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Corruption and integrity challenges in the public sector of Iraq

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An evidence-based study

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United Nations Office on Drugs and Crime

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Central Statistical Office - Iraq

Commission of Integrity

Kurdistan Region Statistical Office

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Executive Summary

Corruption is one of the principal challenges facing the authorities as they attempt to lay the foundations of the new democratic system in Iraq. Awareness of the size of the task facing them is not restricted to foreign observers, with the majority of Iraqi citizens perceiving corruption as having a major impact on several of the country's key institutions, organizations and sectors, not only in the political and business worlds but also in the social and administrative environment.

Such perceptions reflect a situation in which misconduct at all levels is regularly reported in the media or directly experienced by citizens themselves in their interactions with public officials. In this context, this unique study offers new evidence from three different perspectives to not only help understand the scope and type of corruption affecting Iraq but also to analyse the effectiveness of the State response to corruption, as well as to assess weaknesses in the “integrity system” of Iraq's civil service. In order to do so, new data focusing on the experience — not the perception — of corruption have been collected and analysed.¹ They indicate that corruption is both a recurrent experience and a major concern in the daily life of the citizens of Iraq and that, despite recent progress in the fight against corruption, much remains to be done to help establish integrity and accountability in the Iraqi public sector.

Bribery: who, what, when, where, why and how

When assessing corruption levels and trends, ordinary citizens' experiences of administrative bribery — the type of corruption that stems from the everyday interaction between users of public services as bribe payers and civil servants as bribe takers — provide a number of key indicators. Data demonstrate that bribery is a common occurrence in the interactions of the Iraqi public with civil servants: in 2011, the prevalence of bribery among the adult population of the country was 11.6 per cent.²

More than half of all bribe payers in Iraq indicate that they paid an average of four bribes in that period, thus, in absolute numbers, some half a million Iraqi citizens paid 1.9 million bribes to civil servants in the 12 months in question. The prevalence of bribery is higher among Iraqi men than Iraqi women (13.3 and 9.9 per cent, respectively) and is highest among the country's most educated citizens (18.3 per cent for those with a diploma and more) as well as among those with the highest per capita household incomes (13.4 per cent).

Given the volatility of the country's current situation, the prevalence of bribery in Iraq as a whole is not particularly high but large disparities in its distribution exist across the country's different Governorates and regions. At one extreme, the prevalence of bribery reaches 29.3 per cent in

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- 1- Data from three statistical sources have been used to produce this report: sample survey on civil servants (ICS Survey, 2011), sample survey on households (IKN Survey, 2011) and data on corruption-related investigations and convictions produced by the Iraqi Commission of Integrity (CoI, 2012).
 - 2- The percentage of the adult population aged 18-64 who gave a civil servant money, a gift or counter favour on at least one occasion in the 12 months prior to the survey, out of all those who had at least one contact with a public official in the same period.

Baghdad, at the other it is only 3.7 per cent in the Kurdistan Region, while it stands at 10.2 per cent in the country's other Governorates.

There is also disparity in the purposes, forms and modalities of bribes paid by Iraqi citizens. Almost half (45.8 per cent) of all bribe payers state that they pay bribes in order to speed up administrative procedures while 26.6 per cent resort to bribery to receive better treatment or service, meaning that bribery is often used to overcome bottlenecks in the delivery of public services or to improve their quality. In almost 4 out of 5 cases Iraqi citizens are prompted to pay bribes, as opposed to offering bribes voluntarily themselves. Specifically, in about two-thirds (65 per cent) of cases bribes are requested, either explicitly or implicitly, by the civil servant taking the bribe, and in another 14 per cent a third party requests the bribe on behalf of the bribe taker.

When it comes to the type of civil servant that Iraqi citizens most frequently pay bribes to, three posts stand out, with nurses in public health facilities, public utilities officers and police officers accounting for significant shares of all bribes paid by citizens (19.0 per cent, 15.5 per cent and 14.2 per cent, respectively). Seen in a wider context, the presence of nurses (as well as doctors) in this group indicates significant problems in the equitable provision of health services in Iraq. Likewise, the large share of public utilities officers (electricity and water supply, etc.) receiving bribes may be related to the unmet need for those services among large segments of the population due to widespread shortages, while the large share of police officers indicates abuses of public authority by those responsible for upholding and enforcing law and order. Other public officials that receive significant shares of bribes paid by citizens in Iraq include land registry officers (6.2 per cent), doctors in public facilities (6.0 per cent), car registration/driving licence officers (5.8 per cent) and teachers (5.8 per cent).

While it should be taken into consideration that civil servants may be reluctant to give information about their own malpractices, not to mention those of colleagues, a number of geographical, functional and institutional patterns as well as insights into specific bribery risks are confirmed and reflected in the survey of civil servants in Iraq. For example, although only 4.2 per cent (the equivalent of 76,000) of all civil servants across Iraq admit to being offered money or gifts in exchange for better or faster service at least once in the 12 months prior to the survey, Baghdad also accounts for the largest share (35 per cent) of all bribes offered to civil servants, a figure that reflects a combination of at least two underlying factors: the capital city houses a relatively large share (27.1 per cent) of all civil servants in Iraq and it has higher rates of civil servants that were offered at least one bribe (5.2 per cent).

When looking at the provision of services, the largest share (15.6 per cent) of bribes offered to civil servants is related to public utilities such as electricity and water. However, several other services and administrative procedures are frequently mentioned by civil servants that receive offers of bribery. For example, in relation to school marks/grades or enrolment (9.8 per cent), administrative certificates (5.7 per cent) and medical services or health certificates (5.0 per cent). Other administra-

tive procedures that account for significant shares of all bribery offers refer to recruitment and promotion (15.4 per cent) or procurement and public contracts (5.9 per cent), activities pointing to integrity challenges within the public sector.

Vulnerability to bribery among civil servants in Iraq is far from uniform and particular areas of elevated vulnerability can be identified. For example, managers and senior officials are more exposed to bribery offers than other occupational groups and those with supervisory functions receive more offers than those not entrusted with such functions. Involvement in certain duties, such as the provision of welfare benefits, legal documents or goods and services to external service users, as well as involvement in procurement decisions, human resource management and internal audit procedures, clearly increase vulnerability to bribery, as does involvement in multiple functions.

A particularly important factor in civil servants' vulnerability to bribery is the type and frequency of their contacts with external parties during the course of their duties. A large majority of bribe offers (59.8 per cent) to civil servants stem from citizens as service users, 15.6 per cent from private enterprises as contractors (service providers) and from private enterprises as service users (9.3 per cent). Vulnerability to bribery is especially high for civil servants with more frequent external contacts, particularly for those with daily contacts with citizens as service users and private enterprises as contractors. It is also significant, however, that bribes are offered by staff from the same ministry (18.7 per cent of all bribe offers) or employees of other institutions (6.8 per cent). Bribery is thus clearly a transaction that also takes place within the Iraqi civil service itself.

The response to corruption

While information on vulnerabilities to bribery provides clear indications of where to focus anti-corruption efforts within the civil service, data on the response to corruption provide insights on how to counteract corruption more effectively. The data show that currently only a small minority of bribe-payers in Iraq (less than 5 per cent) actually report bribery incidents with civil servants to the authorities. Moreover, although civil servants themselves are duty bound to report bribery attempts, only a third of those offered bribes in the 12 months prior to the survey reported the incident and most did so to their direct supervisors rather than to an anti-corruption body.

A lack of awareness of anti-corruption authorities as well as trust and confidence in their effectiveness are among the main reasons why corruption is not reported more frequently in Iraq (thus raising awareness and promoting a culture of reporting improper behaviour would also further the fight against corruption). Many civil servants are also afraid of the potential negative consequences (including retaliation) of reporting corruption and they are concerned about the general lack of security and adequate protection for "whistleblowers". Such findings highlight the acute need to raise awareness of reporting channels among both civil servants and the general public, as well as to make them more accessible, more confidential and safer for those willing to report administrative malpractices and corruption.

This report shows that there is a considerable amount of bribery in public services in Iraq that never come to the attention of the authorities and hence can never be brought to justice and sanctioned properly. Reluctance to report corruption to the appropriate authorities is the major reason for impunity in most acts of corruption, but there are additional reasons. As the data on the criminal justice response to corruption show, those investigating and prosecuting corruption face major difficulties in collecting enough hard evidence to prove acts of corruption in court and to obtain convictions and real sanctions.

The Commission of Integrity (CoI), the leading anti-corruption body in Iraq, is responsible for the investigation of all corruption cases in the 15 Governorates under the Federal Government. Since its establishment in 2004, and in the three years prior to the survey in particular, the CoI has progressively gained capacity and visibility, the number of suspected corruption cases reported through hotlines, in person or anonymously has increased substantially and, consequently, the number of criminal investigation cases under the CoI climbed from 786 in 2004/5 to 6,779 in 2009 and 11,671 in 2011. As a result of those investigations, the number of people referred to court for corruption charges increased more than five-fold, from 1,084 in 2009 to 5,682 in 2011, while the number convicted for corruption offences increased more than six-fold, from 257 in 2009 to 1,661 in 2011, of which about half (867 in 2011) were convicted in person and their sentence actually carried out.

The increasing number of people investigated, referred to court and convicted, including a significant number of high-ranking public officials and ministers, is a sign of the heightened awareness of corruption in Iraq as well as of a greater capacity for fighting it. At the same time, the overall efficiency of the criminal justice system in prosecuting and adjudicating corruption can be measured by monitoring all the different steps in the criminal justice procedure, which demonstrates the difficulty of investigating and proving corruption cases in court. In 2011, for every 100 people investigated in criminal corruption cases by the CoI, some 37 were referred to court, 11 were convicted, 8 were convicted in person and less than 6 were convicted in person and had their sentences actually carried out (not suspended). In other words, these data show that for each person convicted of corruption charges in Iraq, some 18 were investigated in the initial stages of the procedure.

The clear trend towards a higher ratio of people convicted out of all those investigated for corruption in the three years prior to the survey indicates an increasing level of the effectiveness of investigations that lead to more and better evidence in court. Nevertheless, when relating the number of investigations on corruption cases to the number of bribes, as declared by citizens in the survey, the difference in magnitude is striking and provides ample evidence of the need to strengthen capacities to investigate, document, prosecute and sanction corruptive behaviour in all its forms.

Integrity in the civil service

If, metaphorically speaking, corruption is a disease, the response to corruption, as described above, is its cure and integrity in the civil service its prevention. A particularly important aspect of prevention policy is the endorsement of high integrity standards, such as impartiality, fairness, hon-

esty, dedication to duty, loyalty and truthfulness, by civil servants. One crucial area for ensuring the integrity of the civil service, as well as its capacity to deliver results, is the selection and recruitment of new staff. This report finds that the recruitment of civil servants does not always occur under open and transparent conditions in Iraq and that the influence of informal networks on the recruitment processes is large and growing, while there is a simultaneous decline in structured and formal recruitment procedures. For example, 35 per cent of civil servants hired after 2009 did not have to undergo formal interviews or written exams in the process. Meanwhile, an increasing share of newly recruited civil servants receives direct assistance from friends, relatives or other networks during recruitment. In the three years prior to the survey, the figure rose to 28 per cent of new recruits, of which the largest shares indicated that they received help from friends or acquaintances, from family members and from their respective political party.

Full transparency and fairness in the recruitment process is not only necessary for implementing integrity standards throughout the selection process, but also for ensuring the best match between the experience and skills of applicants and the objective requirements of the position. In that key area, the findings of the report indicate the need to increase transparency and objectivity in recruitment procedures and to reduce the influence of informal networks. One way to do so is by enforcing full compliance with formal procedures in all recruitment processes as informal procedures are often used by those receiving external assistance when being appointed to a position. For example, among those receiving help from members of their own political party, as many as 60 per cent were hired without undergoing formal recruitment procedures.

Another crucial area for upholding the integrity of civil servants is the existence and application of monitoring and internal auditing systems, which are crucial for uncovering irregularities and weaknesses and for initiating corrective actions and improved procedures in institutions. More than two thirds of all civil servants in Iraq state that their department has been monitored by an internal or external government representative at least once in the past 12 months and 42 per cent declare that they have a system in place for monitoring the quality of services, such as an internal evaluation system or an independent audit procedure. When it comes to the effectiveness and integrity of those monitoring systems, however, many civil servants express their doubts, with 29 per cent suggesting that internal audit procedures, inspections and investigations are, in some cases at least, influenced by the payment of bribes.

While such perceptions of the integrity of internal monitoring procedures are nothing more than personal opinions and are not evidence of corruption in themselves, the data do indicate a lack of confidence among civil servants in the integrity safeguards put in place by their own institutions, which can in turn have negative consequences on their own motivation and willingness to comply with the required integrity standards.

In that context, another relevant finding is the importance of staff training for increasing awareness of integrity and required standards of conduct. Almost a quarter of civil servants in Iraq (22.9 per

cent) state that they would like to learn more about anti-corruption and integrity in their work, which is in stark contrast to the 6.7 per cent who have actually had training of that nature. Indeed, in some ministries and institutions in Iraq, less than 3 per cent of civil servants have ever had anti-corruption training. These results suggest that there is both an unmet need for anti-corruption and integrity training as well as willingness on the part of civil servants to learn from such initiatives.

Other threats to institutional integrity come from transparency measures not always being implemented, such as the insufficient use of identification badges by civil servants dealing with the public and a lack of written and visible information on administrative procedures and the entitlements of service users.

Civil servants in Iraq tend to express a high degree of job satisfaction yet the evaluation of their salary is not always a positive one. More than half of them state that their salary is not sufficient for supporting their household, a situation that can push civil servants to seek additional sources of income. Indeed, 15 per cent of civil servants in Iraq have an additional job, which increases among those whose salary is not sufficient for supporting their household. The conflict of interest that may arise from such a situation needs careful monitoring. As the analysis that follows shows, the same can be said of many other situations.

Key findings

- The prevalence of bribery among Iraqi citizens who had at least one contact with a public official in the 12 months prior to the survey was 11.6%.
- On average, Iraqi bribe-payers pay almost four bribes a year, or one bribe every three months.
- Large regional variations in the prevalence of bribery exist across Iraq (Baghdad: 29.3%; other Governorates 10.2%; Kurdistan Region: 3.7%).
- Almost half (45.8%) of bribe-payers pay a bribe to speed up administrative procedures; more than a quarter (26.6%) do so to receive better treatment or service.
- In absolute terms, bribes are most frequently paid to nurses in public health facilities, public utilities officers and police officers.
- The prevalence of bribery is highest when citizens deal with the police, land registry and tax and revenue officers.
- Citizens report that almost two thirds (65%) of bribes paid are requested by the civil servant involved by means of either an explicit request (41.2%) or in an indirect and implicit way (23.4%). In another 14% of cases the bribe is requested via a third party. Less than one bribe in five (19%) is directly offered by the citizen.
- A large share of citizens perceive corruption to be on the rise: 54% believe corruption to be more widespread than two years previously, while 33% perceive corruption to have decreased over that period.
- When looking at bribes reported by civil servants, 4.2 per cent of all public employees in Iraq (the equivalent of 76,000 civil servants) were offered money or gifts in exchange for better or faster service at least once in the 12 months prior to the survey.
- Civil servants in Baghdad are more likely (5.2%) to be offered bribes than civil servants in other Governorates (3.8%) and in the Kurdistan Region (3.8%).
- Civil servants at managerial level and those involved in operations more exposed to corruption, such as the provision of legal documents or welfare benefits, receive bribery offers more frequently than those in other occupational categories, or those who do not carry out such duties.
- Almost 60 per cent of those civil servants who are offered bribes receive the offer from private citizens, while a significant amount receive them from colleagues in the same ministry (18.7%) or from private contractors (15.6%).
- Significant shares of all bribes offered to civil servants are related to the provision of public utilities (15.6%), recruitment or promotion in the public sector (15.4%) or to gaining admittance to, or better grades in, an educational institution (10%).
- Of all citizens who pay bribes, only a small minority (4.5%) report the experience to a relevant authority, such as police, prosecutors or the Commission of Integrity (CoI).
- Few bribery attempts are reported by civil servants to the CoI (1.6%) or to Inspectors General (2.2%), while 27.7% are reported to a supervisor only. In almost two thirds (65%) of cases in which civil servants are offered bribes there is no follow-up by the civil servant.
- Reasons why civil servants do not report bribery offers include the belief that nothing would be done about them by competent authorities (15.1%), difficulties in proving

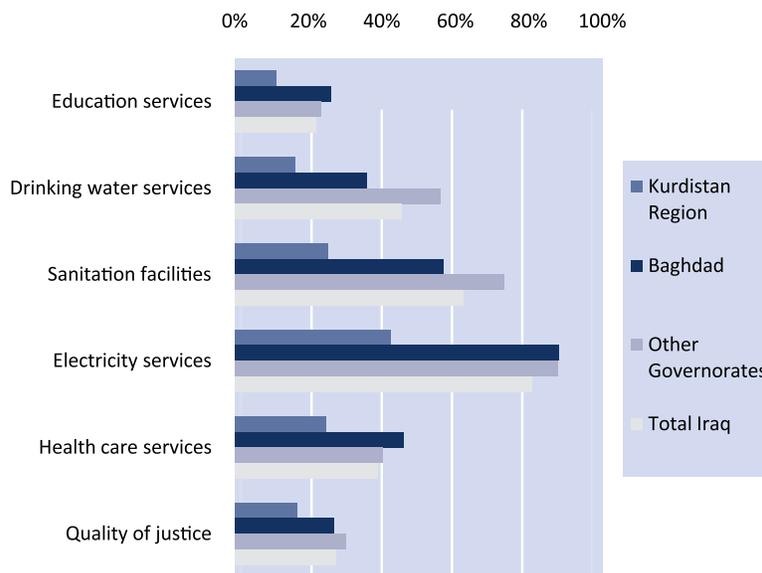
- the case (16.7%) and the fear of retaliation (11.5%).
- Two thirds (66.3%) of civil servants would not feel adequately protected if they had to “blow the whistle” (report an act of corruption) in their own ministry. Notably, 38.9% of those who do not feel adequately protected are afraid of losing their job and 22.8% fear physical harm.
 - While the survey findings reveal that most corruption cases in Iraq still go unreported, criminal justice data show that the number of new reports about corruption received by the CoI increased from 7,797 in 2009 to 12,520 in 2011. Over 90% of reports lead to criminal investigations.
 - Over the same period, the number of individuals referred to court for corruption by the CoI increased five-fold, from 1,084 to 5,682, and the number of those convicted for corruption offences rose six-fold, from 257 to 1,661. Of those convicted, about half (52%) were convicted in person and actually had their sentence imposed.
 - Bribery and embezzlement cases account for less than 10% of all investigations undertaken by the CoI. Falsification crimes, damaging state assets, abuse of authority and other illegal acts account for the majority of cases.
 - Notwithstanding increased criminal justice system activity against corruption, data on citizens’ perceptions of the Government’s effectiveness in fighting corruption indicate that 47.6% of the general population consider the Government’s efforts ineffective, while 27.8% consider them effective.
 - Integrity challenges exist among Iraqi civil servants: for example, more than 20% admit to receiving help during their recruitment. Among those recruited from 2009 to the present, that figure increases to 28%.
 - In parallel with the growing influence of informal networks during recruitment, the role of formal selection procedures is diminishing. Of civil servants recruited between 2009 and 2011, more than a third (35%) were hired without formal selection procedures (such as written exams and/or oral interviews). Among those who received help from their own political party, almost 60 per cent were recruited without formal selection procedures.
 - More than 60 per cent of civil servants in Iraq are not satisfied with recruitment policy and slightly more than half are not satisfied with the system of promotion in their own ministry.
 - More than four out of ten (41%) civil servants in Iraq are not satisfied with their salaries and more than half (52%) state that their salary is not enough to support a household, while 41% would consider changing their job if given the opportunity.
 - Roughly one in seven civil servants (15%) report extra earnings from an additional job, a pattern more common among men than women and less common among higher grades than among lower grades.
 - The implementation of transparency measures in public offices is still incomplete: more than 40% of employees report that civil servants do not wear an official badge when dealing with the public. Many civil servants also state that no written brochures or posters about the rights and entitlements of service users (46.6%) or on the procedures and rules to be followed by service users (38.3%) are disseminated.
 - While almost a quarter (22.7%) of all civil servants state that they would like to learn more about integrity and anti-corruption in their work, only 6.7% have ever had training on those topics.

Introduction

The provision of public services in Iraq

Despite good standards of education, almost a decade of reconstruction efforts after the fall of the previous regime and a vast potential source of income through oil exports, many citizens of Iraq still live under difficult social and economic circumstances. In addition to physical insecurity, low incomes and widespread un- or underemployment, the great majority of Iraqis still do not have access to decent and reliable public services. Large segments of the population are still confronted with frequent power cuts, lack of clean drinking water, poor health care facilities and an inefficient sanitation system, to name but a few services that are widely perceived as unsatisfactory (figure 1).

Figure 1: Percentage of adult population of Iraq considering selected public services “bad” or “very bad”



Source: IKN Survey 2011

This apparent dissatisfaction with public services has two principal effects. Firstly, it leads to widespread disenchantment with the public sector; secondly, the scarcity of good-quality services creates opportunities for some civil servants to extract bribes and other favours in return for preferential treatment of individuals. In short, the defects of the system may create opportunities for corruption and accelerate the loss of trust in the public sector.

Public services and corruption in Iraq

Corruption occurs at different levels and a distinction is usually drawn between “grand” or political corruption on the one hand and “petty” or administrative corruption on the other. The former affects the highest levels of government and leads to the erosion of good governance, the rule of law

and economic stability, while the latter involves the payment of bribes in the exchange for better services, the granting of favours or the employment of friends in secure public positions. While the negative effects of the former on the distribution of resources and high-level political decisions are regularly discussed in the media, it is administrative corruption, committed by civil servants at all levels, that is perceived as having a stronger impact on the everyday lives of the Iraqi population.

Confronted with a system that frequently does not deliver the amount and quality of public services that the public expects, many citizens of Iraq attribute poor services and scarcities in the provision of public goods to mismanagement and corruption. Indeed, over 40 per cent of the adult population agrees with the statement that, under current circumstances, “not a single public service can be expected without giving a bribe”. While the affirmation of such a statement should be seen more as an emotional proclamation than a depiction of reality (48 per cent of Iraqis actually disagree with the statement while 12 per cent neither agree nor disagree), its very force indicates that the public sector in Iraq has much work to do if citizens are to have faith in its integrity.

Corruption and integrity

Integrity in the public sector requires a great deal more than just an absence of corruption. The term “integrity” refers to the application of generally accepted values and norms in daily practice, which, at the individual level, include personal conducts such as impartiality, fairness, honesty, dedication to duty, loyalty and truthfulness in all matters affecting a civil servant’s work and status. While individual integrity is about ethical conduct and relates to the qualities that enable a civil servant to fulfil an organization’s mandate by acting in accordance with standards, rules and procedures, the concept of integrity also applies at the organizational level, where it relates to the rules, regulations, policies and procedures defined and implemented by public institutions in fields such as human resources, management schemes, service provision, procurement, monitoring and auditing, overseeing and standards of transparency.

Promoting integrity, both at the organizational and individual level, is a key component in a comprehensive strategy to prevent and fight corruption in the public sector. The adoption of high standards of integrity and transparency is a fundamental principle of good governance. Developing concrete standards in areas such as recruitment or procurement will foster fair and honest practices and, at the same time, will reduce improper and dishonest behaviours. Public confidence and accountability in public administration is also instrumental in the prevention of corruption.

According to article 7 of the United Nations Convention Against Corruption (UNCAC), States parties are required to take measures to enhance transparency in their public administration relative to its organization, functioning, decision-making processes and/or other aspects, in accordance with the fundamental principles of their legal system. Preventive measures directed at the public sector also include safeguards that promote efficiency, transparency and recruitment based on merit, as well as the application of codes of conduct, requirements for financial and other disclosures, and appropriate disciplinary measures (article 8).

The concept of integrity clearly defines objectives and outcomes against which progress can be measured.¹ Developing a fully-fledged methodology to monitor integrity within the public sector is part of an overall strategy to assess and monitor corruption. An overall integrity framework may focus on core integrity instruments (e.g., ethics codes, conflict of interest policy, “whistle-blowing” arrangements, etc.); processes (e.g., recruitment, procurement, monitoring and auditing, etc.); or structures/bodies (e.g., organizational aspects of integrity management, ethics units, integrity bodies, etc.) that foster integrity within public sector institutions. In this study, a number of practices crucial to the assessment of integrity are examined on the basis of collected evidence.

