practices apply the agreed standards.

With the transition to a permanent electoral commission, it is also important to ensure the compatibility of processes with Iraqi law. To date, processes have been developed by drawing on a mixture of procedures of international organizations (UN agencies, in particular), IEAT advice and manuals in use in other Iraqi government bodies. While some sections of the Administration and Finance Division are currently attempting to follow Iraqi regulations and civil service guidelines, in other cases the IECI, as an 'independent' body has developed its own procedures.¹⁵ Many support sections are not aware of the extent to which their processes comply fully with Iraqi law and regulations relevant to the civil service.

It is recommended that a review is made of administrative processes to ensure compliance with Iraqi law, and to determine to what extent processes can be developed in a way which is compatible with practices of other Iraqi government bodies.

4.3. Working Practices

4.3.1. Coordination and Communication

IECI working practices are characterized by an obvious lack of coordination and confused communication structures, which is not managed in any systematic way. At present, this is one of the prime areas of weakness which is seriously hampering the effectiveness of staff efforts throughout the IECI.

One indication of this is the lack of structured meetings. While some units do hold meetings on a regular basis, there is no formalized requirement for this and it does not happen for all units. IECI management, for a variety of reasons, does not hold senior staff meetings with ongoing regularity. This causes a lack of established forums for discussion, planning or information sharing within the IECI as a whole.

Another feature is the absence of clear methods for information dissemination and lines of communication. This is evident for communication between the Board and the Electoral Administration, between divisions and between HQ and the GEOs.

Weekly reports are a simple but illustrative example. Until mid-2006, there were two weekly reports, compiled by different units, neither of which was the Planning and Reporting Cell. The HQ report was submitted by division heads, compiled by the CEO's office and disseminated to HQ staff by placement on the shared drive. The GEO reports were submitted to and compiled by

¹⁵ The Finance Division, while facing difficulties in ensuring compliance with government finance regulations is the division most closely attempting to comply with Iraqi law. Conversely, staff within Administration Division confirm that IECI agreed recruitment procedures are not based on Iraqi employment law.

the Field Coordination Office of the Operations Division. There has been no compiled HQ weekly report since June 2006. The GEO report continues but on a bi-weekly basis. Neither compiled report is disseminated to GEOs.

The result of weaknesses in coordination and communication is that IECI staff lack information on decisions and have an insufficient awareness of what other sectors of the IECI are doing. This causes duplication of efforts and a lack of cooperation between units. It also hampers the ability of management to follow up on implementation of decisions and it is often not known the extent to which any directive is followed.

Clear guidelines on reporting lines, chain of command and information dissemination, as well as establishment of structured requirements for meetings, would do much to rectify this.

4.3.2. Management

For appropriate functioning of organizational structure and good working practices, effective management is essential. Working practices are indeed fundamentally methods of management in themselves, as processes used to accomplish organizational goals.

Other problems highlighted in this section of the report are a clear reflection of the need to improve staff management skills and practices. This has also been frequently expressed both in the 2006 lessons learned exercise and in interviews during the capacity building assessment.

Comments point to a highly centralized management structure, which some describe as “excessive micromanagement”. Compounded with unclear levels of authority within and between the Electoral Administration and Board, this has at times resulted in delays and confusion, or disregard for the chain of command.¹⁶

A centralized management structure can also have some negative effects to human resource capacity in the longer term. Lack of trust and ownership affect morale and lack of delegation limits employee development with little effort made to challenge staff with learning situations. Additionally, without development of greater depth of management responsibility and experience at middle and lower management levels, the IECI exposes itself to adverse affects with the replacement of senior management staff. Such a potential situation is now facing the IECI.

It is therefore recommended that prioritization of development of management skills and experience should incorporate all management levels: the Board, the executive senior management and particularly the executive middle management, in order to promote strength in depth. This should aim to enhance the understanding that key aspects of effective management include establishing goals and leading staff to accomplish goals, allocating resources and assigning tasks, setting standards so staff know what is expected and monitoring performance. Although the scope and emphasis may differ, these key functions apply to management at all levels, as an effective way of promoting staff engagement, developing staff skills and increasing efficiency.

Key skills to target may include planning and project cycle management, communication (oral and written), human resource management, time management, information technology and leadership skills. Technical skills are also required at middle management level to facilitate supervision of tasks, and financial management skills are required particularly for management at GEO level. Training should also include components which aim to promote transparency and accountability at all levels of management.

¹⁶ Examples of Board and CEO micromanagement include recruitment and approval of financial disbursements. The Board additionally approves detailed administrative processes, such as participants of external outsourced trainings and executive body weekly reports. An example of bypassing of chain of command is Heads of GEO offices reporting directly to the CEO without reference to the Field Coordination Section of the Operations Division. Micromanagement is also evident within the Administration Division in certain areas, such as disbursement of equipment.

4.4. Priority Areas Significantly Affected by Organizational Factors

The above organizational problems are evident throughout the IECI and impact upon the work of staff of all sectors. The following highlights some priority areas where they are particularly evident as limiting IECI capacity to function effectively.

4.4.1. Board – Electoral Administration Relationship

Of those interviewed for the assessment, all commissioners and the majority of executive senior management and IEAT staff pointed to the relationship between the powers of the Board and the Electoral Administration as key to any successful IECI/IHEC. This therefore poses one of the biggest challenges facing the IECI and its activities.

The highly centralized management structure and Board extension of its oversight authority to involvement in daily management of executive tasks has resulted in what has been described as 'an unclear authority structure within the IECI'.¹⁷ The report of the first electoral debriefing refers to 'a constant tension between the two entities over the prerogatives of each'. The 2006 Cyprus conference report outlines the deterioration in the relationship since the IECI's inception for reasons of disagreements about the roles of each and the degree of direct management to be exerted by the Board. This has been exacerbated by difficulties in personal relationships between commissioners and the CEO, and has engendered a series of conflicts, particularly relating to recruitment and financial disbursements.

A frequently cited recommendation is to ensure clear definition of the relative roles of Board and executive. This is meant in more than legal terms but in a way that establishes the working relationship on a day to day basis. It is hoped by many that this will be a clear demarcation of legislative/oversight and executive functions. Mechanisms of reporting and follow up should be clearly established and practices of communication formalized and strengthened. Improvement in internal cohesion of the Board would also aid this relationship. This may be facilitated by early approval of internal rules and procedure for the future IHEC.¹⁸

It must be noted that some commissioners expressed the opinion that matters submitted to the Board for consideration were often at extremely late notice and not always well prepared with recommendations from the CEO's office. It also seems rare for relevant technical staff from the Electoral Administration to attend Board meetings in order to present or answer questions on matters under consideration. Improvement in information provision between the CEO, Electoral Administration and Board might work towards improving this relationship in the manner desired.

4.4.2. Planning

Although individual units of the IECI have been involved in developing individual or unit work plans for specific electoral activities, the IEAT has previously provided significant assistance in the full scope of overall election planning. There is an IECI Planning and Reporting Cell, but this has not been involved in planning to date and has no functional role within the structure.¹⁹ There has been some work undertaken towards developing an operational plan for governorate elections but involvement seems to have been limited to the Operations Division. In general, it seems, IECI activities since the last election have taken place in the absence of an overall strategy.

Planning has indeed been identified as an area requiring attention by both the IECI and the international team, and has resulted in one outsourced training session on project management and operational planning tools in November 2006, with intended follow up in 2007.

¹⁷ IEAT Initial Paper on Focus Areas for Potential IECI Board Specific Review and Reform, February 2006.

¹⁸ While the current Board has made consistent attempts to maintain cohesion in its communication with government, a certain lack of internal cohesion and discipline have been noted in its working practices. This is evident in, for example, matters of media relations and Commissioner absenteeism. The internal rules of procedure were never fully agreed and approved, owing to disagreement on two clauses. These related to commissioner absenteeism and spending authorities relative to board and CEO.

¹⁹ This was formally noted as early as March 2005 in the debriefing for the Transitional National Assembly election.

The IECI's ability to develop a coherent plan for future electoral events will depend partly on technical planning and project management skills and on an awareness of appropriate timelines for specific activities. It must be borne in mind, however, that it will also rely heavily on appropriate management and coordination practices.

It is therefore recommended that capacity building objectives also incorporate appropriate focus on the coordination role involved in planning, integrating all sectors of the IECI. Consideration should also be given not only to operational planning, but to strategic planning as a whole, and how best to define human resource levels and scope of activities in both election and non-election periods. Clarity is required on where within the IECI structure responsibilities lie for coordination of planning processes.

4.4.3. Role of Capacity Building Division

While internally the Capacity Building Division is active and seemingly well organized,²⁰ it is at present unable to effectively fulfil its role of working to develop IECI capacity. This is as a result of the lack of integration of the division into the IECI structure as a whole. This is in part a consequence of the intense operational focus, which places capacity building activities as low in priority. It also arises from a lack of understanding of the purpose of the Division, which in turn results in limited recognition of its capacity building activities.²¹ This lack clarity in the Division's role was highlighted as early as March 2005 in first electoral debriefing process.

With the exception of the Division's normal internal training activities (which are numerous), this has meant that the Division has not been involved in other activities which could normally be said to lie within its remit, such as external outsourced training activities or debriefing workshops.²² Other activities undertaken by the Division on its own initiative would also be said to lie outside the remit of the Division, such as production of public outreach materials. Although these indicate a response to identified needs, and also a readiness to rectify perceived problems, it seems the Division has partly taken on the role of 'filling the gaps', rather than facilitating the development of IECI staff capacity to do so.

There is indeed a need for the Division to broaden its scope beyond internal training, and guidance can be provided to incorporate more relevant activities. In addition to external trainings and debriefing workshops, these could include, for example, coordination of study visits and work placements, development of a staff induction package, facilitation of brainstorming workshops or needs assessments and working in cooperation with the Training and Procedures Section of the Operations Division on training methodologies.

There is also a need to ensure a clear understanding of the purpose of the Division, both within the Division and in other sectors of the IECI, and an attempt to integrate the Division fully in a way that accepts its role as working across all other sectors of the organization.

4.4.4. Human Resource Processes

A consistent concern expressed by IECI staff members from all sections during the debriefing workshops in 2006 related to human resources recruitment and promotion practices. These are widely described as nepotistic, and based on ethnic or political affiliations, rather than skills and experience.

The Human Resources Section of the Administration Division is itself concerned that even agreed processes are not always followed by IECI management. This is confirmed by some

²⁰ The Division appears to be amongst the better internally organized and managed units within the IECI. It holds regular meetings for each Section and for the entire Division, and conducts division brainstorming sessions on ideas for capacity building activities. Team members are aware of each others activities, and inclusive and active participation is encouraged in the development of materials.

²¹ The general understanding of many IECI HQ staff associates the Division primarily with the Tally Centre and Call Centre. This is also reflected in the Division's understanding of its own role. Whereas it is normal for reassignment of staff to meet operational needs, it is a misconception that these activities are primary functions of the Division.

²² The Division maintains a database of all internal training sessions attended by each member of staff. It is not provided with information on participants of external outsourced trainings.

commissioners.²³ Other staff members describe the absence of sufficient screening or testing of their own skills required for the specific position during the recruitment process.

This can result in the recruitment or promotion of inadequately qualified or competent staff, and there is a broad call for the establishment and adherence to merit-based practices. These should focus on formalization of appropriate, standardized recruitment and disciplinary procedures, followed by the development of a constructive performance evaluation process.²⁴ This would clearly improve the IECl's human resource capacities, by ensuring staff are adequately qualified and capable of performing their tasks, and thus promoting a culture of professionalism.

4.4.5. Finance Processes

The Finance Division has faced some difficult challenges, in its attempts to implement standard procedures throughout HQ and the GEOs, and in its efforts to maintain financial and budgetary control within confused coordination and communication structures. Additionally, electoral finance poses its own particular challenges since electoral operations can at times impose extremely tight deadlines for disbursement of funds, and/or a large number of transactions to process, such as payment of polling staff.

The Division is attempting to comply with Iraqi law. However, financial reporting mechanisms from GEOs are not developed in full, and this affects the Division's ability to maintain financial oversight. Communication with GEOs is extremely limited, which inhibits awareness of practices at field level or a means of monitoring application of procedures. This is exacerbated by the internal chain of command for financial issues, which goes directly to the CEO. The Board and CEO maintain authority over disbursement of funds and in the absence of clearly defined and enforced procedures, conflicts on financial issues between the Board and CEO impact on day to day workings of the Division. Coordination mechanisms with the Internal Audit Department and the General Inspector are not formalized.

The Division would clearly benefit from specialist support and guidance in the review of current processes at HQ and GEO level, to ensure application of standard operating procedures throughout the IECl, which both comply with Iraqi law and allow for the flexibility of electoral operational requirements. The Division would also benefit from support from IECl senior management and from GEOs in streamlining coordination methods on financial issues. Efforts must be made by the Finance Division to ensure standardized procedures are understood and applied at GEO level to facilitate budgetary control allow for full IECl financial accountability.

4.4.6. Position of Spokesperson

The IECl has also suffered from a lack of coordination on public relations issues. The position of spokesperson originally lay within the Board, but has not been filled since the Transitional National Assembly Election in January 2005. Since then, public relations initiatives, such as issuing press statements, have arisen in various sectors of the IECl with limited coordination. This has led to an inconsistency of public messages, which is potentially detrimental to the public credibility of the IECl. It has also, at times, undermined the public relations efforts of the Public Outreach Division. An emphasis on ensuring clear designation of the spokesperson role, as well as firm establishment of its remit, responsibilities and relationship with the Public Outreach Division would be beneficial.

²³ Candidates selected by sub-committee are not always the individuals hired.

²⁴ Further analysis would be required to identify other specific areas where guidance or training on human resources processes is required. Longer term aims might include attention to ensuring attention to gender and community policies.

4.4.7. HQ – Field Relationship

Establishment of an effective relationship between an electoral body's headquarters and its field offices can always be problematic, in terms of determining the relative levels of authority, ensuring clear and structured lines of communication and coordination, and maintaining standardization of working practices. This is especially difficult in Iraq, given the security environment and resulting difficulties in travel between HQ and the field.

In the 2006 debriefing workshops, inadequate communication and coordination between HQ and GEOs was identified as unsatisfactory by several sectors.²⁵ It is not that there is not an established communication line. It was clear to GEO staff interviewed that this is through the respective desk officer in the Field Coordination Section of the Operations Section. However, this is not always fully or correctly utilized.

The Cyprus conference report highlights that 'information from HQ to the field was irregular with many confusing sources, leading to some lack of compliance with instructions...The information flow in both directions needs to be improved.' This is not aided by a poor communications infrastructure, particularly since the last election.²⁶ However, for both operational and administrative reasons, every effort must be made by all Divisions to utilize the communication channel fully and correctly. This also needs to be supported by management at HQ and in the field, as difficulties have arisen through the bypassing of this channel.