The rationale of this study

This study has taken a broad view in assessing integrity and corruption issues within the civil service of Iraq. To illuminate such sensitive topics a multi-dimensional approach that provides different perspectives from numerous angles and various groups is needed. The research is comprised of three main components:

- Assessment of the extent and modalities of bribery affecting the public sector, with a focus on forms of administrative bribery taking place during contacts between civil servants and users of public services. Information on personal experiences of bribery has been collected from both the general public and civil servants with the objective of describing the extent and modalities of bribery, identifying sectors and positions more vulnerable to the risk of bribery, and analysing regional patterns.
- Response to corruption offences: one of the main ways to fight corruption is to ensure that reporting channels to authorities are functioning correctly and that appropriate subsequent action is taken by the criminal justice system. Information on reporting patterns (e.g. “whistleblowers”) and on the response of the criminal justice system is fundamental for assessing whether the state response to corruption is adequate. In this context, data on investigations and legal proceedings relating to corruption illustrate the challenges and difficulties of investigating and substantiating corruption cases reported to the Commission of Integrity.
- Integrity in the public sector: the civil service of Iraq is large and extremely diverse in terms of composition, mandate and functions of its numerous institutions/ministries. The transition that started after the fall of the previous regime has created considerable instability in terms of the institutional, legislative and regulatory framework of the civil service. In such a context, the establishment of a strong integrity framework is both a major challenge and a crucial step towards increasing the effectiveness and accountability of the public sector, as well as preventing corruption. Analysis is therefore conducted to assess which practices are in place in a number of core areas that can have a direct impact on staff integrity, such as recruitment and promotion, monitoring, procurement, as well as in related areas such as training and staff mobility.

1- Armytage L., Monitoring judicial integrity: lessons for implementation of UNCAC Article 11 (2009).

The overall aim is not only to provide comprehensive information on the current patterns of corruption affecting the public sector of Iraq, but also to analyse two main components of the fight against corruption, law enforcement and prevention, and provide indications on how to improve performance in these fundamental areas.

The data

This study is based on extensive statistical evidence gathered during 2011. Collecting statistical information in this area is a major challenge as corruption is an unethical behaviour, it is carried out covertly and it usually remains unreported. For these reasons, statistical data on reported corruption cases, while useful for analysing criminal justice procedures, are not sufficiently accurate to portray the extent and patterns of corruption. Consequently, in order to collect direct information on the experience of corruption, two large scale sample surveys were conducted, one of civil servants, the other of the general population of Iraq.

The data used in this study are derived from three different sources:

1. ICS Survey 2011: the sample survey on Working Conditions, Job Satisfaction and Integrity of Civil Servants of Iraq (ICS Survey) was implemented by the Central Statistical Office (CSO) of Iraq and the Kurdistan Region Statistical Office (KRSO), with the assistance of UNODC and UNDP, during July-August 2011.¹ This survey covered 33 ministries/institutions in the Federal Government (FG) and 22 ministries/institutions in the Kurdistan Region Government (KRG).² In total, more than 31,000 civil servants took part in the survey: a large sample distributed over the entire country and representative of 1,867,000 public servants in 55 institutions (see Methodological Annex for technical details). This survey provides information on working conditions, recruitment practices, motivation, job satisfaction, management schemes, experience of bribery, reporting of corruption and related perceptions.
2. IKN Survey 2011: the Iraq Knowledge Network Survey (IKN) was conducted in 2011 by the Central Statistical Office (CSO) of Iraq and the Kurdistan Region Statistical Office (KRSO), with the assistance of United Nations agencies.³ The survey covered all governorates of Iraq and a random sample of around 29,000 households was interviewed. This survey included a module on governance, which also collected data on prevalence and forms of bribery faced by the population, reporting practices and perceptions about corruption (see Methodological Annex for technical details).

1- The survey is part of the broader UNDP/UNODC project Assistance to the Government of Iraq to Combat Corruption through Policy Support and Compliance with the United Nations Convention Against Corruption (2008-2012).

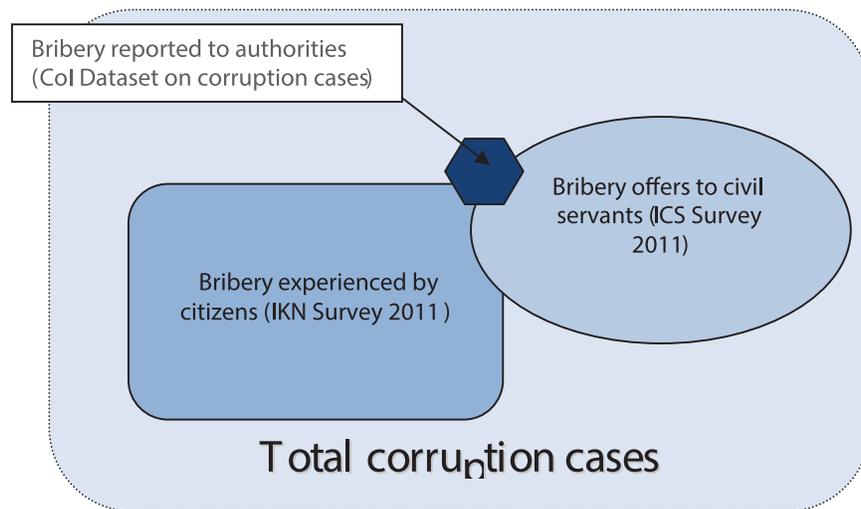
2- The survey did not cover the Ministry of Defence, the Ministry of Interior, the Electoral Commission, the Commission for Resolution of Real Property Disputes and the Stock Exchange in the FG and the Ministry of Interior, Peshmerga, Parliament and Presidency in the KRG.

3- The Iraqi Knowledge Network (IKN) survey covered the following topics: labour force, essential services, food security, household expenditure and governance. The project was jointly implemented by the Iraq Central Statistical Office, Kurdistan Regional Statistical Office, United Nations agencies and the United Nations Inter-Agency Information and Analysis Unit (IAU).

3. CoI Administrative Dataset on Corruption: administrative data on the criminal justice process relating to corruption cases over the period 2006-2011 were provided by the leading anti-corruption body in Iraq, the Commission of Integrity (CoI). The data provide a comprehensive statistical picture of the criminal justice response to corruption, from the number and type of corruption cases initially reported to authorities and those passing to the investigation phase to the number and type of judicial sentences. These data are analysed to gain insights on the progress made in the fight against corruption as well as on challenges remaining and areas for improvement.

The evidence collected from each of these three sources provides complementary information that illuminates various aspects of corruption and integrity in Iraq. The general population survey (IKN Survey 2011) identifies a greater number, as well as a different type, of bribery cases than the survey of civil servants (ICS Survey 2011), which in turn identifies a greater number and a different type of corruption cases than those that are eventually reported to anti-corruption authorities (CoI Dataset on corruption cases). This is illustrated in figure 2, where the areas of each rectangle are only partly overlapping, exemplifying the amount of corruption identified by each data source, out of the (unknown) total of corruption cases.

Figure 2: Corruption and corruption measurement through three different data sources



Among the reasons explaining the data discrepancies between the various sources, the following should be highlighted:

- Data from the household survey refer to actual payments of bribes from citizens to public officials, irrespective of whether the bribe was requested by the official or offered by the citizen.
- Data from the survey of civil servants only refer to offers received by civil servants, irrespective of whether followed by payment or not. Bribes requested by civil servants are not included in data from this source.

- Data on reported cases of corruption only refer to cases brought to the attention of anticorruption authorities, either following a report filed by an informant or following investigations of law enforcement authorities.
- The attitude of citizens and civil servants replying to survey questionnaires are clearly different: despite confidentiality guarantees implemented throughout survey field operations, it can be expected that civil servants are more reluctant to disclose bribery-related information given the possible risks they could face.

While taking into account that they cannot be directly compared because of different operational contexts and underlying definitions, data from three sources have been analysed in conjunction with each other. Wherever possible, data are presented disaggregated at geographical level (see figure 3) and disaggregated by a number of socio-demographic variables and civil service sectors.

Figure 3: Administrative divisions of Iraq, by Governorates and regions



Chapter 1

Bribery Extent and Modalities

1. Bribery extent and modalities

Corruption comes in many shapes and sizes and assessing its levels and patterns is an already daunting task made even more so by the covert and often intangible nature of corrupt offences. But the assessment of levels, patterns and modalities of the most commonplace and familiar of its manifestations, administrative bribery,¹ is an initial step in the right direction. The civil service plays a vital role in contemporary society, with citizens and households depending on it for a vast array of public services, which often leads to bribes changing hands between members of the public who need those services and the civil servants who provide them. The way such experiences are perceived and then described by citizens and civil servants are clearly different and the resulting data provide complementary views of the same phenomenon.² The analysis provided in this chapter, as in the rest of this report, is based on data collected in Iraq from those two distinct points of view.

1.1. Bribery as experienced by the population

1.1.1. Prevalence of bribery

Calculated as the number of Iraqi citizens who gave money, a gift or counter favour to a public official on at least one occasion in the 12 months prior to the 2011 survey, as a percentage of citizens who had at least one contact with a public official in the same period, the prevalence of bribery in Iraq is 11.6 per cent. However, large variations exist across the country, with a prevalence of bribery as high as 29.3 per cent in Baghdad Governorate, while in the Kurdistan Region it was 3.7 per cent (figure 3) and in the other Governorates an average of 10.2 per cent.

Many Iraqi citizens report that they have to pay bribes to civil servants in order to receive public services on one or more occasions, so to get a fairer impression of the extent of bribery it is also necessary to consider the frequency of bribe paying, or the number of times citizens actually pay a bribe. Indeed, the survey finds that more than half of bribe-payers do so on multiple occasions, with Iraqi bribe-payers paying an average of almost 4 bribes a year. Taking into account the total number of bribe-payers (502,000 citizens) over a 12-month period and the number of kickbacks each of them has to pay in that period, it is estimated that some 1.9 million bribes were paid to civil servants by half a million Iraqi citizens in the period covered by the survey.

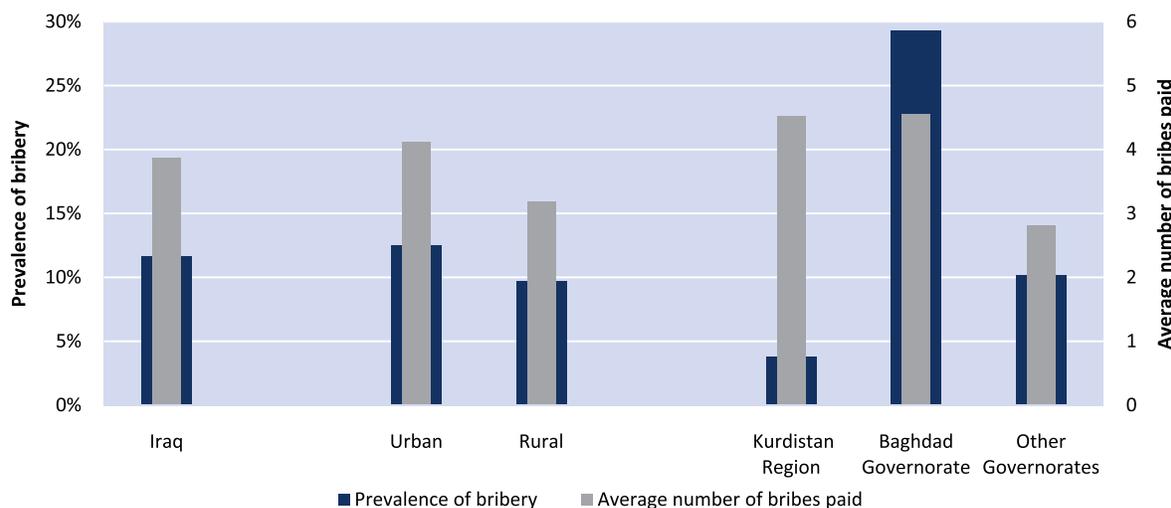
Figure 3 shows that despite the contrast between the prevalence of bribery in Baghdad Governorate and the Kurdistan Region, bribe-payers in both areas pay an average of 4.5 kickbacks per year to public officials. But, in general, the frequency rate is higher in urban (4.2 bribes) than in

1- Bribery is defined in article 15 of the United Nations Convention against Corruption as (a) the promise, offering or giving to a public official, directly or indirectly, of an undue advantage, for the official himself or herself or another person or entity, in order that the official act or refrain from acting in the exercise of his or her official duties and (b) as the solicitation or acceptance by a public official, directly or indirectly of an undue advantage, for the official himself or herself or another person or entity, in order that the official act or refrain from acting in the exercise of his or her official duties.

2- Information on bribery experiences, as collected from ordinary citizens, refers to payments or gifts they have given to public officials irrespective of who made the request or the offer, while bribery-related information collected from civil servants only refers to offers made by citizens to officials.

rural areas (3.2 bribes) and, as in many countries, so is the prevalence of bribery, at 12.5 per cent, versus 9.7 per cent, respectively.

Figure 3: Prevalence of bribery and average number of bribes paid, by urban/rural areas and regions, Iraq (2011)

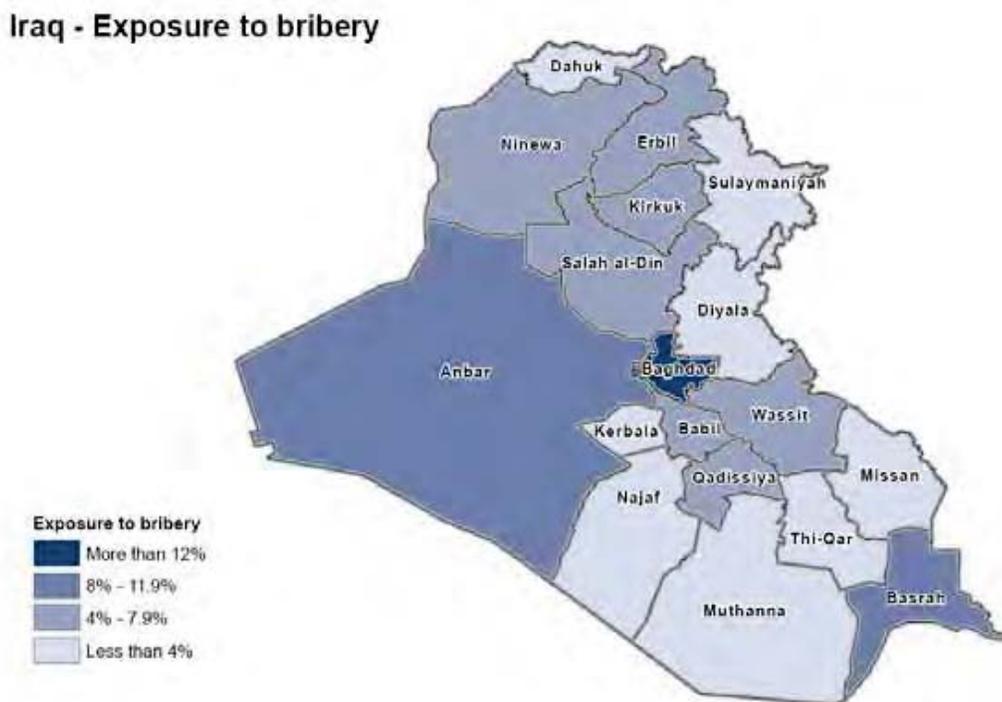


Source: IKN Survey 2011

While prevalence of bribery only refers to citizens who have had at least one contact with a civil servant, an additional indicator of citizens' experience with corruption is exposure to bribery, which takes into account the fact that bribes are often paid by a person on behalf of another member of their household. On average, 8.0 per cent of the adult population of Iraq (equivalent to 1,336,000 citizens), were exposed, either directly or indirectly, to bribery in the 12 months prior to the survey. This figure is the sum of two components: the percentage of individuals who personally paid a bribe (3.3 per cent), and the percentage of individuals reporting that a member of their household did so (4.7 per cent).

Exposure to bribery in Iraq is much lower (4.3 per cent) in the Kurdistan Region and in the other Governorates (5.6 per cent) than in Baghdad, where it is as high as 17.9 per cent. As shown in figure 4, exposure is also high in Basrah (10 per cent) and Al-Anbar (8 per cent) Governorates, while it is between 4.0 and 7.9 per cent in seven Governorates and under 4.0 per cent in eight Governorates, including Dahouk where it is less than 2 per cent.

Figure 4: Exposure of adult population to bribery, by Governorates, Iraq (2011)



Source: IKN Survey 2011

1.1.2. Nature of bribery

Bribe payments to public officials are made in distinct forms, for different purposes and in diverse contexts. A better understanding of the circumstances surrounding bribe-paying episodes can be obtained by examining the nature of bribery in terms of the purpose for which a bribe is paid by a citizen, the type of payment made and the modalities for communicating a bribe request or bribe offer.

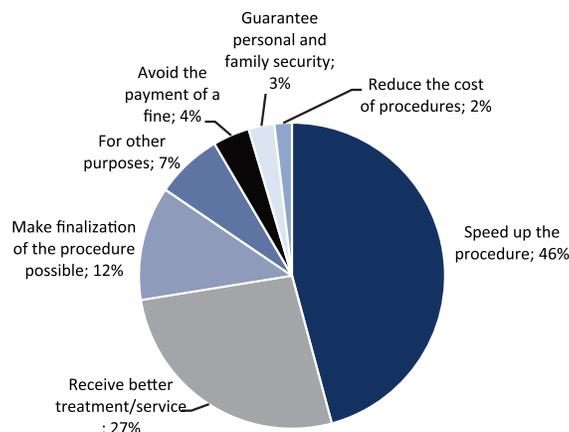
Purposes of bribery

In addition to assessing the level and extent of bribery, understanding its specific purposes and mechanisms — such as who initiated the bribe, the civil servant requesting or the citizen offering — can play an even more important role in helping design measures, preventive policies and law enforcement strategies to eradicate it. Bribes are often seen as a barter, either explicit or implicit, between two parties in which both give and receive something in exchange. But it should be stressed that in most cases the two parties are not on an equal footing, with civil servants typically being in a position of strength due to their power to grant or withdraw a public service, the allocation of goods, a licence, the payment of a fine, etc.

A useful indicator of motivations for bribery can be obtained by examining the purposes for which bribe-payers state that they paid their last bribe. As shown in figure 5, a relative majority of 45.8 per cent of bribe-payers did so in order to speed up administrative procedures, while 26.6 per

cent made payments in order to receive better treatment or service. It is noteworthy, however, that few individuals paid a bribe to avoid payment of a fine (3.9 per cent) or to reduce the costs of administrative procedures (1.8 per cent), motives that could be considered of more direct economic benefit to the bribe-payer.

Figure 5: Percentage distribution of bribes paid, by main purpose of payment.



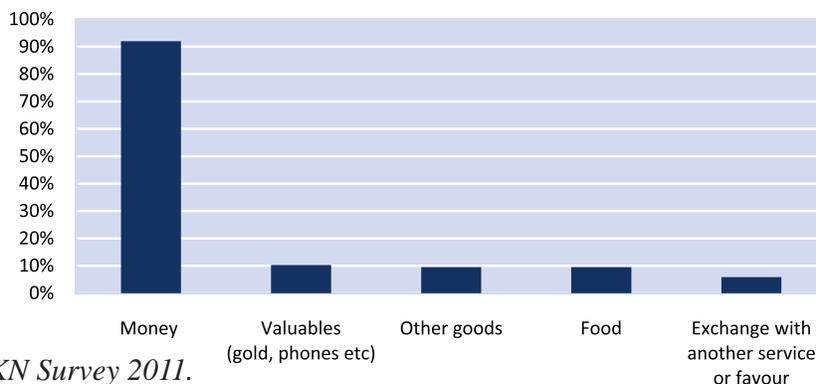
Source: IKN Survey 2011

Note: Data refer to the last bribe paid by each bribe-payer in the 12 months prior to the survey.

Forms of payment

The vast majority (92 per cent) of bribes in Iraq are cash payments either made individually or in combination with other types of bribe (figure 6). Valuables are handed over in 10.3 per cent of bribery cases, food and other goods in 9.5 per cent, and payment is made in the form of a counter favour or service in 5.9 per cent of cases. In 15 per cent of cases bribes are paid as a combination of two or more forms (mostly cash in combination with another form of payment).

Figure 6: Percentage distribution of bribes paid, by type of payment, Iraq (2011)



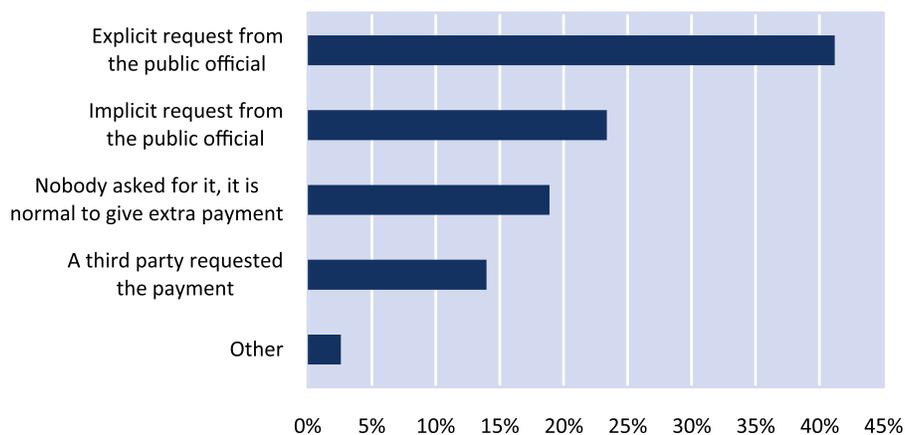
Source: IKN Survey 2011.

Note: Data refer to the last bribe paid by each bribe-payer in the 12 months prior to the survey. Percentages do not add up to 100 as, in some cases, payment was made in more than one form.

Bribe seeking modality

The modalities through which citizens understand the need to pay a bribe shed light on the circumstances surrounding bribery. For example, who initiates the episode, whether a bribe is requested by a public official, offered by a citizen, or whether it is a more complex case in which a civil servant arranges for a third person to communicate the bribe request. Figure 7 shows that 65 per cent of bribes paid to civil servants in Iraq are requested by public officials by means of either an explicit request (41.2 per cent) or by making the counterpart understand by means of an implicit request (23.4 per cent). In other cases (14 per cent), the bribe request is made through an intermediary, which suggests a higher level of organization behind the transaction. In 19 per cent of cases, bribes are paid without any kind of request from a civil servant, which is often due to the fact that in those cases citizens view it as normal to pay a bribe and thus offer one.

Figure 7: Percentage distribution of bribes paid, by modality of request/offer, Iraq (2011).



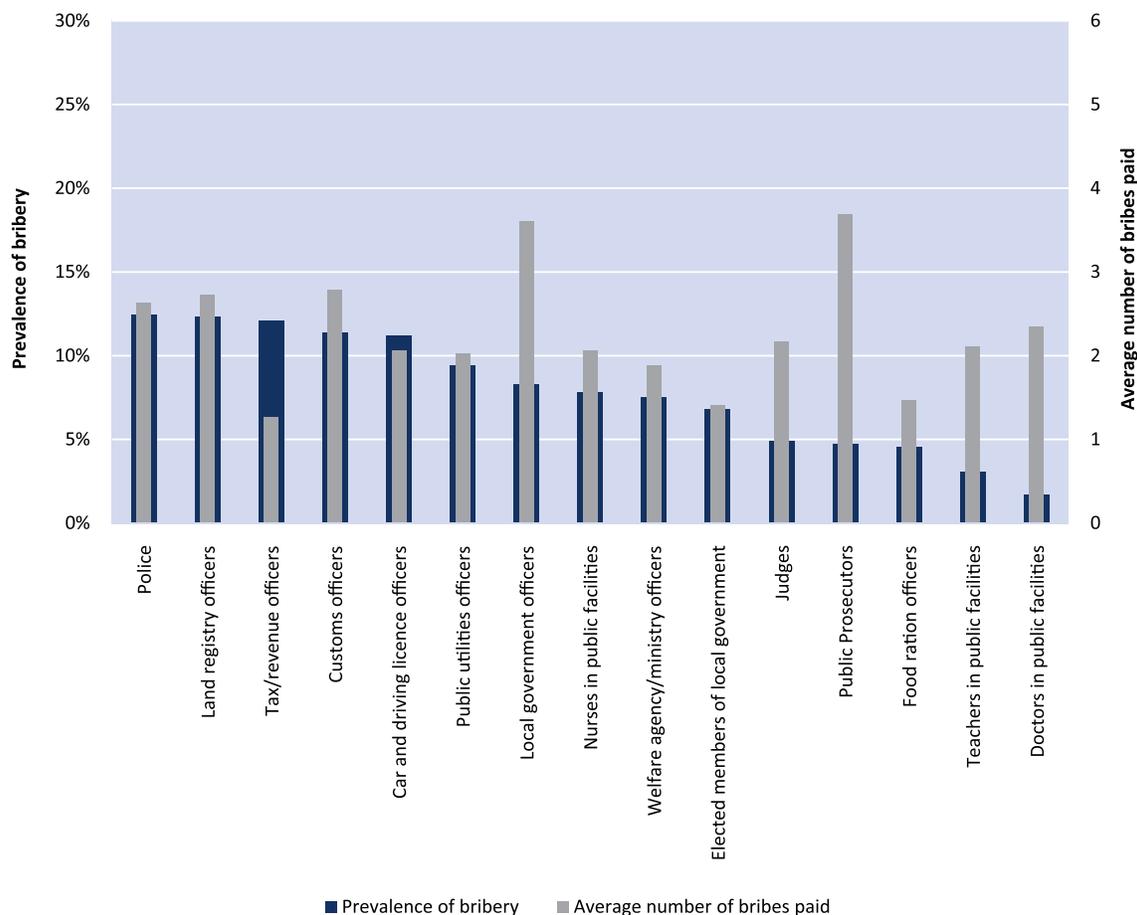
Source: IKN Survey 2011

Note: Data refer to the last bribe paid by each bribe-payer in the 12 months prior to the survey.