Representatives from GEOs also expressed concern over their lack of input into operational planning, both broadly and in specific areas²⁷. Further thought could be given to developing the scope of involvement of GEOs in planning processes.

The role of the regional offices is unclear, and elaboration of the roles and responsibilities of these offices would be beneficial. Given the limited communication also among GEOs, there may be scope for the regional offices to provide opportunities for discussion between them. Another possibility would be to provide regional support to a range of operational activities (training, voter education, logistics, security). This would reduce the coordination burden on HQ teams, provide GEOs with easier access to guidance and facilitate follow up of application at field level. This may be particularly relevant to voter education activities, where regional differences in approach may be desirable.

It is recommended that particular focus be given in 2007 to tightening the links between HQ and GEOs. This would include enhancing information flow in both directions, ensuring the chain of command is clear and followed and developing opportunities for field input into planning processes. More effective coordination between HQ divisions and GEOs would further facilitate standardization of working practices and better follow-up on implementation of decisions, Further thought could also be given to delineation of relative authorities at HQ, regional and GEO level.

²⁵ This was highlighted particularly by sections of the Administration Division, Finance and Public Outreach Divisions. Communication from sections of the Operations Division appears to be better, although GEOs also highlight a lack of information on election materials and some other operational activities.

²⁶ There has been no internet or satellite telephone connections with GEOs since February 2006, when the service provision contracts were terminated. Communication is particularly difficult with GEOs in Kurdish populated areas, which are on a different mobile telephone network than the rest of the country.

²⁷ An example provided was that definition of requirements for public outreach materials, with quantities and languages, was decided at HQ level and not necessarily appropriate for the GEO.

5. Human Resource Capacity

There is now an existing basic skills base in most sectors of the IECI, gained through the experience of three election cycles. This is naturally stronger in some areas than others. While all sectors of the IECI could of course benefit from capacity building inputs, this section outlines areas recommended as priorities for development of specific technical skills and/or experience.

High priorities are those few remaining areas of minimal technical capacity. These have so far relied heavily on international assistance for election implementation, with a resulting lack of experience and/or skills development within the IECI. They would still currently require significant international assistance in the event of an immediate electoral operation. Other areas for attention include sectors with an insufficient number of qualified staff, or sectors where adequate fulfillment of tasks would require a greater degree of experience and/or level of skills than is currently the case.

5.1. Technical Areas of Minimal Capacity²⁸

5.1.1. Procurement

The IECI itself undertakes small-scale market supply of office materials, but there is currently within the IECI structure no unit responsible for procurement of election materials and no staff with experience of the full procurement cycle and its mechanisms for accountability. This does not imply any lack of capability in this field, but rather a lack of experience to date. Most procurement of election materials for previous elections was conducted by international staff, within the framework of UNDP procurement rules and procedures.²⁹

There appears to be a keen intention within the IECI to source materials locally in Iraq for future elections. However, in addition to the establishment of a unit responsible for procurement, development of procedures and some intense learning activities, it is also important to ensure a full understanding of how other factors (political, security and anti-fraud) may impact on decisions regarding the procurement of sensitive materials.

5.1.2. Database Development

Whereas there is within the IECI structure a Data Management Section, responsible for development and maintenance of database software and management of data, the Section is currently unable to fulfill its key functions.³⁰ Largely due to immediate operational needs, limitations in available time and lack of existing capacity, almost all software development for previous electoral events was undertaken by international staff, with minimal skills transfer.

Given that both accurate and timely compilation and provision of key electoral data (candidate lists, voter lists, results) is essential for the successful conduct and outcome of an electoral event, any capacity building programme must aim to ensure that database development skills are enhanced sufficiently to meet the IECI's needs.

5.1.3. Ballot Design

While there are technically competent graphic designers within various sections of the IECI who have experience in design of, for example, training and public outreach materials, ballot design in itself has been exclusively undertaken by international staff members. It is recommended that identification of existing staff with the appropriate graphic design skills within the IECI is followed by specific learning exercises on ballot design.

²⁸ There are other areas which have relied heavily on international involvement, but which do not necessarily represent an absence of technical capacity, such as the development of procedures and design of associated training manuals. Despite the lack of IECI responsibility for this, the relevant IECI units have had adequate exposure to these processes that significant IEAT assistance should not be required for future elections.

²⁹ This was primarily due to the complexities of reporting on international donor funds and the need for international sourcing and distribution by air to hubs within Iraq for security reasons.

³⁰ The relevant IECI advisor confirms that none of the staff have more than rudimentary programming skills and none can write software specifications.

5.1.4. Legal Drafting

Responsibility for matters pertaining to the electoral legal framework lies with the IECI Legal Sub-Committee, which has to date consisted of two Commissioners and the international Legal Advisor. There is a Legal Services Section, which reports directly to the Board of Commissioners, but its function has focused on ensuring compliance with applicable law on institutional issues, including contracts (service and employment), litigation and the management of the electoral complaints process. The Legal Services Section has to date had no involvement in development of the electoral legal framework and no experience in the drafting of regulations, and currently has a very limited knowledge of the electoral regulations.

Although responsibility for the establishment of the electoral legal framework lies with the Board, and the electoral law stipulates that at least two Commissioners must be lawyers, their tenure is by nature limited to the defined term of appointment. In order to ensure an institutional knowledge base and sustainability in the longer term, consideration must now be given to how to integrate within the IECI structure the support role currently supplied by the international Legal Advisor.

5.2. Other Technical Areas for Attention

5.2.1. Translation

The Translation Section is notably underutilized, with most units of the IECI undertaking their own translations. This results in a lack of consistency and any systematized quality control. The Section's technical resources are extremely limited, staffing levels for translation into Kurdish are insufficient to meet the needs and there is general concern within the IECI about the poor quality of outputs from the Translation Section.

A positive natural consequence of the decrease in international presence in 2006 has been an increase in documents originating in Arabic, rather than English. However, throughout the IECI there is still limited attention given to translating official documents from Arabic into Kurdish and a lack of imperative for this, despite the constitutional requirements.³¹ Given that in Kurdish areas, the primary – and often only publicly used – language is Kurdish, the importance of translation must be taken seriously in terms of its potential political implications and possible impact on operational implementation.

It is therefore recommended that efforts are made to improve internal mechanisms for official translation and translation skills in general. This includes elaboration of measures for quality control. It is also recommended that attention is given to improving resources for Kurdish translation and ensuring an adequate IECI policy is in place which defines requirements for Kurdish translation of official documents according to the law.³²

5.2.2. Public Outreach Division

With the exception of the Political Entities Section, which functions relatively well³³, the Public Outreach Division has been a highly challenged sector of the IECI. The core of the problem at present is a lack of qualified staff and consistent management. The Division is notably understaffed, having lost around one third of its HQ staff, has seen four (Acting) Directors over the past 16 months, has a minimum of qualified and experienced staff and has suffered from a lack of management attention over the past two years.

The Division has a broad remit and a range of external stakeholders, including observers, political entities, media and the public, with extensive activities also required at field level. The

³¹ There were no official Kurdish translations of procedures or training manuals for previous elections (with translations undertaken informally in different offices at GEO level). Board statements and decisions are released in Arabic only and many public documents on the IECI website are publicized in Arabic only.