1.1.3. Public officials and bribe requests

Just as bribes are paid in different contexts and for different purposes, not all sectors of the civil service in Iraq are affected by corruption to the same extent. There are certain types of public official who are in a position to seek bribes more frequently than others and there are certain procedures and situations for which beneficiaries of public services are more prone to making offers to civil servants.

Figure 8 shows that nurses are major bribe recipients in Iraq (19 per cent of all bribery cases), while 15.5 per cent of all bribes go to public utilities officers (electricity, water, etc.) and 14.2 per cent go to police officers. This reflects the relative frequency of bribes paid when accessing the services provided by those civil servants as well as the fact that they have a high level of interaction with the Iraqi public due to the importance of those services.

Figure 8: Percentage distribution of total number of bribes paid by citizens, by type of civil servant, Iraq (2011)

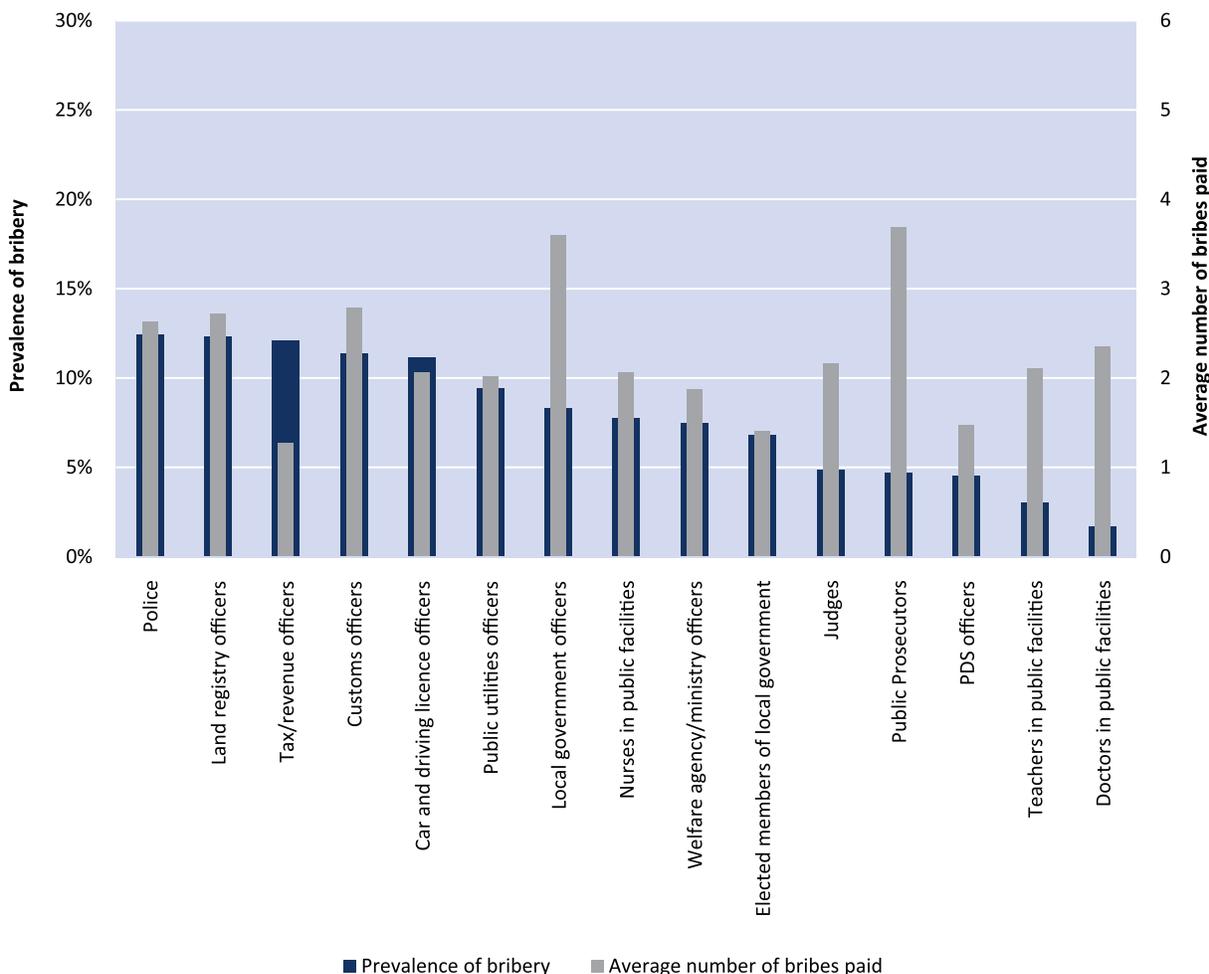
Source: IKN Survey 2011

However, there are actually certain types of civil servant in Iraq that have less interaction with citizens or other service users but for whom bribery incidents are still recurrent. A useful indicator for identifying those types of civil servant and services with particularly high levels of vulnerability to bribery is the prevalence of bribery by type of public official, which is calculated as the percentage of citizens who, during contact with a public official for service-related reasons, have to pay a bribe.¹

Among the civil servants considered in this survey, citizens register the highest prevalence of bribery in relation to police, land registry officers and tax and revenue officers. More than 12 per cent of adult citizens who had contacts with those officials in the 12 months prior to the survey had to pay at least one bribe. Figure 9 shows that bribe payers had to pay an average of approximately two bribes a year to those officials.

1- The prevalence of bribery by type of public official is calculated as the number of citizens that gave money, a gift or counter favour to a public official on at least one occasion in the 12 months prior to the survey, as a percentage of citizens who had at least one contact with that type of public official in the same period.

Figure 9: Prevalence of bribery and average number of bribes paid, by type of public official, Iraq (2011)



Source: IKN Survey 2011

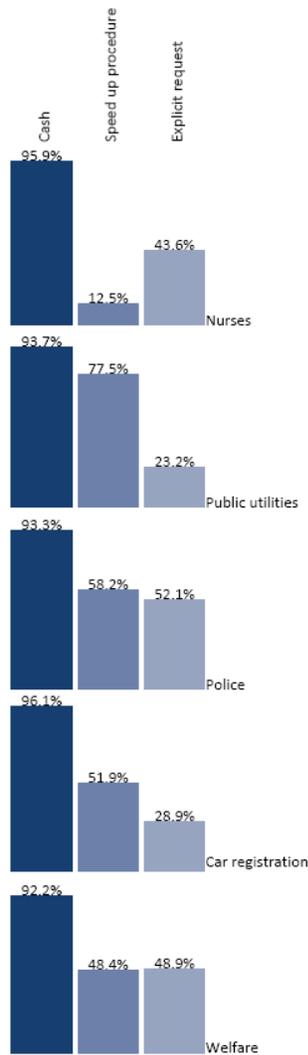
Further down the ranking come customs officers and car registration/driving licence officers with prevalence rates of between 11 and 12 per cent, followed by public utilities officers (9.3 per cent), local government officers (8.3 per cent; these are officers at the municipal, provincial or Governorate levels) and nurses who work in public health facilities (7.8 per cent).

Considerable disparities not only exist in the prevalence of bribery but also in the frequency of bribery in relation to different types of civil servant. For example, while tax and revenue officers have a relatively high prevalence rate, on average they receive 1.3 bribes during the course of the year, which is likely to be related to the nature of the services they provide. On the other hand, public prosecutors, who have a prevalence rate of 4.7 per cent, receive 3.7 bribes on average. Such a pattern of below-average prevalence rates in tandem with above average frequency rates can also be observed for doctors in public facilities.

Some differences also exist in the purpose of payments to those types of public official. For instance, while more than three quarters of citizens pay bribes to public utilities officers for expediting a procedure, only 12.5 per cent of bribes are paid for that purpose to nurses, to whom a large majority of bribes are paid in order to receive better treatment (figure 10).

Disparities in the modality of bribe paying can likewise be noticed when comparing types of civil servant. The payment of bribes after an explicit request by an official is, for example, more common among those who pay a bribe to a police officer, welfare official or nurse, than among those who pay bribes to employees of public utilities or car registration offices. In the latter case it is often the citizen who initiates the payment, probably as part of an unwritten procedure in which the payment of a kickback is deemed customary to “grease the wheels” of the administrative process.

Figure 10: Three indicators for bribes paid to selected types of public official: percentage of bribes paid in cash; of bribes paid to speed up a procedure; and of bribes explicitly requested by public officials, Iraq (2011)

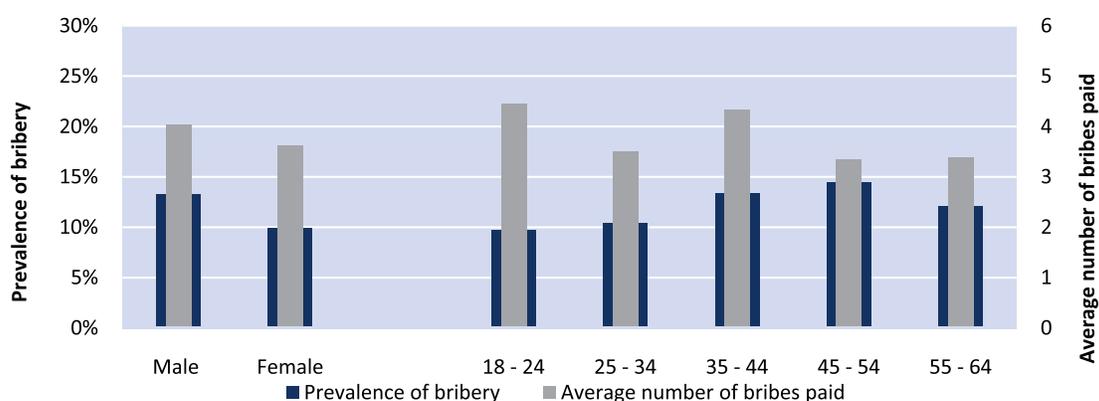


Source: IKN Survey 2011

1.1.4. Groups vulnerable to bribery

When disaggregating the data by age and sex some distinct patterns in the prevalence of bribery emerge. Firstly, prevalence increases with age, from a rate of about 10 per cent for those aged 18 to 34, to almost 15 per cent for those aged 45 to 54, before slightly decreasing again for the oldest age group in the survey, 55 to 64. Secondly, despite perceived gender roles, which assign men greater responsibility for activities outside the home in general, women in Iraq are also vulnerable to bribery and are regularly confronted with the same practical realities as men. However, on average across Iraq, men have both a higher bribery prevalence rate than women (13.3 per cent, versus 9.9 per cent) and a slightly higher frequency of bribe payment than their female counterparts (figure 11).

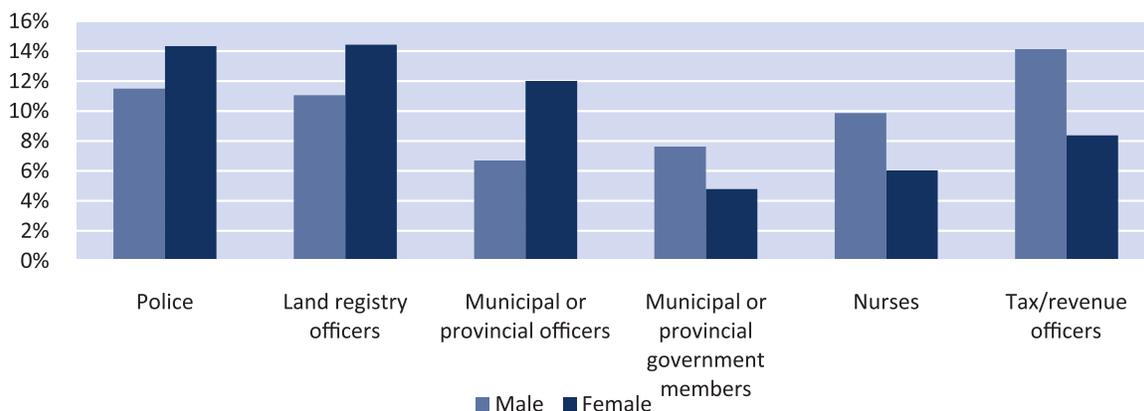
Figure 11: Prevalence of bribery, by sex and age groups, Iraq (2011)



Source: IKN Survey 2011

Note: The prevalence of bribery is calculated as the number of citizens who gave a public official money, a gift or counter favour on at least one occasion in the 12 months prior to the survey, as a percentage of citizens who had at least one contact with a public official in the same period.

But those gender patterns vary significantly according to the type of public official requesting the bribe. For example, the prevalence of bribery of women is higher than that of men when dealing with the police (14.3 per cent, versus 11.5 per cent), land registry officers (14.4 per cent, versus 11.1 per cent) and local government officers (12.0 per cent, versus 6.7 per cent), whereas men pay bribes more often than women to nurses (9.9 per cent, versus 6.0 per cent), local government members (7.6 per cent, versus 4.8 per cent) and tax/revenue officers (14.1 per cent, versus 8.4 per cent) (figure 12). While it is not easy to identify the reasons for such differences, they unequivocally point to the fact that the probability of paying a bribe is not markedly different whether the citizen dealing with the civil servant is a man or a woman.

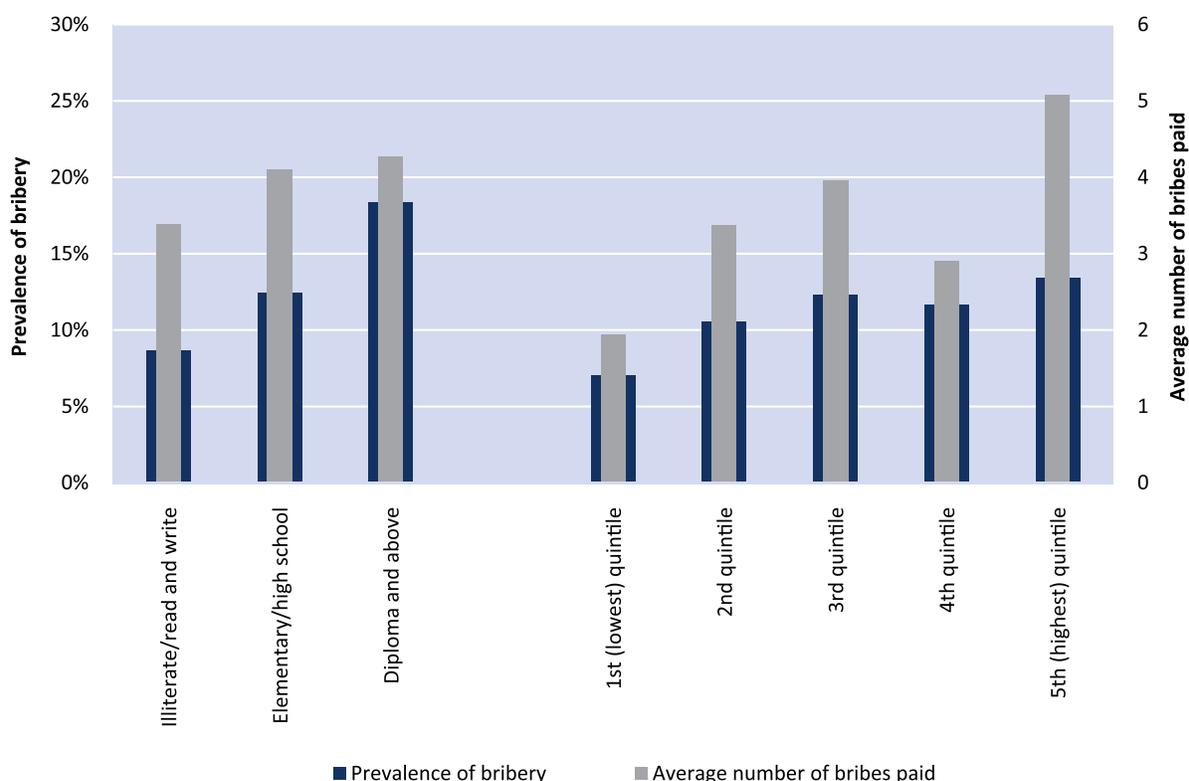
Figure 12: Prevalence of bribery, by sex and selected public officials, Iraq (2011)

Source: IKN Survey 2011

In addition to age and sex, socioeconomic factors also play a significant role in the vulnerability to bribery of the Iraqi people. There is a clear relationship, for instance, between higher educational attainment and a higher prevalence of bribery among citizens. The left-hand side of figure 13 shows that the bribery prevalence rate rises from 8.7 per cent for citizens who are illiterate or who can only read and write, to 12.4 per cent for citizens with an elementary or high school education, and up to 18.3 per cent for those with a diploma and above. In parallel with those different levels of educational attainment, the frequency of bribe payments also rises from an average of 3.4 to 4.1 and up to 4.3 average bribes paid per year.

There is also a clear correlation between those who are economically better off and those who more often give bribes to civil servants. Wealthier households are able to afford more bribes when encountering bribery requests for the speeding up of procedures or when trying to receive better treatment from public officials. As shown on the right-hand side of figure 13, more affluent citizens display a higher prevalence of bribery as well as a higher frequency of bribes paid per year. For example, citizens with per capita household expenditure in the highest quintile have a prevalence of bribery of 13.4 per cent and, on average, pay more than 5 kickbacks, while citizens with per capita expenditure in the lowest quintile have a prevalence rate of 7 per cent and pay an average of 2 bribes a year. To some extent, this observation can be explained by the survey finding that bribes are, by and large, paid in order to speed up procedures and to receive better service or treatment (72 per cent of bribe-payers state that they paid bribes for those two purposes), an option that is often limited to more affluent citizens, who can actually afford to pay a bribe.

Figure 13: Prevalence of bribery in Iraq, by educational attainment and by quintile of per capita expenditure



Source: IKN Survey 2011

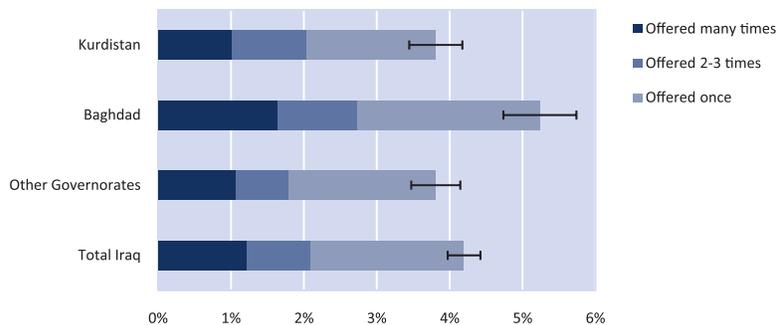
Note: The prevalence of bribery is calculated as the number of citizens who gave a public official money, a gift or counter favour on at least one occasion in the 12 months prior to the survey, as a percentage of citizens who had at least one contact with a public official in the same period.

1.2. Bribery as experienced by civil servants

In this section, the perspective is shifted from Iraqi citizens’ experience of administrative bribery to actual episodes of bribery as reported by public officials. When asked if they were approached by somebody offering money or a gift in exchange for better or faster service in the 12 months prior to the survey, 4.2 per cent of all public sector employees (the equivalent of 76,000 civil servants in Iraq) state that such an occurrence happened at least once. Of those, 2.1 per cent stated that it happened only once, 0.9 per cent that it happened two or three times and 1.2 per cent that it happened more than three times in the 12 month period in question. In total, civil servants report having directly experienced the offer of 290,000 bribes during that period. In addition to their personal experience of bribery, 8.5 per cent confirmed that they know of colleagues who received offers of money or gifts. Combining both indicators, 10.8 per cent of civil servants in Iraq either directly experience offers or know of colleagues who receive offers.

A regional breakdown (figure 14) shows that civil servants in Baghdad are more likely (5.2 per cent) to be approached by somebody offering money or a gift in exchange for better or faster service, whereas civil servants in other Governorates and in the Kurdistan Region appear to be slightly less exposed to bribery, with the share of those admitting to the receipt of bribery offers at 3.8 per cent.¹

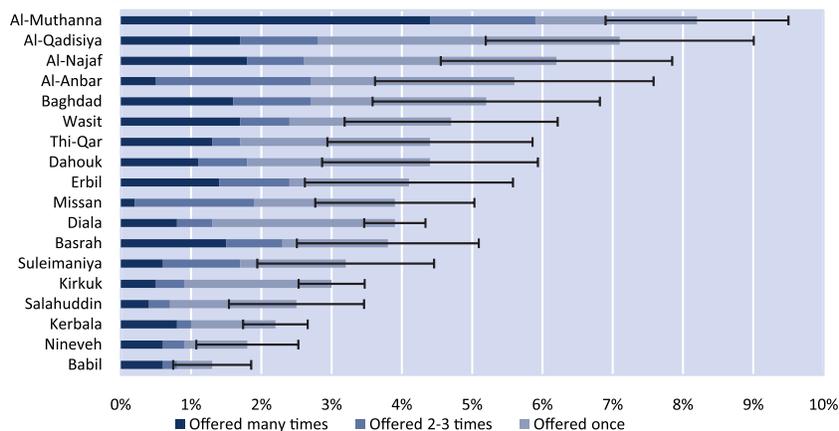
Figure 14: Percentage of civil servants offered bribes in the 12 months prior to the survey, by frequency of payment and by region, Iraq (2011)



Source: ICS Survey 2011

More specifically, a breakdown by Governorate (figure 15) shows that the personal experience of bribery offers among civil servants in Iraq differs significantly, with the share of civil servants being offered money or a gift by service users ranges from 8.2 per cent in Al-Muthanna Governorate to 1.3 per cent in Babil Governorate. However, figures in the three Governorates of the Kurdistan Region do not differ greatly (Dahouk 4.4 per cent, Erbil 4.1 per cent and Suleimaniya 3.2 per cent) and differences between those rates are not statistically significant (see also Annex I for a statistical description of civil servants in Iraq).

Figure 15: Percentage of civil servants offered bribes in the 12 months prior to the survey, by frequency of offer and by Governorate, Iraq (2011)

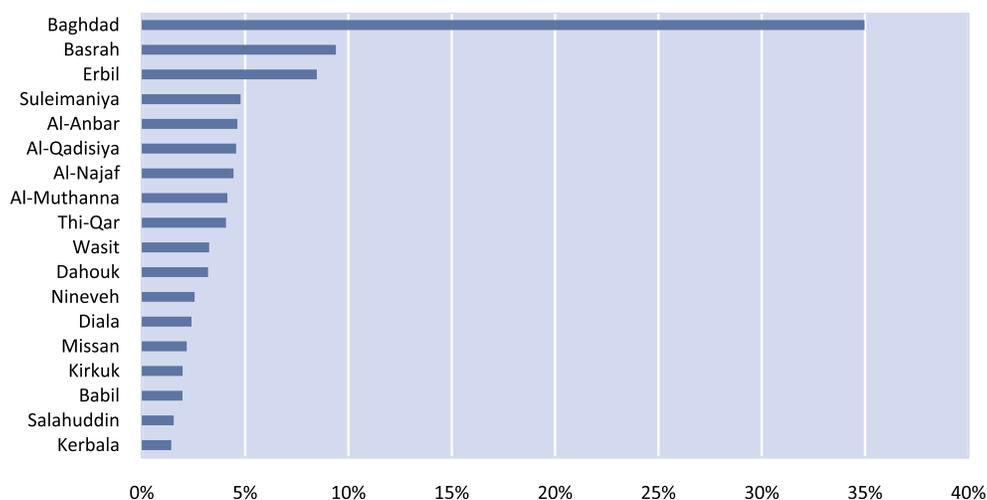


Source: ICS Survey 2011

1- Note: In this and the following charts, the bars indicate the confidence intervals at 95 per cent confidence level.