³² Due to the difficulties in hiring competent Kurdish translators in Baghdad, one option presented is of decentralization of Kurdish translation to the relevant IECI regional office.

³³ The Political Entities Section functions without the need for close international guidance.

Division is also responsible for maintenance of the IECI website which, owing to the loss of the relevant staff member, has not been updated since February 2006. Effective coordination of a division of this scope, with the wide range of skills and experience required, would be a managerial challenge under any circumstances. However, consistent and effective management, has been lacking. Without this, staff members have not been exposed to regular coordination practices (such as information sharing and planning meetings), which has been detrimental to their learning experiences.

With a great level of commitment from the Division and a large measure of international input, basic tasks were completed for previous elections. However, the current level of skills and experience is not adequate for future electoral activities without ongoing and consistent international guidance, along with specific capacity building activities aimed to increase the level of staff skills and experience. Regional study visits may be beneficial to enhance understanding of their role and objectives, see examples of on-job technical activities and expose staff to functioning media and public outreach teams. Focus will also need to be placed on ensuring appropriate skills within the division for website development. With all this, to fully develop the team as a functioning unit, the consistent presence of a qualified manager is essential.

In addition to this focus on human resource capacity, the Public Outreach Division as a whole would also benefit from structural assessment in order to determine how best to distribute resources and responsibilities to facilitate management. There are various options for this, taking into consideration the different scope of each section in terms of dialogue with external stakeholders at both HQ and GEO level.

5.2.3. Complaints

The 2006 lessons learned exercise concluded that basic complaint processes seemed adequate (as is borne out by outcomes of the last election), but an increase in staff capacity would be essential for future elections. Staff of the Legal Services Section cite the handling of the complaints process as the team's biggest challenge to date and admit that this could not have been done without IEAT assistance. Despite the adequacy of processes, the IECI was simply not sufficiently prepared to handle the high volume of complaints.³⁴

Given the satisfactory way in which the Legal Section handles its legal infrastructure tasks, it would seem this is in large part a question of experience and preparedness of both processes and resources. However, this should be addressed, as it is important for political reasons to ensure both an efficient and transparent handling of complaints, given the impact that delays in certification can have on the credibility of election results.

In this respect, ongoing advisory guidance may be the most effective capacity building endeavour in increasing staff knowledge on the process and ensuring preparations are in place for the next election. This would include the definition and structuring of the entire internal process³⁵, preparation of complaint guidelines for wide publication, ensuring knowledge of all IECI electoral regulations and operational procedures and a prior identification of staff, either within or outside the IECI, to supplement the Section during an election, as required.³⁶

5.2.4. Operations

Within the scope of field operations, the following are particularly highlighted for capacity building attention, due to levels of experience, or difficulties in implementation on the ground.

³⁴ The IECI received almost 2,000 complaints for the Council of Representatives election. All complaints were duly processed, with all decisions for appeal cases upheld. The IMIE observer reports confirmed no evident bias or partiality and an 'unprecedented degree of transparency' for the last election.

³⁵ This includes development of processing procedures, investigation methodologies, training materials, methods for complaint classification, document management systems and data management tools.

³⁶ There were some difficulties in ensuring additional IECI staff resources were available for both data entry and legal review of complaints. For the latter, additional temporary lawyers were hired from the Bar Association. These had no previous electoral experience and operational deadlines placed limitations on training.

Cascade Training Structure

As deemed necessary in the security context, a cascade training model was applied in the delivery of training on polling and counting. There are inherent risks in using the cascade model, since information can become lost and/or distorted in the process of delivery through the series of different levels, unless it is closely monitored at every level.

It is advised that specific focus be given to the quality of training delivered to and by the middle levels (GEO core and supplementary trainers).³⁷ Primary trainers at field level are in many respects the key actors in ensuring message delivery to the final target group and in troubleshooting on the ground. Capacity building efforts could specifically target training skills of GEO trainers and monitoring skills of both HQ and GEO trainers. Guidance could also be provided on reviewing the management and implementation of the cascade structure, including the integration of quality control mechanisms at all levels.

It is also recommended that HQ trainers' skills are enhanced in the area of development of training modules from initial design, since it is hoped that they will be able to undertake delivery of training also at the first level for future elections.³⁸

Logistics

The IECI was responsible for management of the handling and distribution of election materials from GEO level to DEO level and then to Polling Centres. Thus there is some experience in this at GEO level, and in coordination of this by the Operations Division. There is, however, a lack of experience in the full cycle of movement of election materials, since distribution from outside Iraq to GEO level was managed by international staff.³⁹

There is therefore a need to focus on development of IECI logistical management capacities in cross-border and national movement of materials, to reduce dependence on international assistance. This should address abilities to plan and manage delivery of large quantities of materials to a broad geographic area in a way that maintains security of sensitive materials.

Operations at field level would also benefit from the development of standard procedures for material transfer, including standards for movement of materials and handover. This should facilitate planning and tracking of materials at field level. This would be in addition to the need identified by IECI and IEAT staff for a continued capacity building focus on warehouse organization and tracking materials, to build upon previous training.

Field Security

Debriefing workshops of 2006 point to a lack of knowledge and experience within the Field Security Section of security work specific to elections. This applies particularly to coordination and monitoring of security provided for movement and storage of election materials. It also includes ensuring security of electoral facilities, such as voter registration and polling centres.

For field security staff to understand the requirements for these responsibilities, capacity building efforts must aim to increase their knowledge of the full operational process at field level, particularly with regard to logistics and training tasks. Activities could also focus on increasing abilities to develop a security plan, which takes into consideration the requirements of all stakeholders in providing security to election staff, materials and facilities.

In addition to training on specific security methods to enable effective response to threats and risks, longer term consideration could be given to enhancing skills in information gathering and reporting writing, to develop staff ability to undertake security assessments in the future.

³⁷ Problems in quality of training were created by a reduction in training from three days to one for the middle level.

³⁸ In all previous elections, first and some second level training was undertaken by an international training body. IECI staff have been involved in developing material materials, but not in full design of modules from inception.

³⁹ This was outsourced. UNOPS managed the contracting of the international service provider Kuehne and Nagel for implementation.

6. Cross-Cutting Areas

The following section outlines other areas for attention, which lie outside or encompass a wider sphere than organizational or human resources capacities.

6.1. Voter Registration

Voter registration is broad in scope. It cuts across areas of both organizational and human resource sectors, as well as institutional policy and its interface with government, in the establishment of methods to develop a working voter list from constitutional voter eligibility requirements.

To date, development of a voter list has been based on the most effective available option, as a temporary measure in the particular circumstances. Since there is currently neither an accurate voter dataset for use in any immediate election, nor any sustainable solution for the longer term, voter registration must be given high priority on all levels in 2007.⁴⁰

From an organizational perspective, there has been no specific unit within the IECI structure responsible for voter registration processes. Voter registration update field activities were implemented through the Operations Division, on the guidance of IEAT staff. There are efforts underway to establish a Voter Registration Section within the Operations Division. This will be responsible for establishing coordination mechanisms with other sections/divisions, developing procedures, consolidating data sources and devising quality control mechanisms for the process.

From a human resources perspective, staff within the Voter Registration Section will be new to this function. Policy and procedures were previously developed by IEAT staff, as was all technical management of voter data. Database development skills are currently insufficient to adequately support the process (see section 6.1.2). There have until recently been no capacity building efforts to target other areas of the process, such as technical skills for data analysis.