In addition to the relative risk of civil servants being offered bribes, it is also of interest how the total number of bribes offered to civil servants is distributed across Iraq. Taking into account that Baghdad Governorate already accounts for over a quarter of all civil servants in Iraq (see Annex I), and displays both higher rates of civil servants offered at least one bribe as well as higher rates of civil servants offered more than one bribe, it is not surprising that Baghdad accounts for over 35 per cent of all bribery offers in Iraq, distantly followed by Basrah and Erbil.¹

Figure 16: Percentage distribution of all bribery offers in Iraq, by Governorate, Iraq (2011)

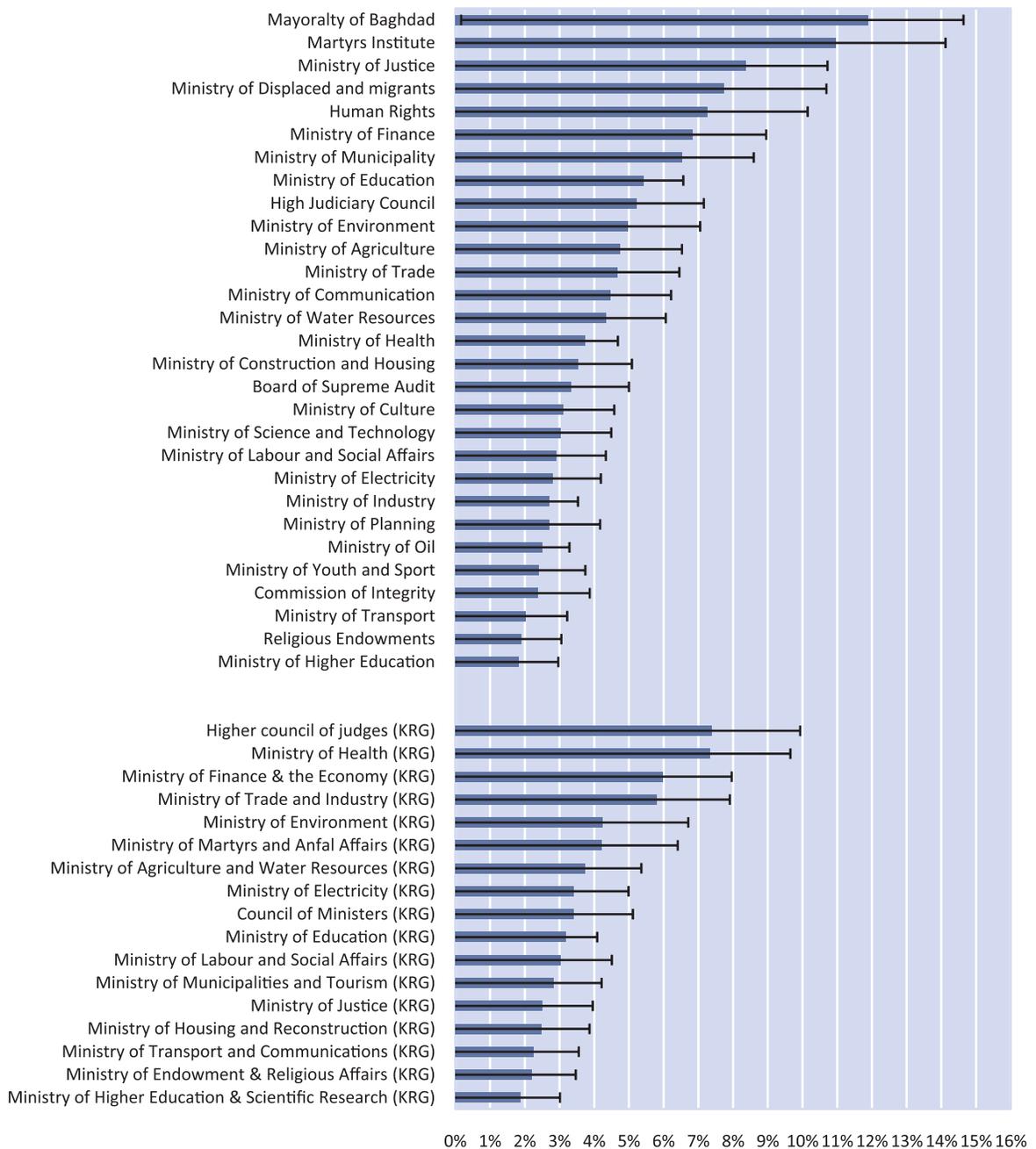


Source: ICS Survey 2011

Great disparities in bribery experiences become apparent not only in the regional breakdown of Iraq but also in a breakdown by its public sector institutions. Within the Federal Government, large shares of civil servants working in the Mayoralty of Baghdad (11.9 per cent) and the Establishment of Martyrs (11.0 per cent) receive offers of bribes, whereas civil servants in the Ministries of Higher Education (1.8 per cent) and Transport (2.0 per cent) are less likely to receive offers of money or gifts. In the Kurdistan Region, civil servants in the Higher Council of Judges (7.4 per cent) and the Ministry of Health (7.3 per cent) are the most likely to receive offers, whereas in the Ministries of Higher Education and Scientific Research (1.9 per cent), Endowment and Religious Affairs (2.2 per cent) and Transport and Communications (2.2 per cent) civil servants are less likely to receive such offers (figure 17).

1- Note that all references to Baghdad and other cities in this report refer to the whole Governorate rather than the city or municipality itself.

Figure 17: Percentage of civil servants who were offered bribes in the last 12 months by ministry/institution¹, Iraq (2011)



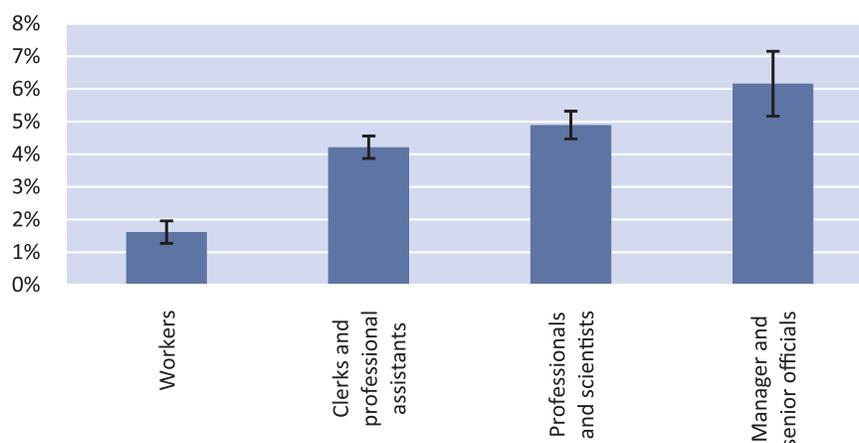
Source: ICS Survey 2011

1- Ministries/institutions for which no statistically significant estimate could be produced due to the limited number of cases were excluded from this list.

1.2.1. Duties and positions vulnerable to bribery

The decision-making powers associated with different posts can help identify major vulnerabilities in the civil service of Iraq, as bribe offers often target those civil servants charged with greater responsibility for decision making. For example, the percentage of civil servants who receive a bribery offer is significantly higher among managers and senior officials (6.1 per cent) and professionals and scientists (4.9 per cent) than among clerks and professional assistants (4.2 per cent) and workers (1.6 per cent) (figure 18).

Figure 18: Percentage of civil servants offered bribes in the 12 months prior to the survey, by occupational category, Iraq (2011)



Source: ICS Survey 2011

The largest percentage of civil servants receiving offers of bribes can thus be found among managers and senior officials, which represents a relatively small group among all public employees and includes chief executives, administrative and commercial managers, planners, hospital managers, etc. On average, professionals/scientists also receive more bribery offers than civil servants in general, whereas other occupational groups like clerks and professional assistants and workers are significantly less vulnerable to the receipt of bribery offers.¹

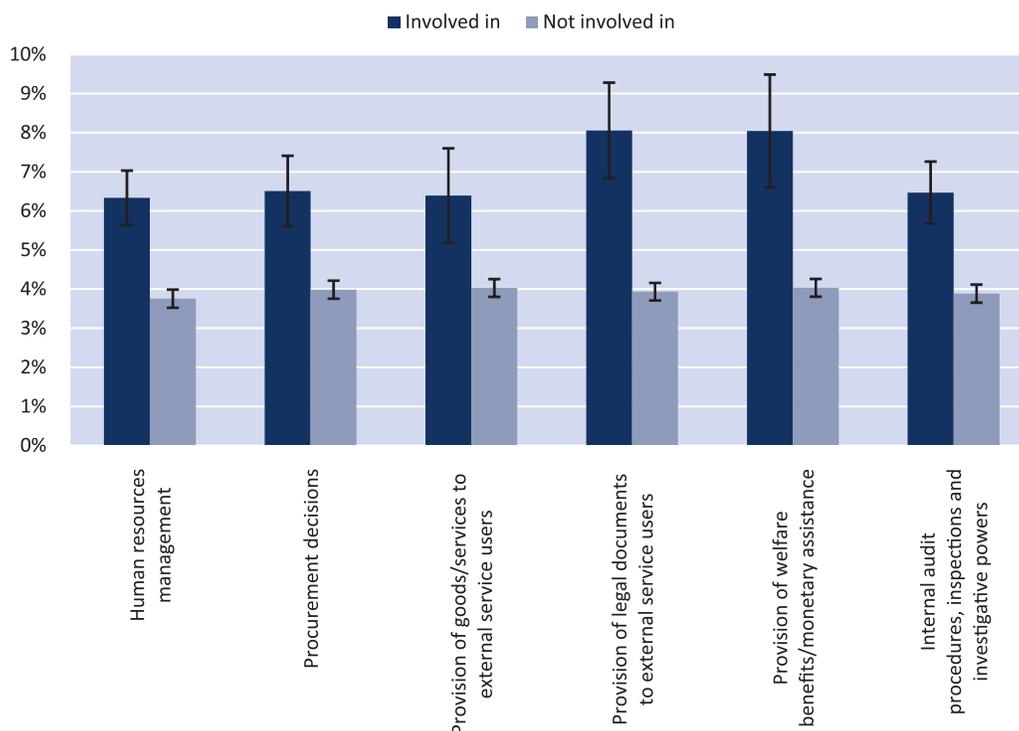
The percentage of civil servants who receive bribery offers is also significantly higher among those who have supervisory functions (5.8 per cent) than among those who do not (3.8 per cent). This difference between supervisors and subordinates is pronounced in lower occupational categories such as workers (5.8 per cent of those with supervisory functions received an offer, as did 1.4 per cent without supervisory functions), clerks and professional assistants (6.4 per cent of those with supervisory functions received an offer as did 3.8 per cent without supervisory functions). However, in the case of professionals and managers there is no significant difference between those with and without supervisory functions.

1- Of all civil servants in Iraq, 7 per cent fall into the category “Managers and senior officials”, 35.8 per cent are in the “Professionals/scientists” category, 41.5 per cent are “Clerks and professional assistants” and 15.5 per cent are “Workers” (see also Section 5.2. in Annex I).

Nor does the pattern of increasing vulnerability to bribery with increasing on-the-job responsibility apply to the grades of civil servants. The largest share of civil servants offered money or gifts for better or faster service is found among the intermediate grades (4.6 per cent) and, though differences are marginal, civil servants in the lower grades (3.9 per cent) and senior grades (2.9 per cent) are less likely to receive offers. Meanwhile, officials of both sexes are almost equally vulnerable to being offered a bribe: overall, the percentage of male officers receiving offers is 4.4 per cent, which is not significantly higher than the 3.8 per cent recorded for females.

It appears that vulnerability to bribery is more strongly related to the type of duty performed (including different duties within the same institution) by civil servants than to their administrative grade.¹ Staff involved in certain procedures, such as providing legal documents, welfare benefits, goods or services to citizens and private enterprises as service users, staff involved in procurement decisions and internal audit procedures, as well as staff involved in human resource management (recruitment, promotions, salaries), are more vulnerable to bribery than staff not involved in those procedures.

Figure 19: Percentage of civil servants offered bribes in the 12 months prior to the survey, by involvement in particular duties

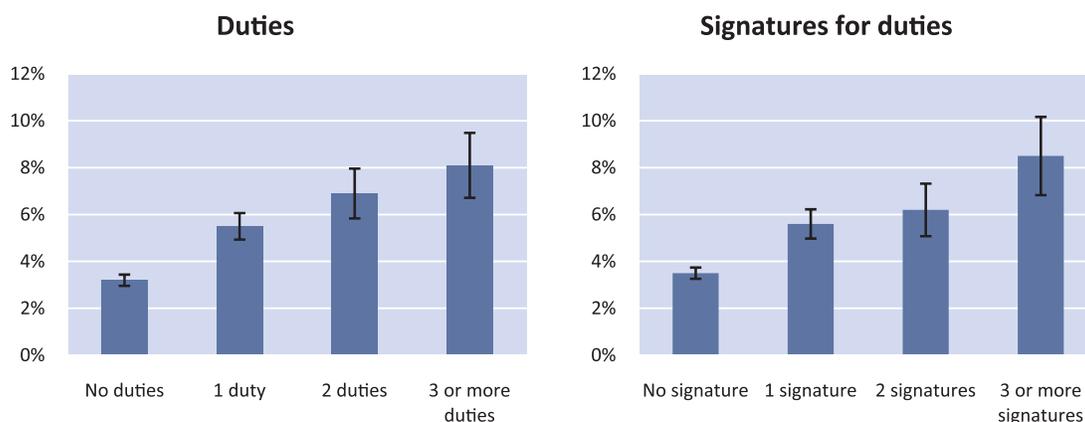


Source: ICS Survey 2011

1- See Section 5.3 in Annex I on the involvement of Iraqi civil servants in different duties and their corresponding levels of responsibility.

However, vulnerability to bribery offers does not purely depend on involvement in a single duty with a higher risk of exposure to bribery. As figure 20 demonstrates, vulnerability to bribery offers increases with the number of different duties a civil servant is involved in, as well as with the number of duties for which the individual’s signature is required. One possible explanation for such a finding may be that involvement in more than one duty increases the authority and decision-making power of a civil servant, thus making him/her a more attractive target for bribe offers.

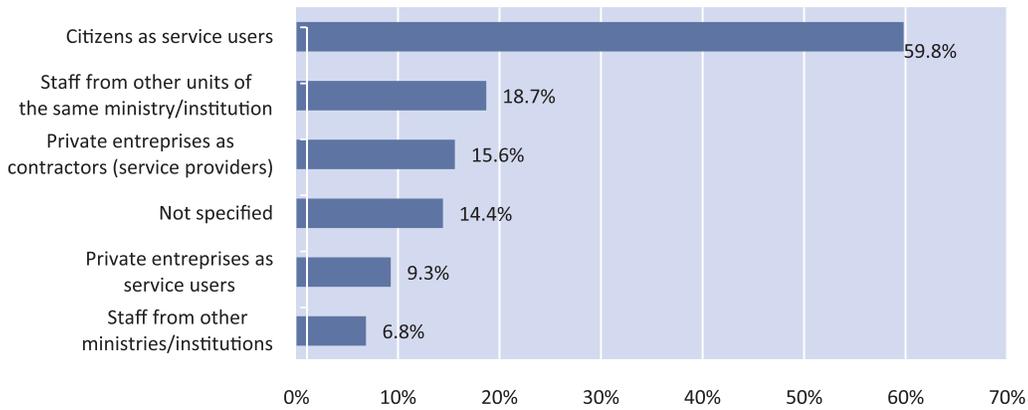
Figure 20: Percentage of civil servants offered a bribe in the 12 months prior to the survey, by number of functional duties performed and by number of duties for which the civil servant’s signature is required, Iraq (2011)



Source: ICS Survey 2011

As demonstrated in figure 20, both the type and number of duties and services provided to the public have an influence on a civil servant’s vulnerability to bribe offers. The same is true for interactions with the public, the frequency of which varies depending on the type of civil servant. And while almost 60 per cent of Iraqi civil servants have regular interactions with citizens as service users, less than 35 per cent have regular interactions with private enterprises as service users and less than 27 per cent have regular interactions with private enterprises as service-providing contractors (see Section 5.3, Annex I). Those officials who have regular contacts with service users or contractors are more vulnerable to the receipt of bribe offers than those who do not have contacts with the public. Indeed, of those civil servants who had contacts with any kind of external party outside their own unit on at least one occasion in the 12 months prior to the survey, 5.4 per cent received a bribery offer, against 10.3 per cent who had virtually no contacts of that nature. Some 60 per cent of civil servants who were offered bribes were offered them by citizens, while 15.6 per cent received offers from private enterprises as contractors and 9.3 per cent from private enterprises as service users (figure 21).

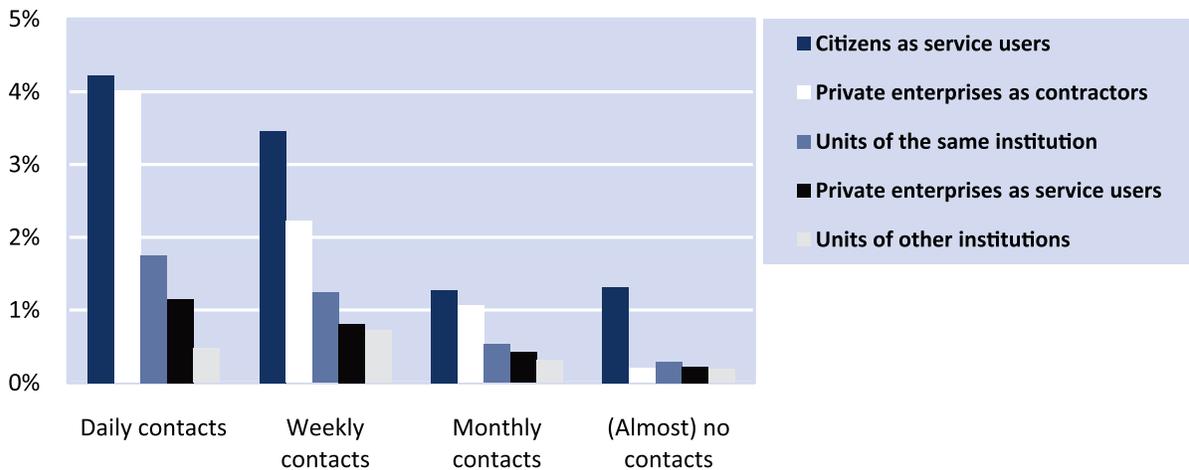
Figure 21: Percentage distribution of civil servants offered bribes in the last 12 months, by those offering the bribe, Iraq (2011)



Source: ICS Survey 2011

Differences not only exist in the interactions of civil servants with third parties, but also in their frequency (see also Section 5.3 in Annex I). The latter has an important impact on the vulnerability of civil servants to bribery as, both in interactions with citizens and with private enterprises (either as service users or as contractors), vulnerability to bribe offers increases considerably with the frequency of contacts. Indeed, as shown in figure 22, vulnerability to bribe offers is greater for civil servants who have more frequent contacts with external parties, while for any given frequency of contacts vulnerability is greatest for civil servants who have contact with citizens than for civil servants who have contact with private enterprises.

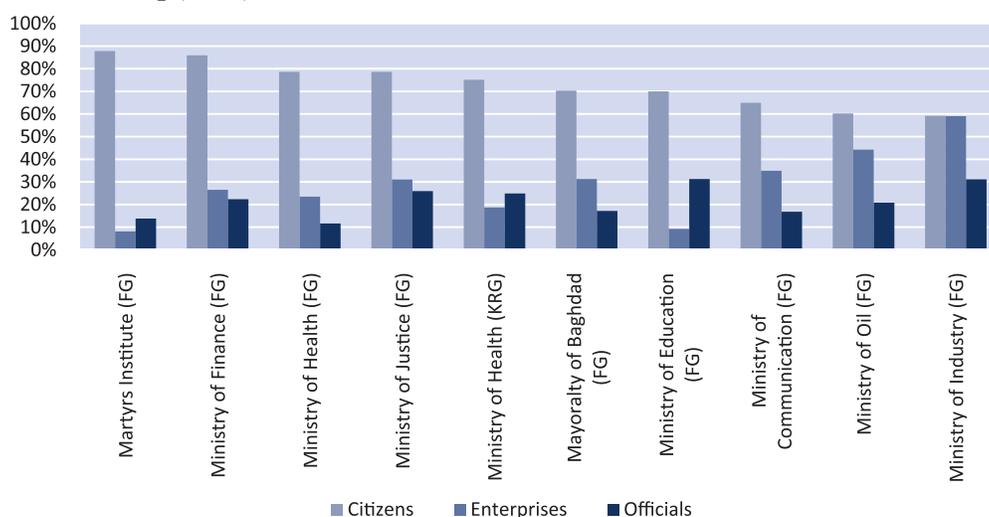
Figure 22: Percentage of civil servants offered bribes in the 12 months prior to the survey, by frequency of contacts with selected groups, Iraq (2011)



Source: ICS Survey 2011

The types of interaction from which bribe offers originate vary considerably across ministries. In certain institutions that provide direct services to citizens, the overwhelming majority of bribes originate from individual service users (for example, the Establishment of Martyrs, Ministry of Finance and Ministry of Health), while the share of civil servants receiving offers from private enterprises increases greatly in institutions with regulating powers, such as the Ministries of Communication, Oil and Industry). In certain sectors (for example the Ministries of Education, Oil and Justice), a significant share of bribe offers relate to interactions within the civil service, an area upon which it is often more difficult for investigators to shed light and which needs the implementation of specific integrity measures.

Figure 23: Percentage of civil servants from selected ministries who were offered bribes in the 12 months prior to the survey, by type of service user making the offer, Iraq (2011)



Source: ICS Survey 2011

The most important factors identified in this section that increase vulnerability to bribery in the Iraqi civil service are summarized in the table below:

Figure 24: Factors that increase the vulnerability of civil servants to corruption, Iraq (2011)

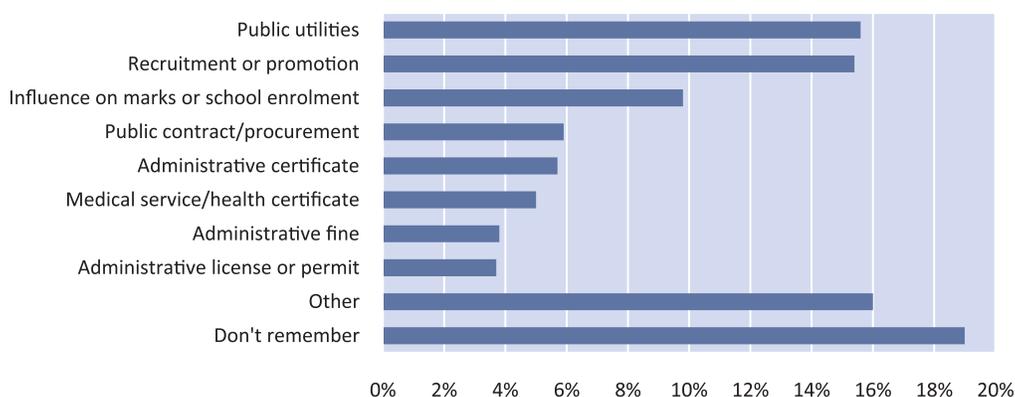
| | |
|--------------------------------|--|
| Occupational category | Managers and senior officials, professionals and scientists |
| Duties and responsibilities | Staff with supervisory functions Provision of welfare benefits, legal documents, goods and services; procurement decisions; human resource management Staff with more than one vulnerable duty |
| Interaction with third parties | Interactions with citizens and enterprises Frequency of interactions with third parties |

1.2.2. Nature of bribes

The distribution of bribe offers by the administrative procedures they relate to can also be analysed from the perspective of civil servants in figure 25. The largest shares of civil servants receive bribe offers for the provision of public utilities (15.6 per cent) like electricity or water, and recruitment or promotion in the public sector (15.4 per cent). Almost 10 per cent of civil servants who receive bribe offers receive them for giving better marks in an exam or to facilitate enrolment to a educational institution. Such procedures are closely related to the education sector but bribery offers are not exclusively made to the Ministries of Education and Higher Education. On the other hand, offers for medical services and health certificates are mostly made to employees of the Ministry of Health.

In addition, more than 15 per cent of all bribe offers received by civil servants are made for a number of other services, including social protection allowance, tax declaration or exemption, import/export of goods, food ration cards and many more. However, almost 20 per cent of those who receive an offer of a bribe cannot remember what the bribe actually refers to.

Figure 25: Percentage distribution of bribes offered, by type of administrative procedure, Iraq (2011)

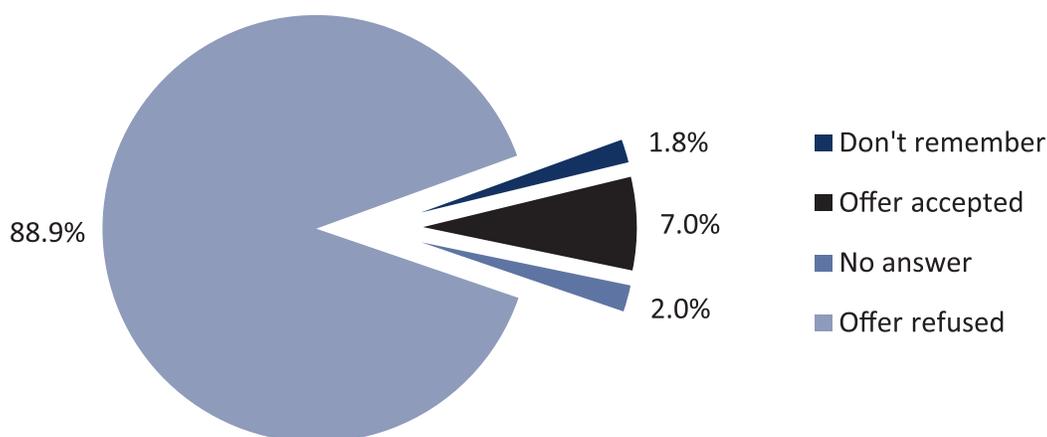


Source: ICS Survey 2011

When it comes to the reasons why bribes are offered to civil servants who receive such offers, almost half of those made to civil servants in Iraq refer to the expedition of a procedure (48.8 per cent). Some bribes are offered to receive better treatment (7.7 per cent), to make the finalization of a procedure possible (6.4 per cent), to reduce the cost of a procedure (6.0 per cent) or to avoid the payment of a fine (4.4 per cent). Those figures are broadly consistent with the purpose for which ordinary citizens in Iraq stated that they paid a bribe and confirm the figures reported in Section 1.1.2 of this report.