There is a current IEAT advisor working with the IECI to address the full range of needs and this will need to be continued, with guidance and capacity building activities approached from all angles.⁴¹

6.2. Partnerships with External Stakeholders

Another factor which affects the capacity of the IECI to conduct effective electoral activities is the level of support from external stakeholders. Elections are multi-stakeholder events and there needs to be consensus with regard to legal frameworks and electoral systems and processes. This is to encourage support, commitment and compliance by political and electoral stakeholders at all levels, including government, political entities, observers, civil society organizations and the media.

On a broad level, factors which can affect confidence in electoral processes include the degree of transparency of electoral policies and processes, dissemination of information to voters, consultations with political entities and candidates, enforcement of electoral law and the code of conduct, and the general level of trust built up with the public, political actors and government.

In Iraq, the international validation sought by external stakeholders in the last election could potentially undermine IECI credibility and would indicate that confidence in processes could be improved. As noted in the report on the Cyprus Conference for Lessons Learned on the Iraq elections, political entities were often reluctant to accept internal reports and decisions emanating from the IECI, and looked to international bodies. The request for an external review of processes by the International Mission for Iraq Elections (IMIE) 'was seen as a political rather than an administrative need and as a concession to political interests'.

⁴⁰ The existing data is compiled from different sources with inconsistent levels of information and is now outdated.

⁴¹ The IECI will require knowledge and understanding of available policy options for both short and long term frameworks, support in approaching appropriate governmental institutions and potential data sources, development of skills to analyze personal data and population movements and improvement of skills for software development and data management. The IECI will also need guidance in establishing the Voter Registration Section and defining its roles and responsibilities, establishing coordination mechanisms with other units, developing relevant procedures and devising quality control mechanisms for the entire process.

With regard to the IECI, confidence in processes could be improved not only through the degree of transparency in processes through publication and dissemination of information⁴², but also in the level of constructive engagement and dialogue with external actors. There was one instance of a discussion forum held by the Board on the political party law, to which representatives of government, political entities and academic institutions were invited. Security concerns and movement restrictions are the main reasons for not undertaking such activities more frequently. However, the IECI could be more proactive in considering what appropriate mechanisms could be used to engage stakeholders.

Additionally, with the risk of politicization of appointments to the new Board by the Council of Representatives, the engagement of civil society in support of democratic electoral processes gains in importance. Civil society support could be important in addressing the issue of how the IECI can be independent from the influence and manipulation of the government and political entities. Development of partnerships with civil society organizations and networks which engage in democratic governance issues at local, national and regional levels could form a basis for this.

The report from the 2006 Cyprus conference also included the suggestion that the IECI could work with other electoral authorities in the Middle East 'with a view to establishing a regional electoral forum to observe and report on elections in member states. This... would lead to improvements and benefits for all parties.'

A period between elections is a good time to focus on building partnerships and engaging stakeholders. Civil society actors can also be supported to continue advocacy work after and between electoral events. In this respect, it is recommended that a proactive approach be taken to looking at ways in which to promote dialogue and engagement of relevant external stakeholders at all levels. This will be important to the sustainability of the IECI as an institution in the longer term.

6.3. Representation

Another activity which has to date required significant international involvement for operational purposes is that of communication with certain external parties on particular issues. While recognizing that this will need to be undertaken by the IHEC in future, there may be security or political reasons for ensuring ongoing facilitation of this and/or guidance by the international team.

This is particularly relevant to two areas. The first is liaising with MNF-I and other international security bodies in provision of security, and in this respect the MNF-I does also have two dedicated liaison persons communicating directly with the IECI Electoral Administration. The second is communicating with political entities on particularly sensitive issues (such as removal of names from the candidates list), where the IECI has previously required support both on a working level through the Political Entities Section, and at policy level with the Board of Commissioners.

Although this does not technically represent a capacity building need, this is included as an example of an area where continuation of IEAT support may be desired in the immediate future.

⁴² A main concern is that Board decisions are not made public, as is required by electoral regulations. The reason given is for security considerations, but there have been no efforts to extract and publicize the policy decisions.

7. Capacity Building to date

The following reviews the different forms of capacity development which have taken place since the IECI's inception.

7.1. On-job experience

While a period of intense operational activity naturally places extreme limitations on opportunities for formalized capacity building activities, it also provides a broad setting for learning through practical experience. In this respect, on-job learning can be highlighted as the primary and arguably most successful resource to date in the development of IECI capacity to conduct any future electoral event.

7.2. International Support

IECI on-job experience has been supplemented throughout the transitional period by the support of the IEAT. This has included providing specific inputs where required for the successful conduct of all electoral events, as well as ongoing advice and guidance to the IECI.

In general, the international support has been well received by the IECI and it is widely recognized that electoral events could not have been successfully conducted without it. A consequence of intense operational activities is, however, that the need to meet tight deadlines and deliver concrete operational outputs can have a tendency to limit attention given to mentoring, coaching and transfer of knowledge. This has resulted in a few specific areas where IECI skills and/or experience are still extremely limited.

A non-operational period potentially provides a good opportunity for closer on-job mentoring and formalized capacity building activities to target areas of need. However, the dramatic reduction in international staffing levels⁴³ has limited the IEAT's ability to offer guidance to the IECI as a whole, and attention has been focused on specific areas of expertise. A more consistent level of IEAT advisory resources to cover all sectors of the IECI and provide embedded support to the Board of Commissioners and CEO on an ongoing basis would enhance the support the IEAT could provide to the IECI as a whole.

Given the security situation, international presence at field level is problematic. Since this would clearly increase the levels on which IEAT support can be offered, options are being discussed as to its feasibility.⁴⁴

7.3. Board of Commissioners' Induction

The first formal capacity building activity to take place was an initial training programme for the new commissioners on their establishment as the Board mandated to oversee the electoral processes during the transitional period. This took place in Mexico from 21 June to 06 July 2004.

The programme's primary objective was to prepare the commissioners in the performance of their duties and, in particular, their most immediate tasks. This was addressed through a combination of academic discussions, practical sessions and comparative presentations which aimed to (i) present an initial overview of the principles of elections and electoral administration and (ii) highlight the role and functions of an independent electoral monitoring body and of electoral commissioners.

The training took place in Mexico, as a means of exposing the Commissioners to international experiences, and with the Mexican Federal Electoral Institute providing an example of an existing electoral institution with already established working practices. The programme also included participation of representatives of various electoral management bodies throughout the world.

Feedback from implementing agencies and the Commissioners indicates that the training was valuable and appropriate as an initial induction. The participation of electoral authorities from the

⁴³ IEAT staffing levels were reduced from almost 50 at the last election (UN, IFES and EU) to less than 10.

⁴⁴ This has been recommendation for consideration since the first electoral debriefing in March 2005 but has only occurred in the case of Anbar for the last election period, due to the particular security risks of the area.

region (Palestine and Yemen) was highlighted as particularly useful, as examples of the only two other independent electoral authorities in the region.⁴⁵ This assessment is unable to evaluate the impact of the induction training on the subsequent workings of the Board, and to what extent knowledge gained was incorporated into practices, given the time and information available.

Any similar induction for a new IHEC Board of Commissioners could use much of this as a basis, as well as including lessons learned from the experiences of the existing commissioners and insights into current policy issues to be addressed. The induction could aim to target potential problems as evidenced in the workings of the current Board, such as the need for cohesion and agreed internal working procedures, the requirement for clear definition of roles for Board and Electoral Administration, and the importance of transparency to the IECI's credibility. It could also address the potential dangers of political influence to electoral processes and emphasize the value gained in the engagement of civil society in balancing this and guaranteeing accountability to the electorate.