Among civil servants offered a bribe in the 12 months prior to the survey, a small percentage admit to having taken the money or the gift offered: on the last occasion, 7 per cent of those offered a bribe accepted it, while 89 per cent did not accept the offer. The remaining civil servants either did not answer the question or do not remember how they acted.

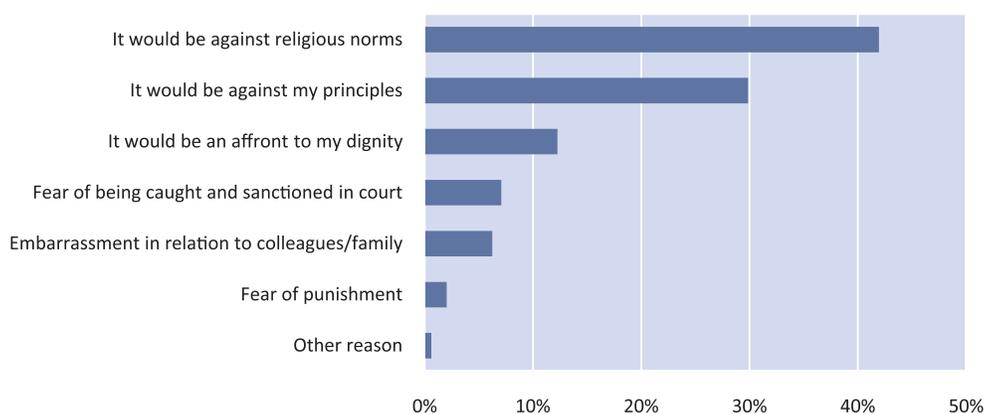
Figure 26: Percentage distribution of civil servants who were offered bribes, according to decision after the last offer was made, Iraq (2011)



Source: ICS Survey 2011

The majority of civil servants in Iraq who refused a bribe offered to them state that their main reasons for refusal were that taking a bribe would be against religious norms (42 per cent), against their principles (30 per cent) or an affront to their dignity (12 per cent), while 9 per cent declare that they did not accept the bribe because they feared the consequences (court sanction or other form of punishment) and 6 per cent did not take the bribe because it would cause embarrassment in relation to their colleagues or families.

Figure 27: Percentage distribution of civil servants who did not accept the last bribe offered, by main reason for not accepting the offer, Iraq (2011)



Source: ICS Survey 2011

When analysed in conjunction with Section 1.1. of this report, which sheds light on bribery episodes from the perspective of the general population, the data on bribery experiences reported by civil servants provide valuable insights on a number of key questions concerning corruption, in-

cluding relative vulnerabilities to bribery by regions, Governorates and ministries, factors increasing the vulnerability of civil servants in various functions, as well as on the nature of bribery. Chapter 2 draws on both the survey of civil servants and the survey of the general population to explore the behaviour of both groups in relation to their reporting of bribery incidents and to assess the response of the criminal justice system to reports of corruption.

1.3. Trends in corruption as perceived by citizens and civil servants

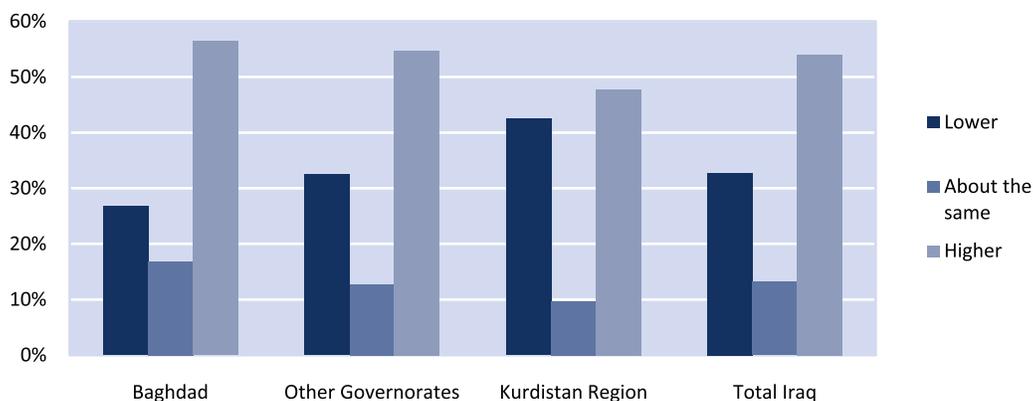
In addition to information based on actual experiences of improper behaviour, information about corruption scope and trends can be drawn from respondents' perceptions of corruption, both from the perspective of civil servants and the general public. While the perception of corruption often differs significantly from actual experience of it, perception-based indicators are nevertheless important, principally because perceptions of high levels of corruption may foster corruption in that feelings that illicit acts are regularly perpetrated in impunity may induce similar behaviour. Furthermore, perceptions of corruption are important factors in the assessment of anti-corruption measures and policies since the belief that corruption is on the rise may lead to a negative evaluation of anti-corruption efforts and ultimately reduce their effectiveness.

However, even when well defined and rigorously measured, perception data should be used with caution because individuals' perceptions of corruption are influenced by a number of factors, in addition to their own experience. For many people the media plays a major role in shaping and changing their perceptions of corruption, particularly when focusing public opinion on specific corruption episodes. In addition, the same information can be interpreted in different ways by different people, depending on their values, socioeconomic status and other characteristics, including their job and level of interaction with civil servants. Hence, data based on perceptions can be useful, but cannot simply be used as proxy indicators of corruption trends because of the interplay between objective and various subjective elements.

In general terms, the population of Iraq perceives that corruption has increased in recent years: 54 per cent of citizens believed corruption to be more widespread in 2011 than two years earlier, while 33 per cent perceived corruption to have decreased¹ — a pattern more pronounced in Baghdad and the other Governorates than in the Kurdistan Region (figure 28).

1- In the Iraqi Knowledge Network household survey, respondents were asked whether they agreed or disagreed with the statement that "Corruption is more extended in our country now than two years ago".

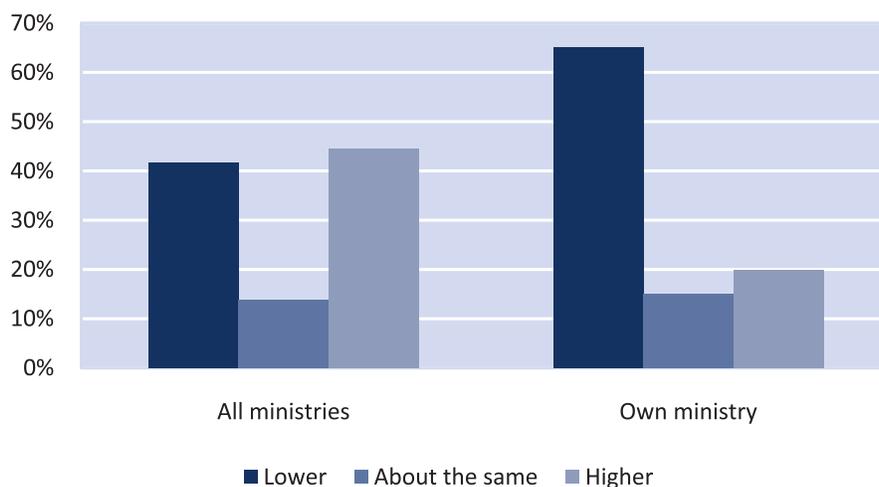
Figure 28: Percentage distribution of the assessment of the adult (18-64) population of the statement “Corruption is more extended in our country now than two years ago”, by region, Iraq (2011)



Source: ICS Survey 2011

It appears, however, that civil servants in Iraq are more optimistic than the general population regarding recent corruption trends (figure 29), with 45 per cent of civil servants perceiving a general increase in corruption in the public sector while almost as many (42 per cent) think that corruption has actually decreased. Furthermore, civil servants provide very different views regarding public services as a whole and the particular trend in the ministry they actually work for, with almost two thirds (65 per cent) perceiving a decrease in corruption in their own ministries, while only 20 per cent see an increase.

Figure 29: Percentage distribution of perceptions of levels of corruption in the civil service in general and in the respondent’s own ministry in comparison to three years earlier, by region, Iraq (2011)



Source: ICS Survey 2011

To summarize, a comparison of corruption perceptions between citizens and civil servants results in a picture in which the general population perceives corruption trends to be more negative than civil servants, who often perceive corruption to be decreasing in their own ministries. The picture thus becomes more optimistic the closer the respondent is to the institution in question. One interpretation of this pattern could be that civil servants may prefer to provide a positive evaluation of corruption trends in their own ministries. Another is that civil servants may witness changes, particularly improvements, in corruption levels and integrity in their immediate working environment, which external observers may not yet perceive.

Since civil servants view corruption trends in their own ministries more favourably than in other ministries, but it is noteworthy that in some ministries a large share of staff actually see corruption growing within their own ministry. For example, in the Kurdistan Region Government, 38.5 per cent of employees in the Ministry of Martyrs and Anfal Affairs, 34.1 per cent in the Ministry of Health and 31.8 per cent in the Ministry of Municipalities and Tourism perceive corruption to have risen in their own ministries in the three preceding years. Similarly, in the Federal Government, 35.4 per cent of staff in the Ministry of Trade, 25.7 per cent in the Ministry of Finance and 24.7 per cent in the Ministry of Environment perceive corruption to be on the rise in their own workplaces.

Chapter 2

The Response to Corruption

2. The response to corruption

To guarantee a proper response to corruption by law enforcement and the criminal justice system two different processes need to be functioning effectively: on the one hand, corruption-related episodes need to be brought to the attention of competent authorities; on the other, legislative, institutional and operational conditions need to be in place so that such cases can be effectively processed through criminal justice procedures. That means, in the first instance, that facilitating the reporting of corruption episodes is essential in the fight against corruption. The creation of effective reporting channels plays an important role both in preventing corruption and in ensuring proper law enforcement responses when corruption offences are committed. It also means that criminal justice authorities should be able to process reported cases in an efficient manner, ensuring fair, transparent and effective procedures for investigating, prosecuting and adjudicating all relevant cases. Information about existing cases and corruption reporting practices provides useful insights into institutional and social constraints when dealing with integrity issues and the control of bribery and corruption.

Data indicate that a large number of bribery episodes take place during the interaction between public officials and the general public (both as individuals and private businesses, whether as service users or as contractors providing a service) when the former requests a bribe, either explicitly or implicitly, or the latter offers a bribe. To curb bribery, bribe requests should not only be refused by citizens, they should also be reported to relevant authorities, as should the public official being offered a bribe. Greater levels of reporting by both sides enable the enforcement of the law and are a crucial step towards the containment and eventual eradication of bribery. Therefore, it is of key importance to understand the extent of the reporting of bribery by citizens and public officials, their knowledge of the authorities to whom bribes are reported and their reasons for reporting, or failing to report, a bribe.

2.1.1. Reporting of bribery by citizens

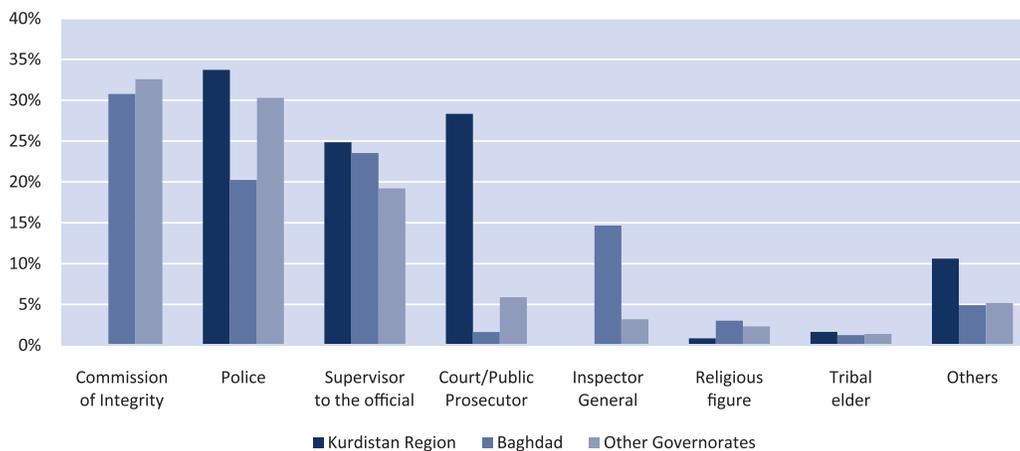
As described in chapter 1.1, 11.6 per cent of the adult population of Iraq who had at least one contact with a public official in the 12 months prior to the survey paid at least one bribe, while bribe-payers paid an average of four bribes. When those who paid bribes were asked whether they took some action and reported the incident to the relevant authorities, results indicate that only 4.5 per cent actually reported the incident. Approximately two thirds of those “whistle-blowers” reported the incident to a body in the criminal justice system (police, prosecutors, courts or Commission of Integrity), while the remainder did so to the supervisor of the public official in question, the Inspector General or some other internal authority.

These results indicate that, in practical terms, only a minority of those who pay bribes report such incidents to external authorities, while most do not report them at all. However, when it comes to intentions as opposed to actual experience, the picture is exactly the opposite: asked whether they would report a bribery incident should they encounter one, 71 per cent of respondents stated that they would do so, while 29 per cent stated that they would not. These figures identify the general attitude of the adult population to reporting bribery and point to some barriers that need to be overcome if

intentions to report an incident are to become concrete actions. The large share of people stating their intention to report corruption does, however, hint at the untapped amount of potential “whistle-blowers” among Iraqi citizens.

In terms of the authorities to which individuals would report a bribery incident, while the data reflect both the importance of such authorities and the population’s awareness of them there are variations across Iraq. In Baghdad, for example, 31 per cent of individuals who would report bribery declare that they would do so to the Commission of Integrity, 24 per cent to the supervisor of the public official in question, 20 per cent to the police and 15 per cent to an Inspector General. In the Federal Government’s other Governorates, 33 per cent would report to the CoI, 30 per cent to the police, 19 per cent to the supervisor of the public official and 6 per cent to the public prosecutor. The picture is somewhat different in the Kurdistan Region, where there is no equivalent of the CoI, and one third of those who would report bribery would do so to the police, 28 per cent to public prosecutors and 25 per cent to bribe takers’ supervisors (figure 30).

Figure 30: Percentage distribution of individuals who would report bribery, by authority to which they would report and by region, Iraq (2011)



Source: IKN Survey 2011

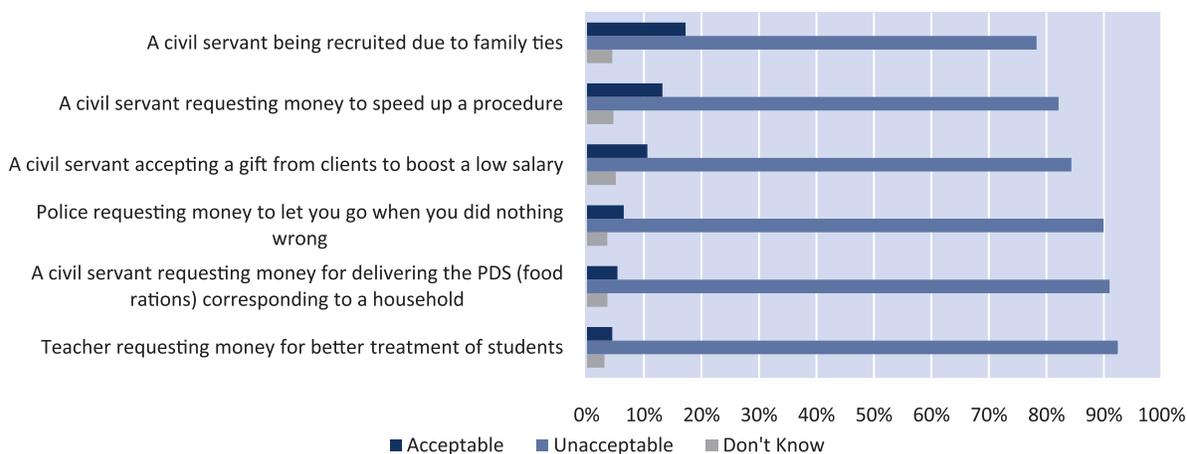
2.1.2. The population’s awareness of integrity and anti-corruption measures

Knowledge of relevant authorities is a prerequisite for reporting corruption, but awareness of anti-corruption measures is equally important. So, too, is the assessment of whether certain corrupt practices are deemed acceptable by the general population and by public officials (i.e. potential bribe payers and potential bribe receivers). The adult population of Iraq was thus asked about their opinions regarding a series of dishonest practices similar to those in the survey of civil servants. The results of both surveys were similar, with the vast majority of respondents declaring that dishonest practices are unacceptable (either “completely unacceptable” or “unacceptable”). When comparing identical questions only, 78 per cent of the general population and 79 per cent of public officials consider it unacceptable for a public official to be recruited due to family ties; 84 per cent of the general population,

compared to 87 per cent of public officials, consider it unacceptable for a civil servant to accept gifts to boost a low salary; and 82 per cent of the adult population, compared to 90 per cent of civil servants, consider it unacceptable for a public official to ask for money in order to speed up a procedure.

In addition to the three identical questions above, the general population survey also considered opinions about selected unpopular malpractices in Iraq. For example, 93 per cent of Iraqi adults consider it unacceptable for a teacher to request money in exchange for treating a student better than others, 91 per cent think that a public official requesting money in return for delivering a household's food rations via the Public Distribution System (PDS) is unacceptable and 90 per cent consider the police demanding money in exchange for releasing an innocent party to be unacceptable. Despite the overwhelming rejection of those practices, it is alarming that some members of the general public (between 4 and 7 per cent) actually deem such severe malpractices acceptable (figure 31). Perceptions of that nature, even if only among a small minority, make certain malpractices more persistent and thus harder to eradicate.

Figure 31: Percentage distribution of adult (18-64) population, according to acceptability of selected practices, Iraq (2011)

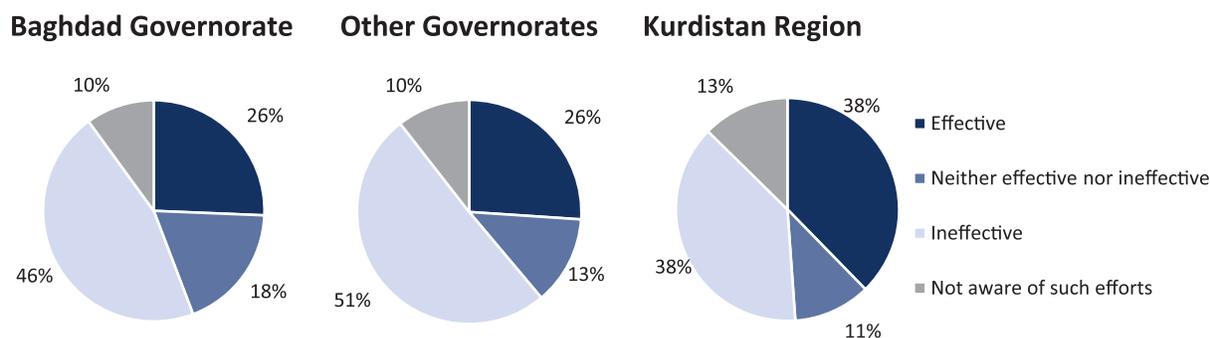


Source: IKN Survey 2011

In addition to the acceptability of certain malpractices, the perception of anti-corruption measures is of key importance to the prevention and control of corruption. Only when anti-corruption measures are visible to both the public and civil servants do such efforts help create awareness of corruption and give the impression that the fight against corruption is bearing fruit. Asked to evaluate the effectiveness of government efforts to combat corruption in the preceding two years, the Iraqi people are divided, even within certain regions and institutions, but differences between such perceptions can be instructive. On the one hand, 38 per cent of people in the Kurdistan Region consider Government efforts to fight corruption to be effective, while the same is true for 26 per cent of the adult population in Baghdad and the other Governorates. On the other hand, 38 per cent of the adult population in Kurdistan consider such efforts ineffective, compared to 46 per cent in Baghdad and 51 per cent in the other Governorates. Furthermore, a substantial share of the general public (24-28

per cent in those three areas) are not aware of such efforts or have no opinion about them (figure 32). These perceptions highlight the need for stronger government intervention in order to raise awareness of anti-corruption efforts, as well as the urgent need to revisit and re-examine their effectiveness.

Figure 32: Percentage distribution of the assessment of the adult (18-64) population regarding Government efforts to fight corruption, Iraq (2011)

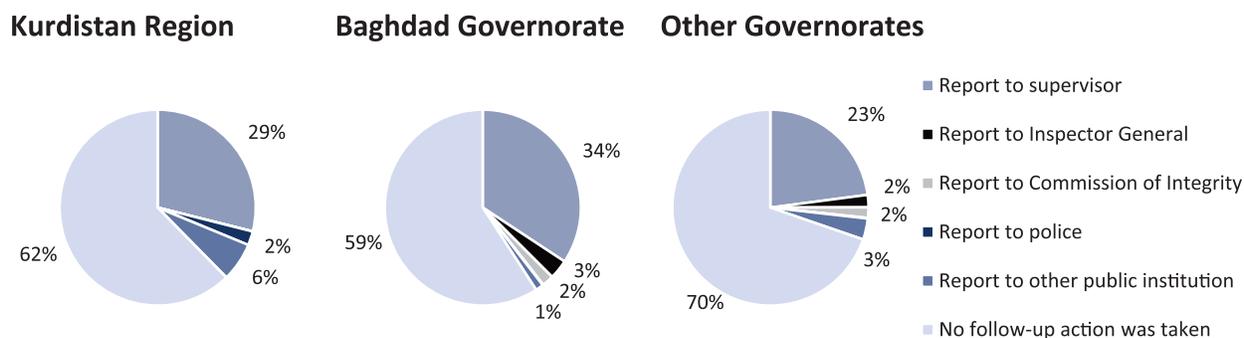


Source: IKN Survey 2011

2.1.3. Reporting of bribery by civil servants

According to survey data presented in chapter 1, of the 4.2 per cent of civil servants offered a bribe in the 12 months prior to the survey, some 89 per cent turned that offer down. In principle, every employee refusing an offer has to report the bribery attempt — a crime in itself — to a relevant authority. However, in almost two thirds (65 per cent) of declared cases there was no follow-up by the civil servant in question, while in 35 per cent of the cases the civil servants reported to some higher authority. In 27.7 per cent of cases only supervisors were informed, while in 2.2 per cent the Inspector General, in 1.6 per cent the Commission of Integrity and in 3.1 per cent another public institution was informed. The share of civil servants who actually reported the bribery offer varied by region, as did the authority to which offers were reported (figure 33).

Figure 33: Percentage distribution of civil servants who refused a bribe, according to reporting action, by region, Iraq (2011)

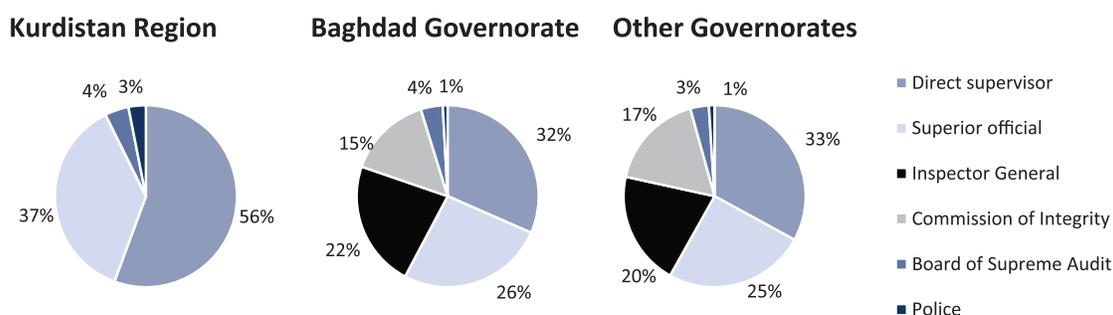


Source: ICS Survey 2011

Note: Data refer to the last offer in the 12 months prior to the survey.

When the question was extended from the preceding 12 months to all types of corruption at the workplace ever reported throughout civil servants' entire careers, a significant share of civil servants indicated that they had experience of reporting corruption. Among all civil servants in Iraq, 12 per cent stated that they have reported a corruption incident in their workplace to a relevant authority at some point in their career (26.8 per cent in the Kurdistan Region, 12.3 per cent in Baghdad and 7.2 per cent in the other Governorates).¹ Across the regions, those civil servants who reported acts of corruption also used various reporting channels to different extents. In the Kurdistan Region, 93 per cent reported to their direct supervisor or another superior official within their ministry and a small share reported to the Board of Supreme Audit (4 per cent) or the police (3 per cent). In Federal Government institutions, the majority (58 per cent) also reported to a direct supervisor or a superior official but a substantial share also reported bribery offers to an Inspector General in their ministry (21 per cent) or to the CoI (16 per cent). The Board of Supreme Audit (4 per cent) and the police (1 per cent) were barely considered for reporting cases of corruption in the Federal Government.

Figure 34: Percentage distribution of civil servants who have ever reported a case of corruption in their workplace, by authority receiving report and by region, Iraq (2011)



Source: ICS Survey 2011

Note: Data refer to all civil servants and any report of corruption ever filed by them

The above data indicate that the anti-corruption agency (CoI) and the offices of the Inspector General in the Federal Government are used as reporting channels but a much larger share of civil servants turn to their managers and supervisors when they are faced with integrity issues. While that is normal practice in many circumstances, mechanisms should be in place that ensure adequate follow-up to such reporting.