A new IHEC Board will require much initial assistance from the current Board and Electoral Administration. The external induction can be supplemented with an internal induction exercise, involving all sectors of the organization. In addition, the current IECI Board can greatly support the IHEC Board by preparing recommendations on significant policy issues that will require their immediate attention and decision.

7.4. Training Activities

External Outsourced Training Activities:

There have been a number of outsourced training activities initiated by IEAT for IECI staff. Prior to 2006, these primarily targeted election-specific training needs for immediate electoral events (such as polling, counting and designing a voter education campaign).⁴⁶ More recently, training activities have aimed to address more general needs, as highlighted in IECI post election debriefings. (See Annex 2 for full list of external outsourced capacity building activities).

The IECI has included a contractual provision that any participant of external trainings must commit her/himself to a minimum of a further six months employment with the IECI, with the aim of ensuring a measure of retention of knowledge within the organization.

The large majority of outsourced trainings have been conducted by the same international training institute. In many ways, this has so far been an advantage in that trainers are now familiar with the IECI and are able to tailor trainings to the particular target group. Consideration of a broader range of capacity building activities would also require a wider sourcing of service providers.

IECI Capacity Building Division Training Activities

The Capacity Building Division has also undertaken a significant number of training activities since October 2004. These also aim to target a number of areas highlighted by IECI staff as capacity building needs. These include computer skills, general electoral education, office administration, communication skills, time management, archiving and record keeping, human resource management, decision making, public relations and English Language training.⁴⁷ A large number of these trainings have been held outside Baghdad at GEO level.

The Division is also in the process of developing partnerships with external bodies for training service provision. This includes training departments of Iraqi Universities (for international law and political issues), the Ministry of Planning (on administrative functions) and a local computer centre (for computer skills). In the latter case, outsourced training is currently taking place.

A comprehensive analysis of quality of trainings offered by the Capacity Building Division would be necessary to evaluate potential impact and assess to what extent they meet identified needs.

⁴⁵ Other feedback includes that training was difficult to follow at that level of intensity for the duration of the programme, and that sessions primarily took the form of lectures or presentations, rather than a variety of formats.

⁴⁶ IEAT was also involved in designing and implementing election-specific trainings for other operational procedures, such as voter registration.

⁴⁷ The Capacity Building Division has a complete record of internal trainings and participants. This report cannot provide a complete breakdown of number and type of training activities owing to poor translation of information.

General Comments on Training Activities

Despite ongoing Capacity Building Division trainings from as early as 2004, it is interesting that several needs highlighted by individual sections of the IECI during the lessons learned workshops in 2006 include subjects already covered by the Capacity Building Division programme (such as basic computer skills and English Language courses). Warehousing is another example of a currently cited training need, for which IEAT has already organized three training sessions in 2005. It is unclear whether this results from continuing needs, quality of training, or an awareness within IECI of available training options.

It is noted that outsourced trainings, and many Capacity Building Division trainings, do indeed aim to address currently relevant needs as identified by the IECI and the IEAT. However, elaboration and definition of internal mechanisms would further maximize the impact of training and other capacity building activities. This could include review of methodologies for participant selection, definition of objectives, debriefings and post-training evaluative techniques. In this way, activities can be transformed into components to enhance an overall capacity building strategy for 2007.

It is recommended that the Capacity Building Division is involved in the coordination of these mechanisms to the fullest extent possible, as within the remit of the division. This would facilitate a more centralized coordination of all training activities and promote consistency of implementation.⁴⁸

Decisions on replication of trainings within the IECI should be made prior to definition of training objectives, as this will affect the design and content of training modules. An evaluation of IECI training modules and delivery by a specialist in training methodologies would also identify ways in which to enhance the quality of internal trainings.

7.5. Post Election Reviews

Electoral debriefings have been held following both Transitional National Assembly and Council of Representatives elections in 2005 and 2006. For the first election, this was largely internationally driven and managed from New York, with the involvement of IECI Commissioners. In 2006, this took the form of a fairly comprehensive review process of the previous year's electoral events. This was defined as part of a needs assessment process, to review successes and challenges of previous elections, produce recommendations for improvement of operational effectiveness and identify needs for future capacity development.

In February and March 2006, the IECI conducted a series of debriefing workshops within the majority of sections of the Electoral Administration, as a performance review of 2005 electoral events. The IEAT produced a response to these outcomes, which then provided a basis for the Conference on Lessons Learned from the Iraq Elections, held in Cyprus on 2-4 May 2006. This was attended by IECI Commissioners, some senior staff of the Electoral Administration and some members of the IEAT who had worked in one or more of the Iraqi electoral events. The stated aim of the conference was to review these events and to make recommendations for the future, in order to enhance the operational, administrative and technical capacities of the IECI as well as to provide perspectives on international assistance.

The process was in many ways productive. It resulted in specific recommendations for operational improvement, highlighted areas for attention and identified some capacity building needs. If time allows, a review process on this scale can be extremely beneficial not only to planning, but also as a learning exercise for staff members on overall electoral processes. It is also noted that one recommendation of the report of the Cyprus conference was 'to hold another meeting/conference with wider participation to discuss the whole set of issues related to the legal and institutional framework for future elections in Iraq'.

⁴⁸ Mechanisms for coordination of external and internal trainings are currently different. In addition to participant selection and definition of objectives, attention could be given to standardizing the approval process and record keeping on professional development. Consideration could also be given to inclusion of systematized processes for information provision or briefings to participants prior to training, debriefings after training and possibly impact evaluation in some cases.

One stated objective of the needs assessment was 'to develop the needs assessment into a jointly implemented IECI/IEAT work-plan for institutional strengthening and training'⁴⁹. While the identification of capacity building needs has led to plans for some specific activities, it has not resulted in a comprehensive capacity building strategy for IECI as a whole.

Additionally, as a review of electoral events, the focus was primarily operational, rather than strategic. As such, there were some components of the IECI not involved.⁵⁰ Consideration could be given as to incorporate all sectors of the IECI into an overall strategic planning process.

The IECI was significantly involved in the implementation of the workshop process. The conference itself was organized by the international representatives⁵¹, and the IECI has limited experience in organizing a process on this scale. An increase in involvement in the planning and implementation of any future event of this scale would act as a learning experience for the IECI. Furthermore, coordination of an internal workshop exercise is a responsibility which could be seen as relevant to the remit of the Capacity Building Division for future processes.

7.6. Institutional Memory and Handover Documents

On an ongoing basis, the Administrative Section of the Secretariat to the Board is responsible for maintaining Board records. This functions fairly efficiently. All minutes of Board meetings and a tracking record of decisions from 2004 to the present are archived in a standardized manner. There is as yet no standardized system of record keeping for sub-committees.

As part of transition phase to permanent electoral body, the current Board and Electoral Administration have also been working on archive activities and compiling handover documents. An archiving committee was set up to oversee this. The Board has completed a document compiling major outputs including all regulations and key decisions for handover to the new Board in 2007, and the Electoral Administration has produced documents outlining key operational processes. It is evident that these efforts are producing concrete outputs in terms of handover documents. It is not clear how comprehensive or systematized the result of archiving activities will be.

There is also a concurrent UNAMI/UNEAD managed Institutional Memory Project, which aims to contribute to the IECI's institution building by enhancing their capacities for information sharing. The project intends to compile, structure and index available IECI documents in a manner to facilitate reference, with appropriate search functions. A website will be created to host the database. It is hoped that this will be accessible at GEO level, with the establishment of a functioning network.

It is planned that agreement will be made in 2007 on how best to hand this project over to the IECI in a way that ensures the IECI has the ability to include any additional documents and take responsibility for its upkeep.

Future consideration could be given as to how to integrate the internal responsibilities for day to day management of the Institutional Memory Project with other information management activities within the IECI. Establishment of a standardized information management process to be incorporated into working practices throughout the IECI would facilitate access to information. It is also important to ensure that GEOs have access to any institutional memory documentation.

7.7. IECI Library and Resource Centre

There is also a Library/Resource Centre containing hardcopy documents in a designated room in IECI headquarters in Baghdad. Much of the material is supposed to be replicated in all GEOs. Responsibility for its management lies with the Public Outreach Division.⁵² In 2006 there was an intention to hire a full-time librarian and a staff member was identified, but this has not yet taken

⁴⁹ Objective 4 of the IEAT paper 'Goals and Objectives' for the debriefing sessions.

⁵⁰ Administration and Finance Divisions were involved both the debriefing workshops and the conference. There was no input from the Capacity Building Division and all units of the Secretariat (Legal, Planning and Reporting, Internal Audit and Administrative units) with the exception of input on complaints.

⁵¹ There was significant involvement of UN EAD in New York.

⁵² The Head of Public Information/External Relations Section was appointed by the Board in 2006 to manage this resource, as the most interested and qualified person on IECI staff for the task.

place. The Library/Resource Centre is currently in a state of suspension. It is hoped that work on this will resume in 2007.

There is a current proposal for development of this resource, to include its organization into four major sections (reading, electoral library, electoral archiving and internet), and the purchasing of additional resources. It is planned that this project will incorporate inputs from all IECI units.

This could be included in any attempts to streamline information management within the IECI (mentioned above). It could also benefit several divisions of the IECI to obtain comparative documents from other electoral bodies in the region (such as public outreach materials, procedures, training materials, conference reports etc) for their working reference.

7.8. Other Points for Consideration

In addition to points mentioned above, it is additionally recommended that the following are considered in the development of a capacity building plan for 2007:

- ii. A broad scope of programme activities to enhance knowledge and increase options for decision making. This could include a strong focus on enhancing electoral awareness, as well as skills (electoral, general and management) in order to expand knowledge of different types of policies and methodologies. A range of activities can be developed, including study visits and work placements within the region, in addition to training activities.
- iii. Activities which focus on promoting IECI staff understanding of the roles and responsibilities of each sector of the IECI in the electoral process. This would aim to focus staff efforts on the specific objectives of their unit and facilitate coordination within IECI.
- iv. Activities which specifically aim to enhance understanding of the need for transparency and accountability in electoral processes, and which increase knowledge on methods to promote this. This could include comparative studies to illustrate internationally acceptable standards.
- v. Specific internal training and/or coaching on any developed standard operating procedures or internal guidelines by IECI or IEAT staff as appropriate. This could be delivered by IECI or IEAT staff, as appropriate, and should include follow-up activities to ensure their application.
- vi. Involvement of the IECI (including the Capacity Building Division) to the greatest extent possible, in providing input into needs and content for external, outsourced trainings.
- vii. Inclusion of measures for follow-up at an early stage of definition of the objectives for an activity. This may affect the development of the content of the activity, and also the learning experience of the participant, if s/he is aware of this prior to the activity.
- viii. Facilitation of strengthening the IECI's partnerships with Iraqi training bodies (government and private) and other regional electoral bodies in delivery of capacity building activities. This will reduce reliance on international bodies for the future.

8. Summary of Recommendations

On the assumption that capacity building will consist of both on-job guidance and targeted capacity building activities, it is recommended that following aims are included in a capacity building programme for 2007:

Organizational Capacity

- **Structure, systems and working practices:** Improve organizational structure, administrative systems and working practices to facilitate the management of electoral activities, reduce reliance on individuals and relationships and enable staff to utilize their skills to the full.
- **Management:** Develop management skills at all levels of management, and middle management in particular, to maximize the efficiency and coordination of working practices and strengthen the depth of management skills and experience throughout the IECI.
- **Planning:** Enhance specific planning skills and provide guidance on the coordination of planning activities in a way that incorporates all sectors of the IECI, to increase IECI ability to develop an operational plans for future electoral events and strategic plans for all future activities of the IECI.
- **Board of Commissioners:** Support the new IHEC Board of Commissioners with an initial induction programme, which presents the principles of election administration and functions of an electoral management body, drawing upon lessons learned of the current Board; provide close guidance in the initial stages of their term in order to prepare them in the performance of their duties.

Human Resource Capacity

- **Skills Development:** Target specific areas requiring improvement for conduct of future electoral activities, to reduce reliance on international support. This includes particular focus on
 - (i) technical areas of minimal capacity, with no or limited experience and/or skills transfer to date (procurement, database development, ballot design, legal drafting)
 - (ii) other priority areas requiring an increase of skill or experience for fulfillment of functions (translation, public outreach/media, complaints, specific aspects of operations).

Cross Cutting Areas

- **Voter Registration:** Provide guidance and specific capacity building inputs into the full range of processes required to ensure measures are in place to establish and maintain an accurate voter list for the next election and in the longer term.
- **Engagement with Stakeholders:** Increase dialogue and engagement with external stakeholders, including government, political entities observers, civil society organizations, the media and other electoral bodies, and promote transparency of electoral processes and policies, in order to increase confidence in and commitment to electoral processes and strengthen sustainability of the institution in the longer term.

Capacity Building Methodology

- **Focus of Support:** Focus capacity building efforts in a way that encompasses all sectors of the IECI, so as to address needs of particular sectors as part of the whole.
- **Programme Activities:** Aim to enhance knowledge and awareness, as well as specific skills, including (i) awareness of alternative policies and methodologies, so as to broaden options in decision making, and (ii) understanding of the role of all sectors of the IECI in the electoral process, so as to target focus on unit objectives and facilitate coordination.
- **Capacity Building Division:** Work with the IECI to establish a clear remit for the Capacity Building Division and fully involve the Division in the coordination of all related activities, to enable the Division to effectively fulfil its function of developing IECI capacity.
- **Internal Mechanisms:** Improve, define and integrate into IECI processes internal mechanisms for developing and implementing capacity building activities, in order to maximize impact of activities and ensure activities fully address identified needs.