1- See Fact Sheets on ministries/institutions in the Annex of this report.

2.1.4. Awareness of anti-corruption authorities among civil servants

In order to encourage the reporting of acts of corruption encountered at the workplace, three minimum requirements would need to be fulfilled. First, civil servant need to know the institutions they can turn to in order to report corruption cases,. Second, civil servant need to know which concrete reporting channels are available . And third, anyone willing to report corruption should be reasonably confident in the effectiveness of the response taken by the institution to which corruption is reported to make it worth the effort.

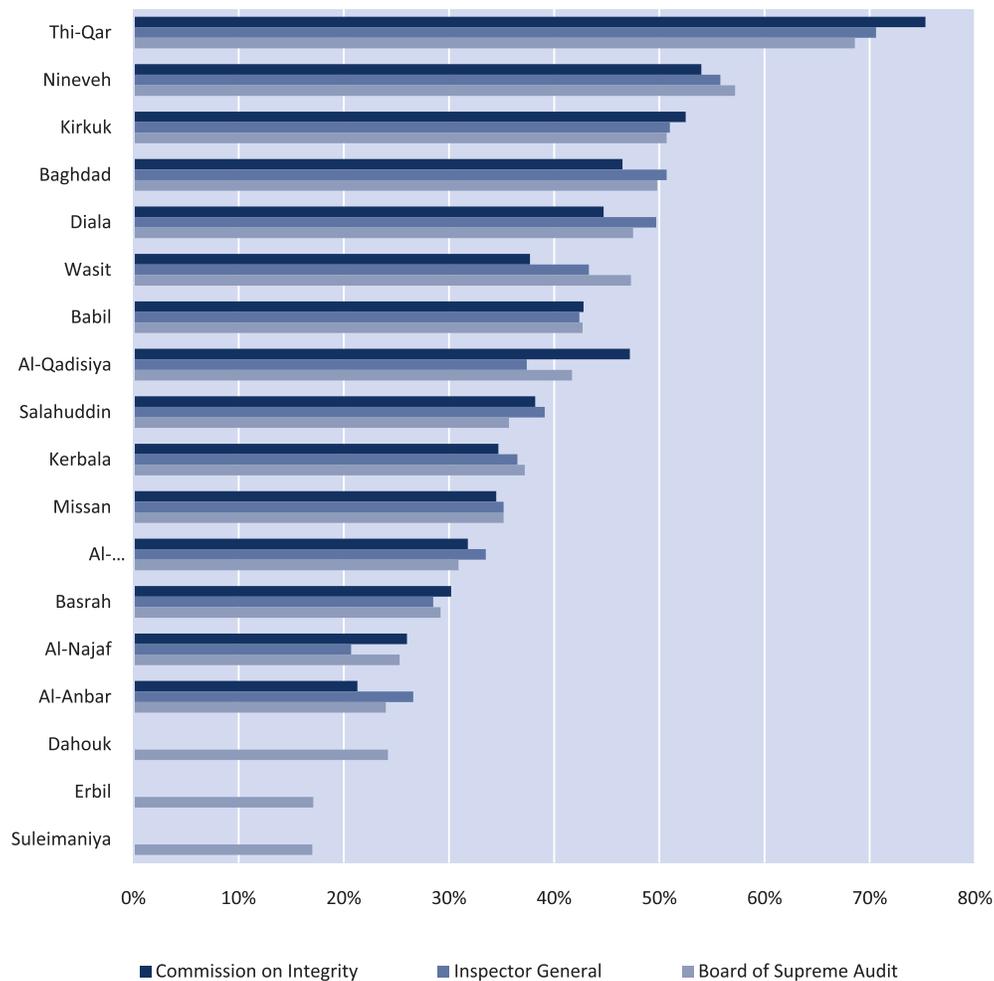
The main institutions to whom corruption could be reported, the CoI, the Inspector General offices (IG) and the Board of Supreme Audit (BSA) are very familiar to Iraqi civil servants. In the Federal Government, 97 per cent of civil servants have heard of the first two and 93 per cent have also heard of the Board of Supreme Audit. In the Kurdistan Region, where data relate to the Board of Supreme Audit only, 60 per cent have heard of the BSA.

If civil servants know anti-corruption institutions, they are often unaware of the reporting channels that exist to inform authorities about an act of corruption – be it an office, a hotline, or a website, just to name a few - and this can be one of the reasons for low reporting rates. Overall, 52 per cent of civil servants in Iraq do not know to whom they should report a corruption incident, with significant regional differences. In Baghdad, 44.8 per cent do not know to whom to report incidents of corruption, while this share is 46.1 per cent in the other Governorates of the Federal Government and 79.6 per cent in the Kurdistan Region, which is likely related to the lack of a designated anti-corruption body in that region.

But irrespective of the knowledge of relevant authorities, lack of confidence in them is an important factor in explaining the low reporting levels of civil servants. In the Federal Government, more than 40 per cent of those who know of those three relevant authorities' role in the fight against corruption think that they do a good job (BSA: 44 per cent; CoI: 43 per cent; IG: 44 per cent), while more than a third believe that those institutions do not fight corruption effectively (BSA: 34 per cent; CoI 37 per cent; IG: 34 per cent), and some 20 per cent do not know about their effectiveness. In the Kurdistan Region Government, fewer than one fifth (18 per cent) of those who know about the BSA, also think that the BSA is fighting corruption effectively, while around 64 per cent think they do not fight corruption effectively and another 18 per cent do not know.

Differences exist in the assessment of anti-corruption authorities' effectiveness between Governorates, which are greater than the differences between the three institutions in any given governorate. In Thi-Qar Governorate about 70 per cent of all civil servants think that those institutions are doing a good job in fighting corruption effectively (CoI: 75 per cent; IG: 71 per cent; BSA: 69 per cent), while in Al-Anbar Governorate only 21-27 per cent think the same way (CoI: 27 per cent; BSA: 24 per cent; IG: 21 per cent). Data for the Kurdistan Region Governorates relate to the Board of Supreme Audit only, and indicate relatively low confidence in the effectiveness of that institution in fighting corruption (figure 35).

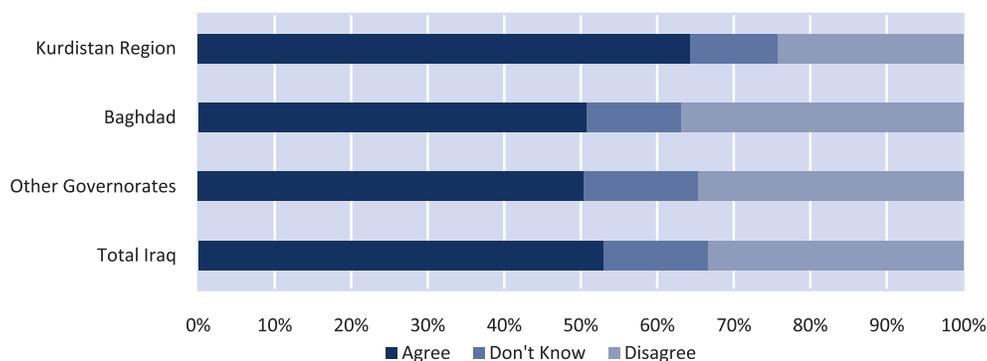
Figure 35: Percentage of civil servants who think that relevant anti-corruption institutions are fighting corruption effectively, by Governorates, Iraq (2011)



Source: ICS Survey 2011

The relative lack of confidence of citizens in the effectiveness of Iraq’s anti-corruption institutions – as described in section 2.1.2 – is mirrored in the attitudes of civil servants. More than half of civil servants in all three regions agree with the statement “there is no point reporting corruption because nothing serious will be done about it” (Baghdad 51 per cent, other Governorates 53 per cent and Kurdistan Region 64 per cent). (figure 36)

Figure 36: Percentage distribution of civil servants who agree or disagree with the statement “there is no point reporting corruption because nothing serious will be done about it”, by region, Iraq (2011)



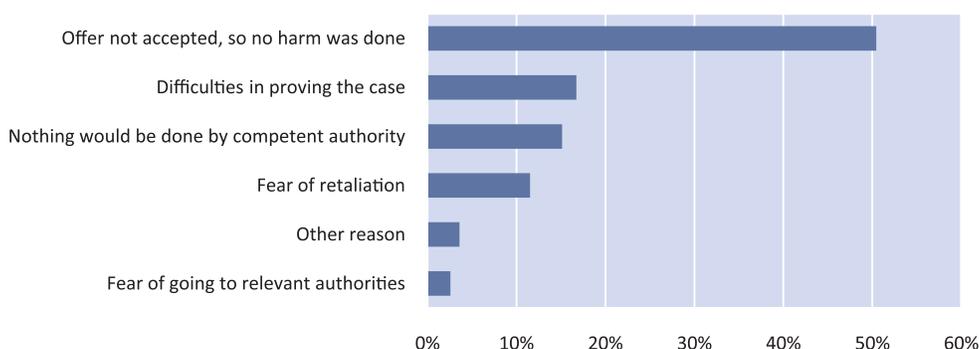
Source: ICS Survey 2011

Note: Data refer to all civil servants

2.1.5. Reasons for not reporting bribery

When further analysing the reasons why civil servants do not report the offer of bribes, it is not only the lack of awareness of anti-corruption authorities and the lack of trust in the ability of those authorities to counter acts of corruption effectively that gives cause for concern, but also the lack of awareness of the gravity of corruption. For example, more than half of civil servants who actually received a bribery offer in the preceding 12 months but did not report it think that, since they did not accept the offer, they did not cause any harm and so did not have to report the incident (figure 37). Some 15 per cent believe that authorities would not have done anything about it and a further 17 per cent of civil servants believe that it is difficult to prove an offer and so they did not bother to report. Such feedback is vital for helping the Government to strengthen its awareness-raising efforts on corruption and to rethink the effectiveness of anti-corruption institutions.

Figure 37: Percentage distribution of civil servants who did not report bribery offers, according to most important reasons for not reporting, Iraq (2011)

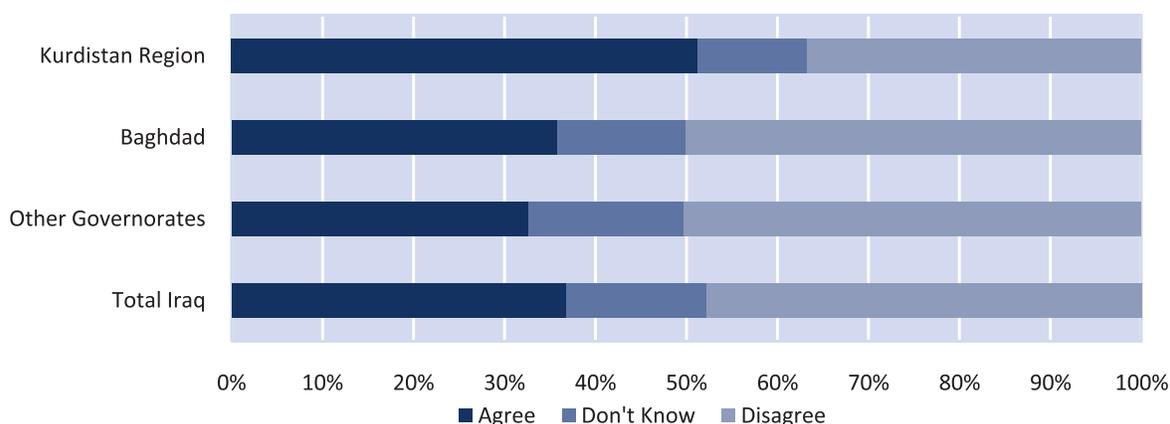


Source: ICS Survey 2011

Note: Data refer to civil servants who received an offer in the preceding 12 months but did not report it

The lack of awareness of the undermining effect of offers of bribes, as shown by the statement “an unaccepted offer does not cause harm” cannot only be seen among those who receive an offer but do not report it, but also among all civil servants, irrespective of whether they have ever received the offer of a bribe or not. Among the latter, 37 per cent agree that most corruption is too trivial to be worth reporting (figure 38). Regionally, at 51 per cent, agreement with that statement is again highest in the Kurdistan Region.

Figure 38: Percentage distribution of civil servants who agree or disagree that most corruption is too trivial to be worth reporting, by region, Iraq (2011)



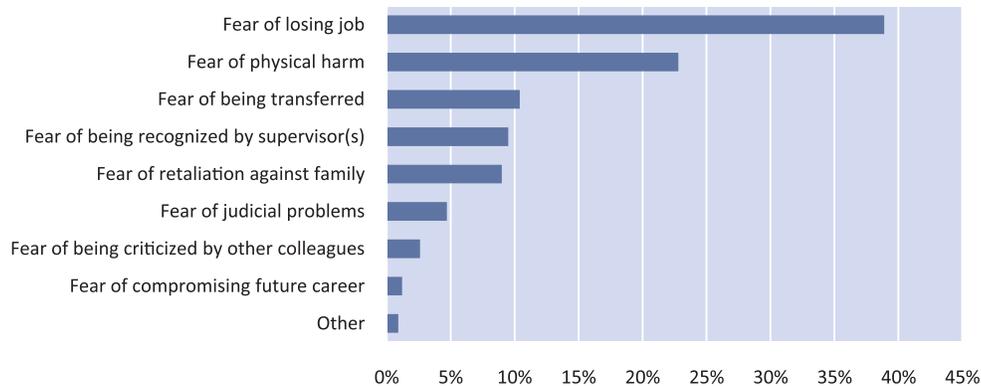
Source: ICS Survey 2011

Note: Data refer to all civil servants

Even though the fear of retaliation (12 per cent) and the fear of reporting to the relevant authorities (4 per cent) are mentioned as the most important reason for not reporting the offer of a bribe (figure 37) less often by those civil servants who received an offer in the preceding 12 months but did not report it, on closer examination, lack of security and adequate protection do represent major factors undermining the potential reporting of corruption cases. Among all civil servants only one third would feel adequately protected if they had to “blow the whistle” (report an act of corruption) on an official in their own ministry.¹ Among the two thirds who would not feel protected enough to “blow the whistle”, the fear of physical harm and the fear of losing their job after reporting corrupt behaviour are cited as the most important fears (figure 39).

1- See also Fact Sheets on ministries/institutions in the Annex of this report.

Figure 39: Percentage distribution of civil servants who would not feel adequately protected if they reported a case of corruption in their ministry, by most important fear, Iraq (2011)

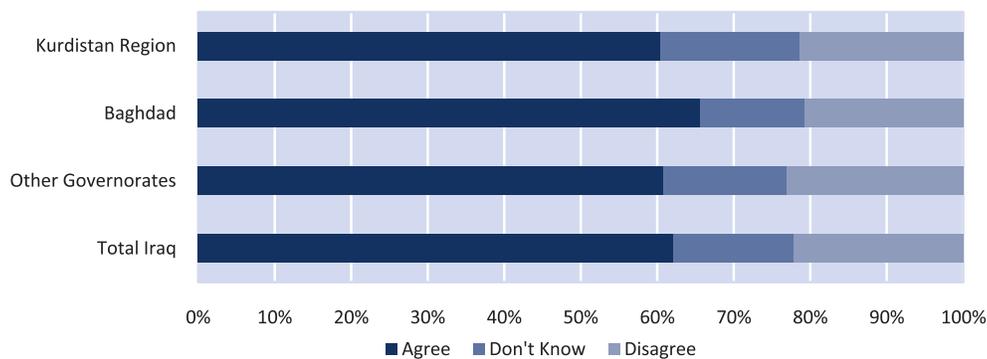


Source: ICS Survey 2011

Note: Data refer to all civil servants who do not feel adequately protected

Those fears are affirmed by the more than 62 per cent of civil servants who agree that most people hesitate in the reporting of corruption for fear of a lack of secrecy. Agreement with this statement is slightly higher in Baghdad than in the other Governorates and the Kurdistan Region (figure 40).

Figure 40: Percentage distribution of civil servants who agree or disagree that most people hesitate in the reporting of corruption for fear of a lack of secrecy, by region, Iraq (2011)



Source: ICS Survey 2011

Note: Data refer to all civil servants

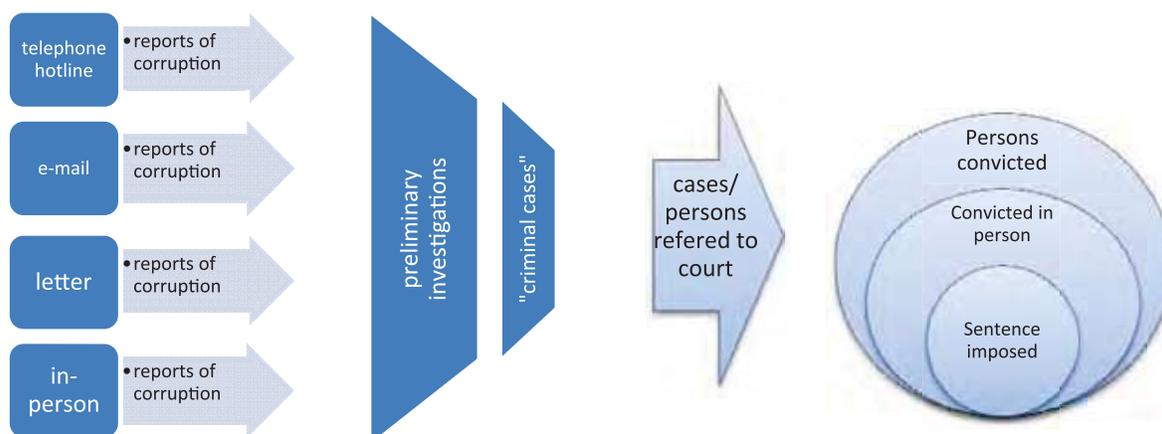
Even though fears of severe consequences for reporting corruption and concerns about the lack of secrecy of reporting exist, 57 per cent of civil servants in Iraq state that they would report an act of corruption if they became aware of it in their ministry.

2.2 The criminal justice response: investigating and prosecuting corruption

Constructing safer and more accessible channels for reporting corruption can help reduce the high level of impunity associated with acts of corruption and lead to more effective enforcement of the law. In Iraq, all functions related to the investigations of corruption cases are entrusted to the CoI, which is the Federal Government’s leading anti-corruption body and, according to article 102 of the Iraqi Constitution of 2005, is an independent governmental authority only subject to the Iraqi Parliament and the law of Iraq.¹ In addition to its educational and preventive functions, the main duty of the CoI is to investigate all known corruption cases, compile and prepare legal evidence for criminal proceedings under the supervision of an investigative judge and refer substantiated cases of corruption to the courts. Data on investigations and legal proceedings collected by the CoI thus provide a comprehensive picture of the criminal justice response to corruption in the 15 Governorates under the Federal Government of Iraq.

The criminal justice process for corruption cases is illustrated in figure 41. The process is described further in the following sections.

Figure 41: The criminal justice process for corruption cases in Iraq



2.2.1. Reports on corruption and investigations

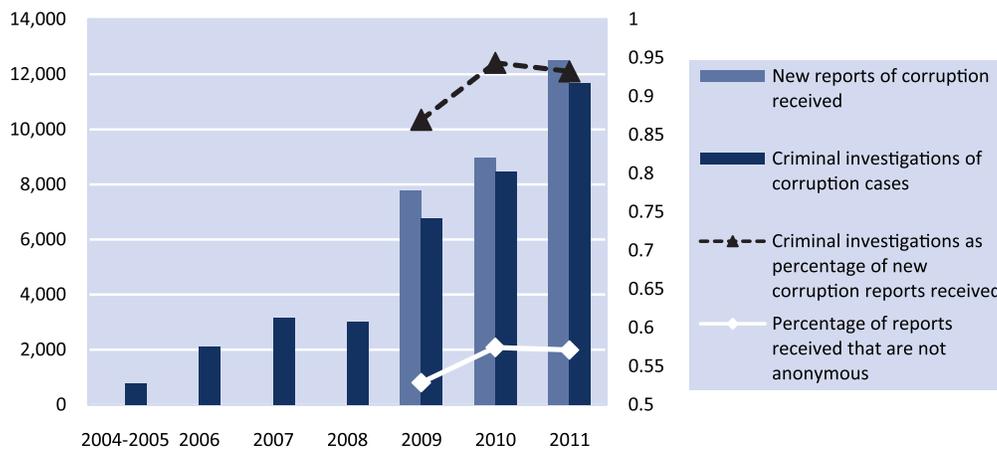
The CoI receives reports on corruption (also called “complaints” or “hints”) through four means of communication: by telephone (“hotline”); by e-mail; by letter; in person. Reports are analysed and evaluated by investigators at the CoI in Baghdad or at one of its branch offices in the Governorates to establish their nature, content and potential validity. If there is prima facie evidence that reports con-

1- The Commission of Integrity (CoI) was originally established as the Commission of Public Integrity (CPI) in 2004 and is chaired by a Commissioner of the rank of Government Minister, who is appointed by the Prime Minister and may not be removed unless approved by the Parliament. The COI has one Deputy Commissioner, of the rank of Deputy Minister. The COI consists of six directorates: investigations, legal affairs, prevention, education and public relations, non-governmental organizations, and administration.

tain genuine information relating to corrupt acts, a preliminary investigation is opened. Anonymous corruption reports (in which investigators cannot follow up with informants), in particular, may lack any legal substance or concrete evidence. The share of non-anonymous reports out of all corruption reports received is thus a rough indicator of the quality of reports received by the CoI. If a first investigation leads to enough evidence to substantiate a criminal corruption case, the case is recorded as a “criminal case” and is investigated under the supervision of an investigative judge.

Figure 42 shows that both the number of new reports of corruption received by the CoI and the number of criminal investigation cases increased rapidly from 786 in 2004/5 to 11,671 in 2011. The chart and the subsequent data presented show only the number of new cases opened in each respective year, while the total number of cases under investigation in each of those years (including open cases from previous years) was somewhat higher.¹ The ratio of criminal investigations to new corruption reports received also increased from 87 per cent in 2009 to 94 per cent in 2010 and 93 per cent in 2011, which is mirrored in a similar increase, from 53 per cent to 57 per cent, in the share of non-anonymous reports over the same period.

Figure 42: Number of reports and criminal investigations of corruption cases by the Commission of Integrity, Iraq (2004-2011)



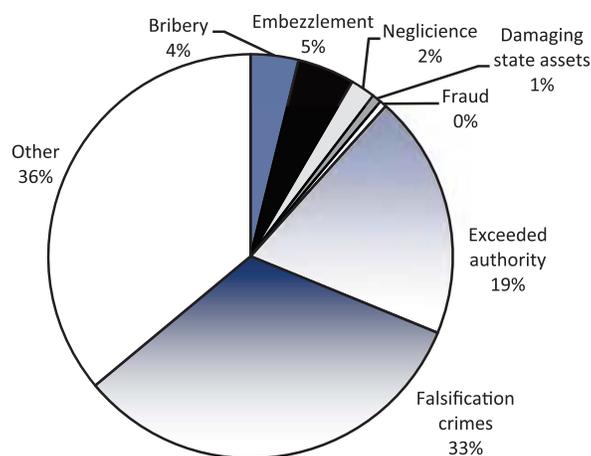
Source: Commission of Integrity Administrative Dataset on Corruption

While the increase in the total number of reports and investigations of criminal cases is very substantial, it is important to take a closer look at the type of criminal cases under investigation to determine the nature of corruption acts examined by the CoI. Figure 43 indicates that only a small amount of all criminal cases under investigation concern clear corruption crimes as defined in the United Nations Convention Against Corruption (bribery, embezzlement, trading in influence, abuse of functions, illicit enrichment, money laundering, obstruction of justice, etc.). In 2011, bribery ac-

1- The total number of criminal cases under investigation increased from 10,414 in 2009 to 12,613 in 2010 and 13,589 in 2011.

counted for 4 per cent and embezzlement for 5 per cent of all criminal cases under investigation by the CoI, while allegations of “exceeded authority”, “falsification crimes” (for example, falsification of academic certificates) and “other crimes” accounted for 19 per cent, 33 per cent and 36 per cent, respectively.

Figure 43: Number and percentage distribution of criminal investigations of corruption cases, by type of offence, Iraq (2011)



Source: Commission of Integrity Administrative Dataset on Corruption

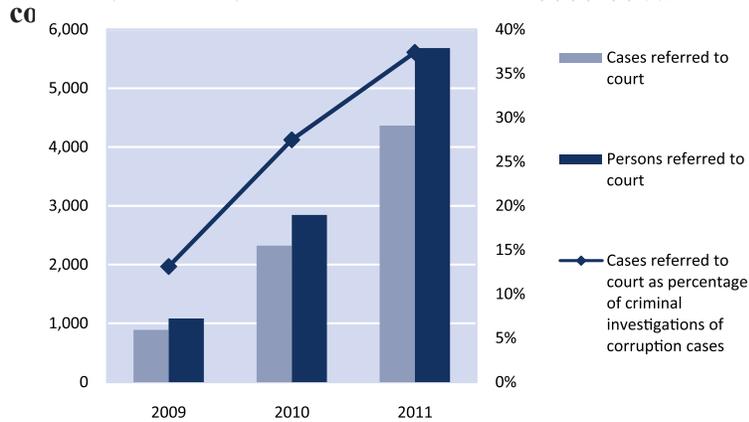
2.2.2. Cases and persons referred to court

When a criminal case investigated by the CoI under the supervision of an investigative judge is further substantiated, the case can be referred to court.¹ In the last two years, the number of criminal cases referred to court has increased almost five-fold, from less than 900 to more than 4,300. At the same time, the number of persons per case referred to court has also increased slightly, from 1.22 persons per case to 1.30 persons per case, meaning that the number of persons referred to court increased more than five-fold, from 1,084 to 5,682 (figure 44).²

1- Whereas up to June 2011, under article 136 (b) of the Criminal Procedure Code, an investigative judge could not prosecute a state official without the relevant minister’s consent, this article was repealed and was not applied further from July 2011 onwards. In 2010, article 136 (b) was applied in a total of 176 criminal cases in which procedures were stopped before cases were referred to a court.

2- It should be noted that persons referred to court for more than one corruption offence in more than one criminal case are counted separately in each separate case. Thus, persons referred to court for several offences in separate cases will be counted repeatedly.

Figure 44: Number of cases and number of persons referred to court for corruption and number of cases referred to court as percentage of criminal investigations of

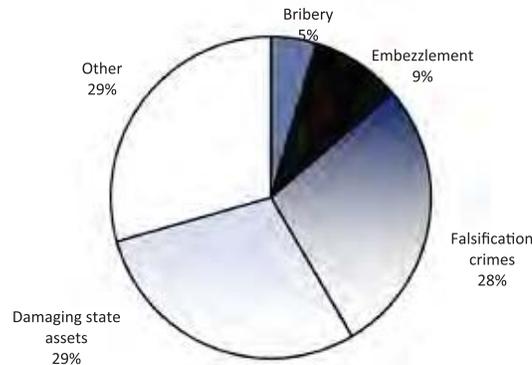


Source: Commission of Integrity Administrative Dataset on Corruption

In addition to the increase in the absolute number of cases and persons referred to court over the past few years, the data also demonstrate that the ratio of cases referred to court over the number of criminal investigations of corruption cases has increased substantially. The rising trend in this indicator is a strong sign of the increasing effectiveness of the CoI in both investigating and bringing corruption cases to justice.

As is true when comparing the trend in the total number of investigations with the breakdown by type of crime investigated, the general trend must be qualified by the relevance and potential severity of the cases referred to court. As shown in figure 45, 5 per cent of all persons referred to court were charged with bribery and 9 per cent were charged with embezzlement, while the rest were charged with “falsification crimes” (28 per cent), “damaging state assets” (29 per cent) and “other crimes” (29 per cent).

Figure 45: Number and percentage distribution of persons referred to court for corruption, by type of offence, Iraq (2011)



Source: Commission of Integrity Administrative Dataset on Corruption

2.2.3. Persons convicted of corruption offences

Data on persons convicted in court provide a picture of the outcome of the criminal justice process for those charged with corruption offences.¹ As illustrated in figure 46, the number of persons convicted for corruption offences (that is the number receiving a punitive sentence for acts of corruption) increased greatly from 257 in 2009 to 1,016 in 2010 and 1,661 in 2011.

Given that both the number of persons referred to court and the number convicted increased greatly from 2009 to 2011, the ratio of those convicted in court to the number of those referred to court provides an interesting indicator of the effectiveness of the criminal justice process (bearing in mind that not all of those referred to court in one particular year will receive a sentence in the same year). As seen in figure 46, this ratio increased from 24 per cent in 2009 to 36 per cent in 2010 before declining to 29 per cent in 2011.

While the absolute number of persons convicted has increased greatly over the past few years, it must be taken into account that not all defendants were present in court when they received their sentence, indicating that a substantial share of those convicted were still at large and evaded execution of the sentence.² Moreover, even when defendants convicted were present, in many instances the courts suspended their sentence³, further reducing the number of those convicted in person who actually had to pay fines or serve a prison sentence.⁴ Taken together, the ratio of individuals convicted in person to the number referred to court (19 per cent in 2010 and 22 per cent in 2011) and the ratio of those convicted in person whose sentence was actually carried out (13 per cent in 2010 and 15 per cent in 2011) were more stable, though at a lower level.

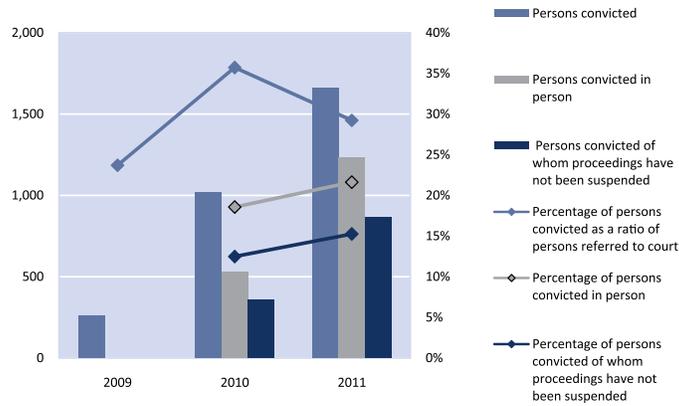
1- It should be noted that persons convicted in court for more than one corruption offence in more than one criminal case are counted separately in each individual case. Thus, those convicted in court for several offences will be counted repeatedly.

2- Of those convicted in 2010, 528 (52 per cent) were convicted in person, while for those convicted in 2011 that figure was 1,229 (74 per cent).

3- In 2010 a total of 173 proceedings were suspended and in 2011, 362 proceedings were suspended.

4- In 2010, 355 persons (35 per cent of all convicted persons) and in 2011, 867 persons (52 per cent of all convicted persons) actually had to pay fines or serve a prison sentence.

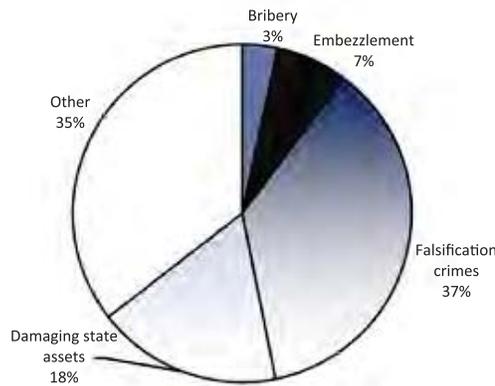
Figure 46: Number of persons convicted of corruption and number convicted of corruption as a percentage of those referred to court in the same year, Iraq (2009-2011)



Source: Commission of Integrity Administrative Dataset on Corruption

As for the increase in investigations and persons referred to court, the increases in those convicted of corruption offences has to be qualified by the type of crime for which they were convicted. As can be seen in figure 47, bribery and embezzlement offences account for 3 per cent and 7 per cent, respectively, of all convictions in court, while the largest share of convictions relates to “falsification crimes” (36 per cent), “damaging state assets” (18 per cent) and “other crimes” (36 per cent).¹

Figure 47: Number and percentage of persons convicted for corruption, by type of offence, Iraq (2011)

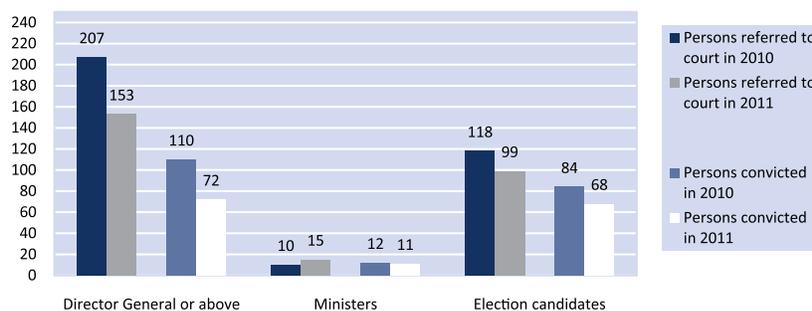


Source: Commission of Integrity Administrative Dataset on Corruption

In addition to the types of corruption processed by the criminal justice system, it is also of particular interest whether those referred to court and convicted are predominantly lower or intermediate level officials, or whether higher ranking officials are also represented and, if so, whether they face the same likelihood of conviction as other officials referred to court.

1- The categories ‘falsification crimes’ and ‘damaging state assets’ do not relate to corruption offences as defined in the provisions of the United Nations Convention against Corruption (UNCAC).

Figure 48: Number of senior officials referred to court and number of senior officials convicted for corruption offences, Iraq (2010-2011)



Source: Commission of Integrity Administrative Dataset on Corruption

Figure 48 shows that a significant number of public officials at director general level or higher, as well as ministers and election candidates, are referred to court for corruption charges and subsequently convicted. In 2010 and 2011, on average, the ratio of persons convicted to the number of those referred to court reached 51 per cent for officials at director general level or above, 70 per cent for election candidates and 92 per cent for ministers (versus 31 per cent for all officials convicted in 2010 and 2011). Therefore, it can be concluded that once higher-ranking officials face charges in court they are convicted more frequently than other officials referred to court.¹

2.2.4. Attrition rates related to corruption cases in the criminal justice system

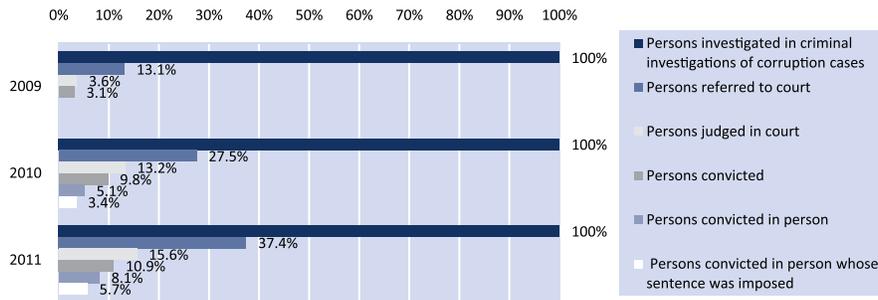
A useful way of measuring the overall efficiency of the criminal justice system is by looking at the ratio of persons referred to court and convicted out of all those investigated in criminal cases (approximate “attrition rates”). Setting the number of those investigated² for corruption in criminal cases at 100 per cent, it is possible to calculate the ratio of the number of persons at each subsequent stage of the criminal justice procedure to this total for any given year.³

As shown in figure 49, both the ratio of those referred to court and the ratio of those convicted for corruption offences to the number of those investigated in criminal investigations of corruption cases, display a positive, steeply rising trend for the 2009 to 2011 period (the ratio of persons referred to court rose from 13 per cent to 28 per cent and 37 per cent, while the ratio of those convicted increased from 3.1 per cent to 9.8 per cent and 10.9 per cent). These trends point to more effective investigation procedures at the CoI and a better quality evidence base, which has led to a higher ratio of persons convicted. At the same time, the ratio of those actually convicted in person without their sen-

- 1- Such a conclusion has to be qualified by the lack of data on the rank and position of officials who were convicted but were not present at the time of their conviction and the absence of data on the rank and position of convicted officials whose sentence was actually imposed (i.e. not suspended).
- 2- The number of persons (as opposed to cases) has been estimated using the average number of persons per case referred to court in the same year.
- 3- Attrition rates are calculated using data on persons investigated, referred to court and convicted during each reference year. This is an approximation of cohort-specific attrition rates, bearing in mind that not all cases and persons will move from the investigation to the conviction stage within one year.

tence being suspended, to the number of those investigated in criminal investigations of corruption cases, while still fairly low (3.4 per cent in 2010 and 5.7 per cent in 2011), has also grown (figure 49).

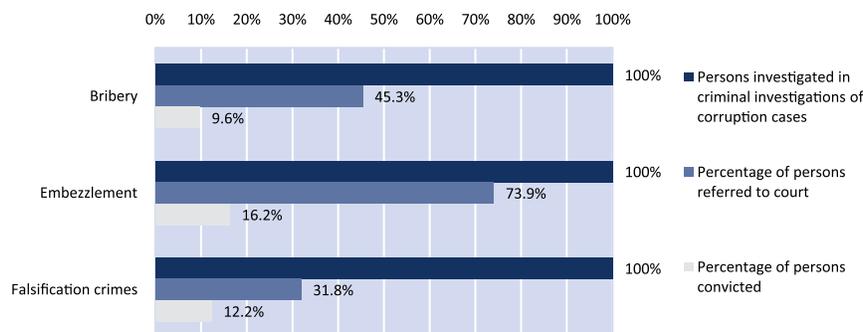
Figure 49: Number of persons investigated, referred to court and convicted of corruption, as a percentage of those investigated in criminal investigations of corruption cases in the same year, Iraq (2009-2011)



Source: Commission of Integrity Administrative Dataset on Corruption

In addition to overall attrition rates for all types of corruption cases dealt with by the CoI, attrition rates can also be calculated for particular crime types. The data show an above-average ratio of persons referred to court for bribery and embezzlement cases (45 per cent and 74 per cent, respectively, versus 37 per cent in the 2011 total), but a below-average ratio of persons convicted in court for bribery and embezzlement cases (21 per cent and 22 per cent, respectively, versus 29 per cent in the 2011 total). The result is crime-specific attrition rates of 9.6 per cent for persons convicted of bribery and 16.2 per cent for those convicted of embezzlement, out of all those investigated for those particular crimes (figure 50).¹ Overall, investigations in embezzlement offences appear to be more effective than those on bribery, a pattern that likely indicates that the evidence collected by investigators in embezzlement cases is more solid than in bribery cases.

Figure 50: Number of persons investigated, referred to court and convicted of bribery, embezzlement and falsification crimes, as a percentage of those investigated in criminal investigations of corruption cases in the same year, Iraq (2011)



Source: Commission of Integrity Administrative Dataset on Corruption

1- No crime-specific data for persons convicted in presence or whose sentences are executed are available.

Chapter 3

Integrity in the Civil Service

3. Integrity in the civil service

Within the broad spectrum of policies and measures aimed at preventing corruption, the enforcement of high standards of integrity among public officials represents a powerful tool to create an environment “hostile” to corruption. Integrity in public service requires more than the absence of corruption and challenges to integrity, and consequently vulnerabilities to corruption in the civil service, can arise due to shortcomings both at the organizational and the individual level.

Individual integrity is about ethical conduct and relates to the qualities that enable a civil servant to fulfil an organization’s mandate by acting in accordance with standards, regulations, rules and procedures. At the organizational level, the integrity of an institution can be understood as working procedures, management schemes, internal and external monitoring, auditing, supervising and standards of transparency that promote the ethical conduct of its employees. To ensure organizational integrity, any public institution needs to have clear procedures such as written terms of reference for all posts, formal and fair selection procedures, written information on the rights and obligations of service users and a code of conduct to follow those requirements and procedures. Individual integrity necessitates adherence to these rules, procedures and mechanisms for supervision and control. It requires both complying with the rules and demonstrating responsibility and awareness.

This chapter examines various procedures and conditions critical to the integrity of public institutions and its employees and analyses particular vulnerabilities of the civil service in Iraq. The first two sections are devoted to an analysis of recruitment and promotion policies — two crucial areas for ensuring both the capacity and integrity of a professional civil service. Another crucial area for upholding the integrity of civil servants is the existence and functioning of monitoring and internal auditing systems, which are crucial for uncovering irregularities and weaknesses and for initiating corrective actions and improved procedures in any institution. The subsequent sections analyse transparency measures, integrity awareness, training, job satisfaction and general working conditions of civil servants in Iraq, which are all areas that are instrumental for achieving high standards of integrity in the public sector.

3.1. Recruitment

Full transparency and fairness of the recruitment process is not only necessary to implement integrity standards throughout the selection process, but also to ensure the best match between experience and skills of applicants and the objective requirements of the position. Fair and transparent procedures are all the more necessary taking into account that the demand for employment in the civil service exceeds the limited supply of jobs and access to such jobs is highly coveted.

Impartiality and accountability in the recruitment process require a number of measures to be in place, including the development of organizational charts for public institutions, standard job profiles with associated requirements and qualifications, terms and conditions for service, transparent and open procedures for selection and formal procedures for the assessment of applicants. Some of those

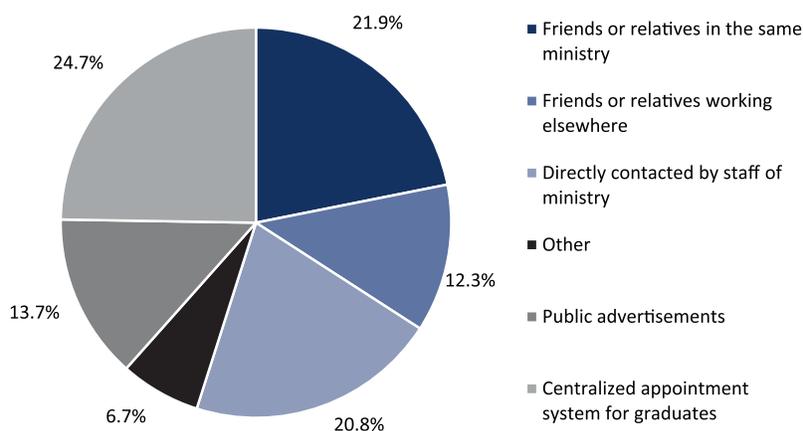
steps are analysed in this study, which has found evidence that recruitment of new staff in the civil service of Iraq does not always occur under open and transparent conditions.

3.1.1. Civil servants' experiences of recruitment

In principle, information on job openings should be widely available so that large numbers of interested candidates are able to apply, including those who are not in any way connected to the institution advertising the post. According to the experience of civil servants, a number of channels are used by public institutions or ministries to disseminate information about job vacancies. Formal information channels include public advertisements and the centralized appointment system for graduates. Other potential job applicants are contacted directly by the staff of ministries in the process of recruiting, or learn about a job opportunity from friends or relatives. In concrete terms, information about a particular job opening can be disseminated through both formal and informal channels, and informal channels appear to play a particularly important role in Iraq.

Slightly more than a third of all civil servants in Iraq learned that a particular job was available through friends and relatives (21.9 per cent through friends and relatives working in the same ministry and a further 12.3 per cent through friends and relatives working elsewhere), while about a quarter learned of a job opportunity through the centralized appointment system for graduates and 13.7 per cent through public advertisements (figure 51).

Figure 51: Percentage distribution of civil servants, by source of information about job vacancy at the time of their recruitment, Iraq (2011)

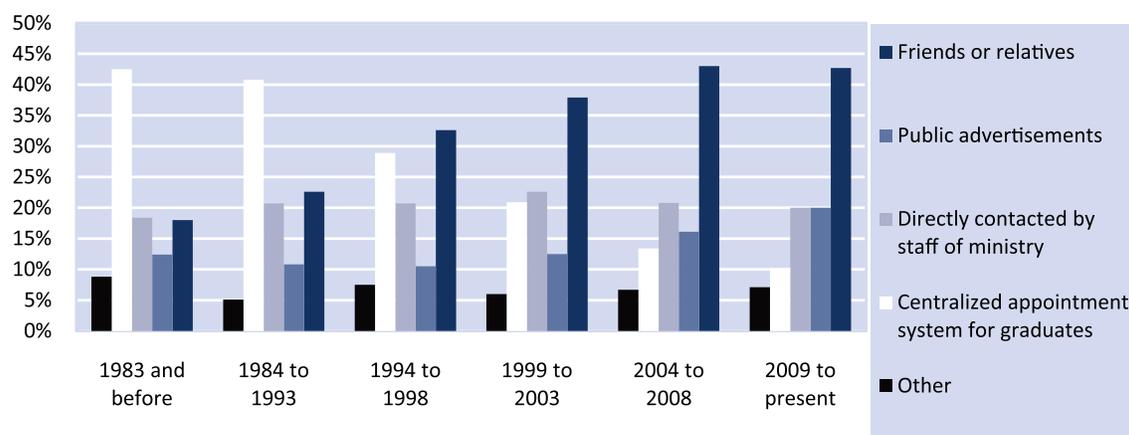


Source: ICS Survey 2011

A closer look at the prevailing information channels for finding employment in Iraq over the past 30 years reveals that informal networks have become more and more important in spreading information about job opportunities in the public sector, while the importance of the centralized appointment system for graduates has declined, a trend that has been even more pronounced since 2003. For example, for civil servants hired in the three years prior to the survey, friends or relatives were

the source of information about the job opening in over 42 per cent of cases (25.5 per cent heard from friends or relatives working in the same ministry and 17.2 per cent from friends and relatives working elsewhere), while 10.2 per cent were informed through the centralized appointment system for graduates (figure 52).

Figure 52: Percentage distribution of civil servants, by source of information about job vacancy and by year of recruitment, Iraq (2011)

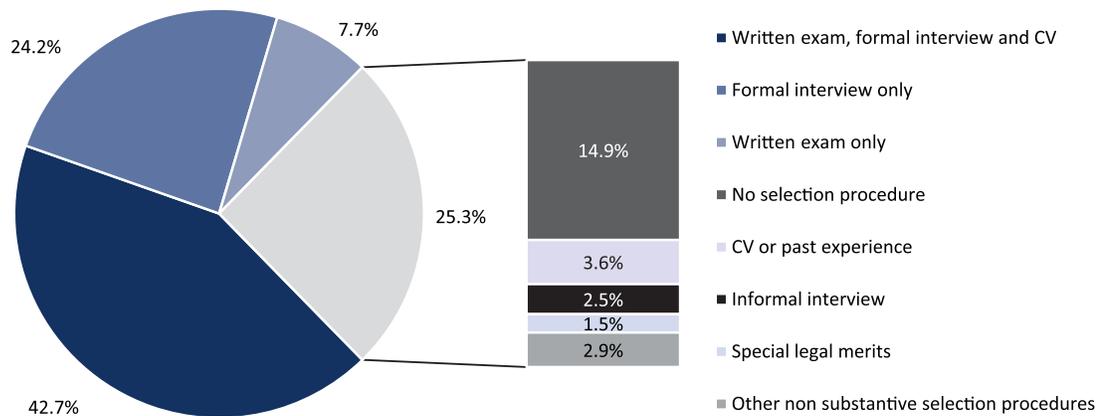


Source: ICS Survey 2011

The role friends and relatives play in providing information about job opportunities is particularly important in some of the most prestigious public sector institutions in Iraq, which are often small in terms of staff numbers but highly valued as places of work. Informal networks play a particularly important role as a source of information on job opportunities at the Council of Ministers (80.2 per cent), the Central Bank (71.6 per cent) and the Commission of Integrity (63.8 per cent) in the Federal Government and at the Planning Ministry (59.7 per cent) and the Finance Monitoring Office (60.1 per cent) in the Kurdistan Region Government. It is noteworthy that in some cases the use of informal channels is preferred when candidates with specific technical expertise are required.

The way candidates are assessed is fundamental in qualifying the objectivity and transparency of the selection procedure, but the experience of Iraqi civil servants in that regard is quite diverse: ranging from cases where full formal assessments were made on the basis of written and oral examinations to cases where no competitive evaluations were made at all. Over 25 per cent of all civil servants currently employed in Iraq indicate that they did not have to go through selection procedures (written exam, formal interview or both) when being recruited by their recent employer (figure 53).

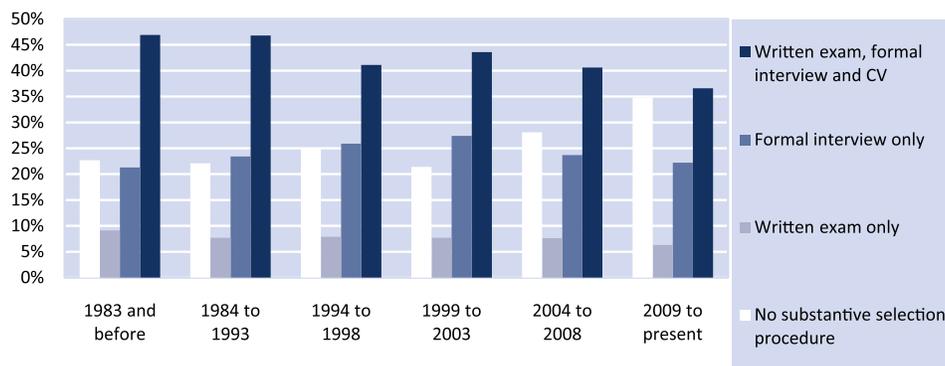
Figure 53: Percentage distribution of civil servants, by selection procedure at the time of their recruitment, Iraq (2011)



Source: ICS Survey 2011

When analysing patterns in recruitment procedures across time, it becomes apparent that recruitment without substantive selection procedures has clearly increased in Iraq: the share of civil servants who did not have to go through substantive assessment for their first post increased from 22.7 per cent for those hired before 1983 to 34.9 per cent for those hired since 2009..