Annex 1: List of Interview Sources

Board of Commissioners	Chairperson Dr. Hussain Hindawi
	Commissioner Ez Al-Deen Al-Mohammady
	Commissioner Aydah Al-Salhy
	Commissioner Swa'ad Al-Jaboury
	Commissioner Dr. Farid Ayar
Office of the CEO	Commissioner Safwat Rashid Sidqi
	Chief Executive Officer/non-voting Commissioner Adil Al-Lami
Secretariat to the Board	Head of Unit: Security (HQ)
	Acting General Secretary
Finance Division	Head of Administrative Section to the Board
	Acting Head of Legal Services Section
	Head of Payroll Unit
	Head of Budget Control and Reporting Unit
Administration Division	Head of Unit responsible for GEO Finance
	Head of Division
	Deputy Head of Division
	OiC of HR (HR Officer)
	Head of ITC
Public Outreach Division	Translators/interpreters (x2)
	Acting Head of Division
	Head of Political Entities Section
	Head of Media Section
	Head of Public Relations / Voter Education Section
Operations Division	Meeting with entire Division facilitated by IEAT POD advisor: total participants 12
	Head of Procedures and Training Section
GEO staff	Field Co-ordination - North Cell
	Chief of Training, Erbil
Capacity Building Division	Head of GEO Baghdad East (Rusaffa)
	Head of GEO Tikrit (Salah Addeen)
	Head of Division
Former IECI Staff	Capacity Building Trainer (electoral skills)
	Capacity Building Trainer (general skills)
	Former Head Legal Services Section
IEAT Staff	Former Media Officer (Public Outreach Division)
	Former Reporting Officer / Translator
	Head IFES / Advisor Transition
	Advisor: Legal
	Advisor: Procedures and Training / BoC Liaison
	Advisor: Logistics
	Logistics Officer
	Advisor: Field Coordination / Operations
Advisor: Public Outreach	
Other	Advisor: Voter Registration / Data Management
	Former Operations Officer / Advisor Tally Center / Advisor Political Entities Section
	IFES Reporting Officer
	UNAMI Elections Logistics Assistant / Bridge Facilitator
	IDEA representative: Coordinator of Bridge Training
	Scuola Sant'Anna (x2): Coordinator and Trainer
	UNDP representative Baghdad (previously IEAT international procurement & contracts)
UNOPS representative Baghdad (capacity building and 2005 UNOPS election logistics)	
UNOPS representatives Amman (x3)	
UNDP representatives Amman (x2)	

Annex 2: SUMMARY OF EXTERNAL OUTSOURCED CAPACITY BUILDING ACTIVITIES 2004-6

Activity	Service Provider	Date	Participants⁵³	Summary of Content
General training for the Board of Commissioners				
Board of Commissioners Induction	UNEAD in cooperation with UNDP and UNAMI	21 Jun - 06 Jul 2004	All Commissioners and CEO	principles of elections and electoral administration and role of an independent commission
Technical training for the IECI for a specific electoral event				
ToT Polling and Counting	Scuola Superiore Sant'Anna	06 - 10 Dec 2004	13: IECI HQ core training team plus CB	initial cascade polling and counting procedures
ToT Polling and Counting	Scuola Superiore Sant'Anna	11 - 14 Dec 2004 16 - 19 Dec 2004	52: GEO trainers and some HQ staff	second level cascade polling and counting procedures; support to IECI core training team
Training for Voter Education Facilitators	Scuola Superiore Sant'Anna	20 - 22 Dec 2004	33 HQ and GEO voter education staff	the electoral process and planning a VE campaign
ToT Polling and Counting	Scuola Superiore Sant'Anna	07 - 09 Sep 2005	10: IECI HQ core training team	initial cascade polling and counting procedures; development and testing of cascade agenda
ToT Polling and Counting	Scuola Superiore Sant'Anna	10 - 13 Sep 2005 13 - 16 Sep 2005	43: GEO trainers	second level cascade polling and counting procedures
ToT Polling and Counting	Scuola Superiore Sant'Anna	07 - 09 Nov 2005	10: IECI HQ core training team	initial cascade polling and counting procedures; development of agenda and design of training materials
ToT Polling and Counting	Scuola Superiore Sant'Anna	09 - 12 Nov 2005 13 - 16 Nov 2005 14 - 17 Nov 2005	75: GEO trainers and some HQ staff	second level cascade polling and counting procedures
Media Monitoring	Scuola Superiore Sant'Anna	07 - 10 Nov 2005	20: Public Outreach staff	Legal requirements and technical skills
Voter Education	Scuola Superiore Sant'Anna	17 - 20 Nov 2005	25: Public Outreach staff	understanding and designing a voter outreach campaign
On-job Training Logistics, UAE (study visit)	UNEAD in cooperation with UNOPS and Kuehne & Nagel	07 - 11 Nov 2005	32 GEO and HQ Logistics	observation of all processes and facilities (including airport and warehouse) at Sharjah international hub: central handling, storage and distribution point

⁵³ Description primarily represents intended target group. Trainings may also have included some participants from other sectors of IECI.

Activity	Service Provider	Date	Participants	Summary of Content
General training for the IECI for development of knowledge, awareness and skills				
Electoral Administration: Archiving and Protecting Material	Scuola Superiore Sant'Anna	16 - 19 Sep 2005	15: Electoral Administration administrative staff	best practices
Election Administration Seminar: Budget and Finance	Scuola Superiore Sant'Anna	21 - 24 Nov 2005	18: budget and finance	best practices on budgeting and finance in electoral processes
Election Administration Seminar: Human Resources	Scuola Superiore Sant'Anna	22 - 25 Nov 2005	20: admin division	best practices
Interpretation and Translation Skills	Translation School of Geneva University	2 weeks: Nov 2005	2 interpreters/translators and 2 secretaries (of CEO and one Commissioner)	different types of interpreting skills and translation tools
Training of Trainers (advanced)	Scuola Superiore Sant'Anna	27 Mar - 1 Apr 2006	12: core trainers plus Head of CB and Admin	training methodologies
Training Course: Donor Management	Scuola Superiore Sant'Anna	29 May - 3 Jun 2006	25: IECI HQ various	donor requirements and project proposal preparation
Crash Training for GEOs	Scuola Superiore Sant'Anna	04 - 14 Jun 2006	25: GEO staff and HQ staff involved GEO coordination	broad training on legal framework, electoral systems, leadership, electoral administration, office management
Database and Geographical Information Systems (GIS) Workshop 1 (Arabic)	Scuola Superiore Sant'Anna	09 - 15 Jun 2006	13: 7 Data Management Section plus HQ staff	principles and practice in mapping techniques
Project Management and Operational Planning Course	Scuola Superiore Sant'Anna	19 - 26 Nov 2006	15: Operations Division plus 3 GEO plus head admin plus head finance	principles of project management and use of planning tools
Procedures Writing Workshop	Scuola Superiore Sant'Anna	28 Nov - 02 Dec 2006	14: 6 Procedures & Training HQ and other field and HQ	review of IECI polling and counting procedures and forms, with recommendations for improvement
Database and GIS Workshop 2 (Arabic)	Scuola Superiore Sant'Anna	02 - 10 Dec 2006	10: Data Management Section plus 2 ITC	utilization of principles and practice in mapping techniques
Voter Education Training Course (Arabic)	Scuola Superiore Sant'Anna	06 - 10 Dec 2006	15: HQ and GEO Public Outreach Division plus 3	principles and practice in defining messages and designing voter education materials

There was also an external training on logistics and warehousing facilitated by the IEAT and the UNAMI electoral unit in Amman. Three sessions were held, each lasting one week between 20 June and 07 September 2005. Total attendance was 10 IECI staff from HQ and 34 from GEOs.

2 IECI staff attended the IDEA BRIDGE Train the Facilitators course in Amman in November 2006 (Chief Training Officer, Erbil GEO and CB Division trainer).

The following were also planned for 2006, but did not take place for logistical reasons: Basic Office Management Training (December, Scuola Superiore Sant'Anna), BRIDGE Train the Facilitators Course (IDEA/UNDP, Yemen, November) and observation missions to Mexico (July) and Bangladesh (December).

There were also plans developed which are currently on hold for IFES training on political finance issues: Training in Detection and Enforcement (techniques for enforcement of political finance regulations) and Money and Politics (a database for political finance reporting).