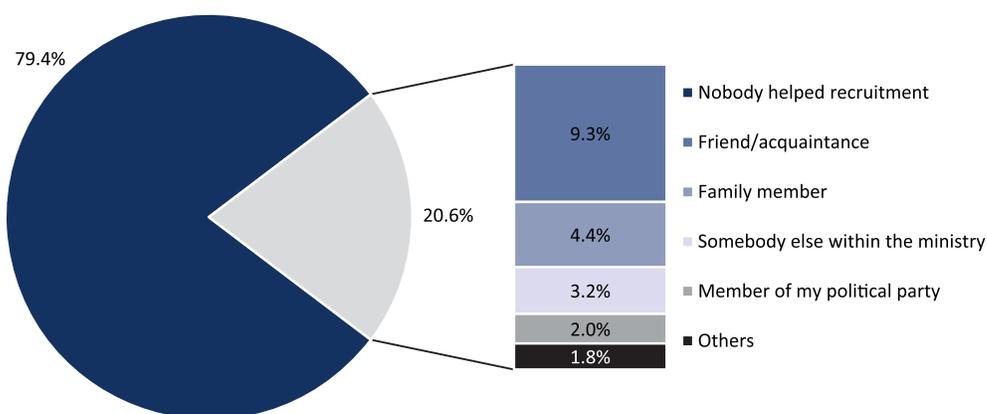
Figure 54: Percentage distribution of civil servants by selection procedure and year of recruitment, Iraq (2011)



Source: ICS Survey 2011

The role of informal channels in providing information about job opportunities in the public sector — a feature of the recruitment process that is not necessarily problematic in its own right — and the use of informal methods for assessing candidates result in a large number of recruitments aided by friends, relatives or other networks in Iraq. As shown in figure 55, during their recruitment over a fifth (20.6 per cent) of all civil servants in Iraq (irrespective of their length of service) received some form of help from external parties, mostly from friends or family members but also from members of their political party or from another third party.

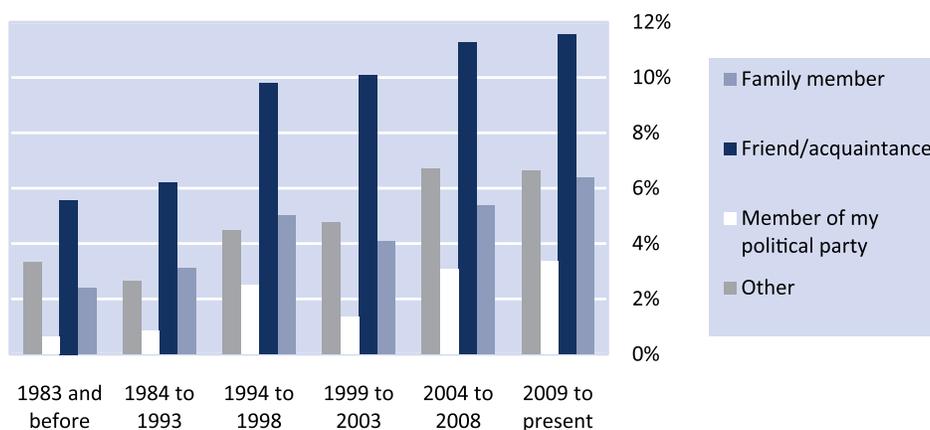
Figure 55: Percentage distribution of newly recruited civil servants, by those who facilitated their recruitment, Iraq (2011)



Source: ICS Survey 2011

As in the case of information channels and selection procedures, there is a clear time trend in the share of recruitments during which improper assistance is given to applicants. While 12 per cent of all civil servants recruited before 1984 received assistance during recruitment, the share climbed to 28 per cent for those recruited from 2009 to the present. More particularly, among those hired in the three years prior to the survey, 11.6 per cent indicated that they had received help from friends or acquaintances, 6.4 per cent from family members and 6.6 per cent from other parties. The data also indicate the growing importance of help from members of a civil servant’s own political party during recruitment, which has accounted for 3.4 per cent of civil service recruitments since 2009 while it accounted for only 0.6 per cent before 1984 (figure 56).

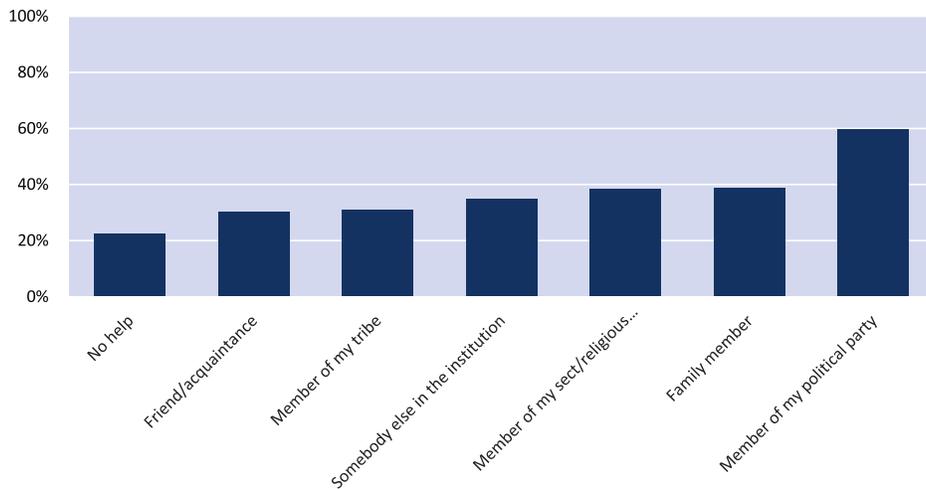
Figure 56: Percentages of civil servants who received help for their recruitment, by those who facilitated recruitment and by year of recruitment, Iraq (2011)



Source: ICS Survey 2011

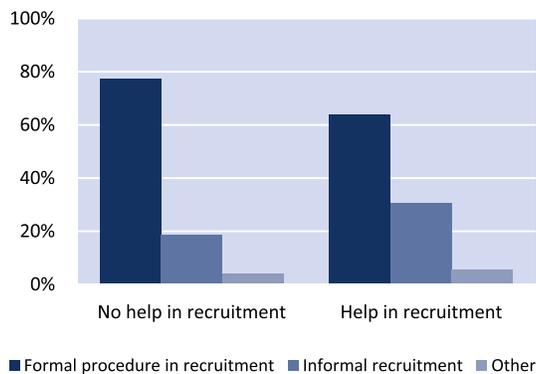
The connection between selection procedure and help from third parties during recruitment is also evident from figure 57, which shows that the share of those who were selected without a substantive selection procedure varies greatly according to the kind of assistance received at the time of recruitment. Among civil servants in Iraq who did not receive assistance from third parties during recruitment, 22.6 per cent confirmed that they did not have to go through substantive selection procedures. At the same time, among those admitting to help from family members a much larger share (39 per cent) was hired without going through substantive selection procedures, indicating that help of that nature enabled them to avoid a full assessment of their job qualifications. Meanwhile, among those who received help from members of their own political party, 60 per cent were hired without going through substantive selection procedures.

Figure 57: Percentage of civil servants recruited without substantive selection procedure, by those who facilitated recruitment, Iraq (2011)



Source: ICS Survey 2011

Figure 58: Percentage distribution of civil servants who received and who did not receive help in recruitment, by recruitment procedures, Iraq (2011)

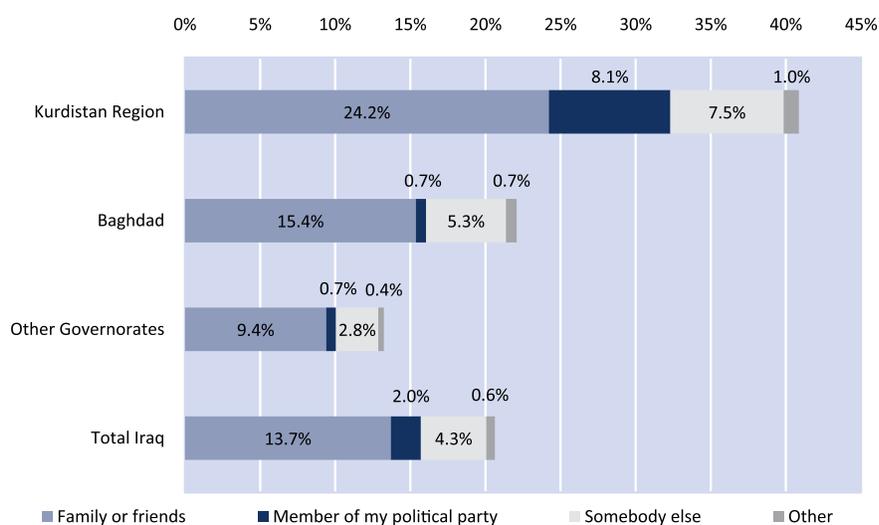


Source: ICS Survey 2011

Further analysis of data on recruitment procedures indicate pronounced differences by Governorate and region. Over half of all civil servants in the Kurdistan Region Government (53.7 per cent) did not have to go through substantive selection procedures, while that was the case for slightly less than a fifth (19.1 per cent) of civil servants in the Federal Government. Moreover, considerable differences in recruitment procedures can exist between technically similar ministries in different regions: whereas a little over a third (37.4 per cent) of employees in the Ministry for Housing and Reconstruction in the Kurdistan Region Government were recruited through substantive selection procedures, that was the case for two thirds (65.6 per cent) of employees in the Ministry of Construction and Housing in the Federal Government of Iraq.¹

Substantive selection procedures are a way of ensuring the selection of appropriate candidates for filling positions in public service but they are also a safeguard against abuse and undue influence on the recruitment decision by family, friends, party members and other third parties. It is thus no surprise that those Governorates with larger shares of civil servants hired through substantive selection procedures also saw higher levels of influence during recruitment. Whereas 13.7 per cent of all civil servants in Iraq admit that they received help from family or friends in their recruitment, the share was as much as 15.2 per cent in Baghdad and 24.2 per cent in the Kurdistan Region. In particular, Erbil (27.1 per cent), Suleimaniya (23.4 per cent), Dahouk (18.6 per cent) in the Kurdistan Region Government as well as Al-Anbar (22.4 per cent) and Baghdad (15.4 per cent) have above-average rates of assistance by family or friends during recruitment. In addition, assistance during recruitment from political parties is most pronounced in the three Governorates of the Kurdistan Region, with an average share of 8.1 per cent of all civil servants admitting to such help. (see figure 59).

Figure 59: Percentage of civil servants who received help in recruitment, by those who facilitated recruitment and by region, Iraq (2011)



Source: ICS Survey 2011

1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

The share of civil servants who admit to receiving help from relatives or friends during their recruitment is significantly higher than regional averages in certain ministries and institutions, such as in the Central Bank (38.6 per cent), the Council of Ministers (38.4 per cent), the Investment Commission (32.5 per cent), the Commission of Integrity (28.6 per cent) and the Mayoralty of Baghdad (22.5 per cent) in the Federal Government and in the Finance Monitoring Office (40.3 per cent) and the Ministries of Electricity (35.8 per cent), Finance and Economy (34.8 per cent), Human Rights (33.3 per cent) and Planning (33.1 per cent) in the Kurdistan Region Government.¹

Either as an alternative or in addition to receiving assistance from their own family, community or political party, some civil servants admit that they paid money or gave a valuable gift in order to secure a job in the public sector. In total, 2.7 per cent of all civil servants admit that they gave money, a gift or other favour to facilitate their recruitment, so it appears that bribery plays a truly marginal role in recruitment in comparison to the predominant role in securing public sector jobs played by family, friends and members of one's own political party.

Nor is the sex of job candidates perceived as a significant factor in recruitment decisions. Asked whether the fact that they are men influenced their recruitment, 13.2 per cent of male civil servants see a slight advantage and 3.8 per cent a slight disadvantage. Conversely, 8.8 per cent of female civil servants in Iraq see a slight advantage in being a woman during recruitment and 3.4 per cent a slight disadvantage. All remaining respondents see no relevance of their sex on recruitment.

3.1.2. Perceptions of recruitment

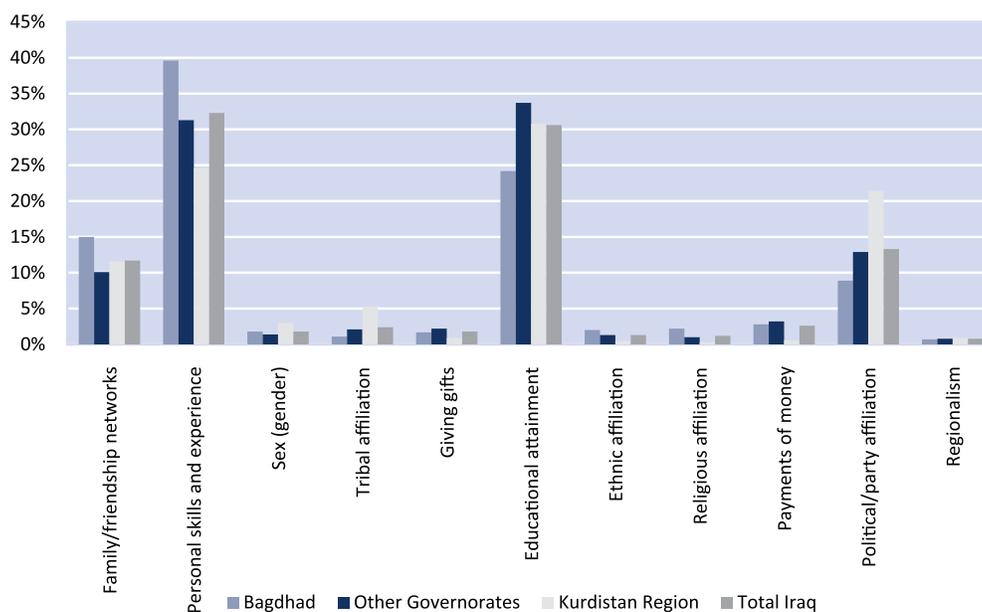
When shifting the focus from reported experiences to personal opinions, Iraqi civil servants expressed their views on the most important factors influencing current recruitment practices in their own ministry or institution. Educational attainment as well as personal skills and experience are cited by a large share (27.6 per cent and 20 per cent, respectively) of all civil servants. However, political party affiliation is cited by 20.3 per cent of civil servants, and family or friendship networks were named the principal factor by 16.3 per cent.

These perception-based data thus confirm the relative importance of family and friends as well as political party affiliation (described in the previous section) in public sector recruitment in Iraq. More specifically, family and friendship networks are cited as the most important factor in recruitment by 19.1 per cent of civil servants in Baghdad, as opposed to 17.7 per cent in the Kurdistan Region, and 14.5 per cent in the other Governorates; while political party affiliation is cited as the principal factor by 26.9 per cent of civil servants in the Kurdistan Region (about as often as educational attainment), as opposed to 14.6 per cent in Baghdad and 20.9 per cent in the other Governorates (figure 60). In addition, 5.9 per cent of civil servants in the Kurdistan Region consider tribal affiliation the most important factor (versus 1.8 per cent in Baghdad and 3.8 per cent in the other Governorates), while the payment of money is considered the principal factor for recruitment by 0.8 per cent in the Kurdistan Region Government (as opposed to 5.0 per cent in Baghdad and 6.1 per cent in the other

1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

Governorates). Other factors such as sex, ethnic or religious affiliation, are considered less important for recruitment by most respondents.

Figure 60: Percentage distribution of civil servants who named the following as the most-important factor for recruitment in their ministry or institution, by region, Iraq (2011)



Source: ICS Survey 2011

While a considerable share of civil servants consider political party affiliation, family and friendship networks the most important factor in recruitment in their own ministry, there are large variations between ministries. Among those ministries for which family and friendship networks are most often listed as the most important factors are the Ministry of Environment (40.7 per cent), the Ministry of Planning (39.3 per cent), the Ministry of Finance (33 per cent) and the Ministry of Youth and Sport (30.2 per cent) in the Federal Government and the Higher Council of Judges (26.4 per cent) and the Council of Ministers (25.4 per cent) in the Kurdistan Region Government. In contrast, political party affiliation was listed as the most important factor in recruitment by civil servants in the Ministries of Agriculture and Water Resources (44.1 per cent), Housing and Reconstruction (35.5 per cent) and Martyrs and Anfal Affairs (34.7 per cent) in the Kurdistan Region Government and the Ministries of Trade (32.6 per cent), Electricity (30.2 per cent) and Agriculture (29.9 per cent) in the Federal Government.

3.1.3. Satisfaction with recruitment policies

Data on experiences and individual perceptions reveal that some factors, such as family/community ties and political links, exercise undue influence in the recruitment and promotion of civil servants. Such findings should be analysed while taking into account the role played by traditional

structures in Iraqi society, but they certainly pose limitations on the independence and professionalism that is supposed to characterize employees in public institutions. Moreover, when civil servants are not satisfied with the recruitment policy of their own ministry, it is likely to have a negative impact on their motivation, loyalty and determination to uphold general principles of integrity in their work.

Data clearly show that a large majority of civil servants in Iraq (60.4 per cent) are not satisfied with the recruitment policy of their own ministry. There is almost no difference between men and women on that front but civil servants with higher educational attainment are less content with recruitment policies in their own ministries than those with lower educational attainment. Managers (63.3 per cent) and professional staff (64.6 per cent) are more dissatisfied than clerks (60.0 per cent) and workers (50.1 per cent). Regionally, civil servants in the Kurdistan Region Government are more unhappy about recruitment practices (64.2 per cent) than those in Baghdad (52.5 per cent) and the other Governorates (63.1 per cent). The five Governorates with the highest rates of dissatisfaction are Al-Qadisiya (75.4 per cent), Al-Anbar (72.7 per cent), Al-Najaf (69.7 per cent), Basrah (68.9 per cent) and Babil (68.5 per cent).

Among the ministries with the largest shares of civil servants expressing dissatisfaction with the recruitment policy of their own employer are the Ministries of Finance (78.6 per cent), Transport (76.7 per cent) and Trade (72.4 per cent) in the Federal Government and the Ministries of Martyrs and Anfal Affairs (81.5 per cent), Agriculture and Water Resources (73.2 per cent) and Environment (71.4 per cent) in the Kurdistan Region Government.¹

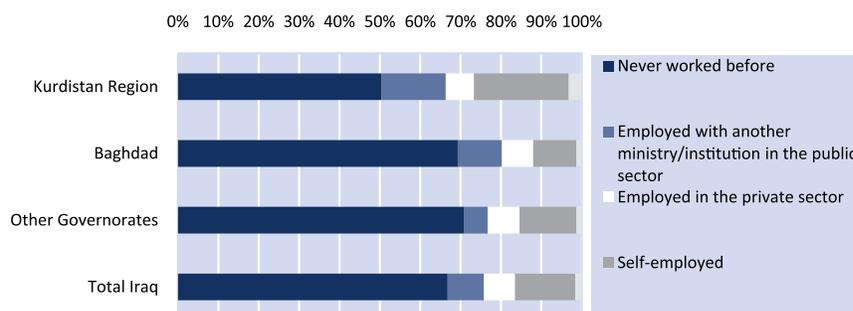
3.2. Mobility and promotion

3.2.1. Staff mobility

Insufficient staff mobility represents a potential risk factor for unethical practices and behaviour, and staff mobility in the Iraqi civil service is indeed very limited. The prevailing pattern of career development is recruitment to a starting level position directly after university graduation or when some other educational qualification has been accomplished. Across Iraq, two thirds of civil servants (66.8 per cent) had no previous job experience before joining their current ministry, 14.9 per cent were previously self-employed, while less than a tenth had experience of previous work in another ministry (9 per cent) or in the private sector (7.7 per cent). In the Kurdistan Region Government, a smaller share of public employees (50.5 per cent) than in the Federal Government (70.4 per cent) had no previous work experience, presumably due to the more recent establishment of ministries in the former (figure 61). In addition to those regional variations, there are very pronounced differences in civil servants' previous job experiences between ministries and institutions, with 85.4 per cent of employees in the Central Bank having no previous job experience, while the same is true for 23.3 per cent of employees in the CoI in the Federal Government and 23.5 per cent in the Finance Monitoring Office in the Kurdistan Region Government (both relatively recently established institutions that have hired a large share of staff with previous job experience).

1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

Figure 61: Percentage distribution of civil servants, by previous work experience and by region, Iraq (2011)



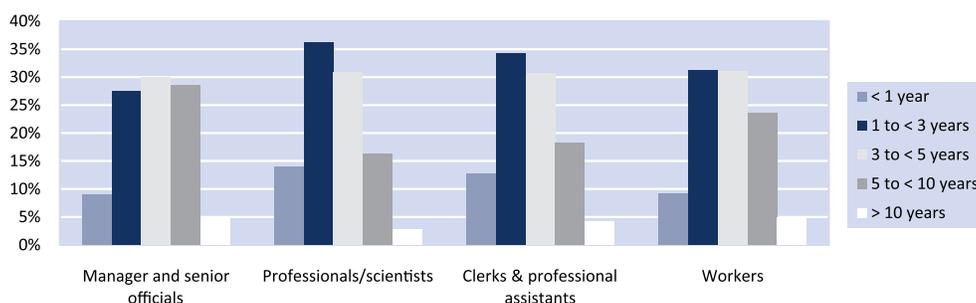
Source: ICS Survey 2011

3.2.2. Experience of promotion policies

Given the low level of staff mobility in the Iraqi civil service — where careers typically develop in the same ministry where civil servants were originally recruited — promotion is a very important aspect in the career of a civil servant. Overall, more than three quarters (77.6 per cent) of all civil servants in Iraq obtained their current grade through promotion, while 15.3 per cent are still at the grade they obtained when recruited externally and 3.3 per cent reached their current grade by changing jobs within the organization. And while civil servants at lower grades (grades 7 to 10) are often newly appointed staff, higher positions are mostly obtained through internal promotion. The higher the position in the administration, the more closed the system becomes to outsiders: less than 2 per cent of employees at grades 4 and 5, and less than 1 per cent of employees at grades 1 to 3, the three highest grades, were external recruits — a pattern that is the same in all regions of Iraq.

Most Iraqi civil servants work in their current grade for one to five years before being promoted to a higher grade (see figure 62). On average, civil servants have been in their current grade for 3.5 years, with managers and senior officials (4.3 years) and workers (4.2 years) staying longer in their current grade than either professionals/scientists (3.1 years) or clerks and professional assistants (3.4 years).

Figure 62: Percentage distribution of time period in current grade, by occupational category of civil servants, Iraq (2011)



Source: ICS Survey 2011

3.2.3. Perception of promotion policies

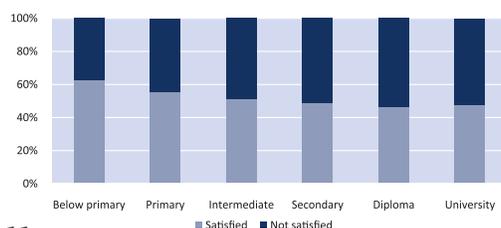
Given the vital importance of promotion in the career path of civil servants in Iraq, it is important that the system of promotion is considered equitable and fair by all employees and is seen to be based on merit rather than patronage and preferential treatment. Almost two thirds of public employees see personal skills and experience (32.3 per cent) or educational attainment (30.6 per cent) as the most important factor in promotion. However, just as in the perception of recruitment, a significant share of civil servants (13.3 per cent) see political party affiliation or family and friendship networks (11.7 per cent) as the single most important factor in promotion. Regionally, family and friendship networks are again cited more frequently in Baghdad (15 per cent) than in the Kurdistan Region (11.6 per cent) and the other Governorates (10.1 per cent), while political party affiliation is cited more often in the Kurdistan Region (21.4 per cent) than in Baghdad (8.9 per cent) and the other Governorates (12.9 per cent).

Among those ministries in which family and friendship networks are listed most often as the most important factor in promotion were the Ministry of Youth and Sport (28.8 per cent), Ministry of Planning (28.1 per cent) and Ministry of Environment (25.6 per cent) in the Federal Government and the Ministry of Martyrs and Anfal Affairs (16.1 per cent) and Ministry of Agriculture and Water Resources (15.2 per cent) in the Kurdistan Region Government. Interestingly, political party affiliation was also listed most often by employees of the Ministries of Martyrs and Anfal Affairs (34.8 per cent) and Agriculture and Water Resources (37.9 per cent) in the Kurdistan Region Government, as well as by the Ministries of Trade (24.5 per cent), Agriculture (21.5 per cent) and the Council of Ministers (19.8 per cent) in the Federal Government.

3.2.4. Satisfaction with promotion policies

Less than half (49 per cent) of all civil servants in Iraq seem satisfied with the promotion and pay rise structure in their ministry, while the other half do not (51 per cent). There are hardly any differences in satisfaction with promotion policies between male and female civil servants and between age groups, but satisfaction does decrease with increasing educational attainment. As higher educational attainment is linked to the professional categories and also to senior staff grades, satisfaction with the promotion and pay rise structure in the civil service of Iraq is actually higher among workers and lower grades than among managers, professionals and scientists in senior grades (figure 63).

Figure 63: Percentage distribution of civil servants satisfied with the implementation of the promotion and pay rise structure in their ministry, by educational attainment, Iraq (2011)



Source: ICS Survey 2011

Further distinctions can be made on a regional basis. In Baghdad, satisfaction with promotion and pay rise structures is significantly greater (56 per cent) than in the other Governorates (48 per cent) and in the Kurdistan Region (43 per cent), but satisfaction varies even more by ministry. In the Federal Government, for example, 90 per cent of civil servants in the Ministry of Foreign Affairs but less than 30 per cent of employees of the Ministry of Labour and Social Affairs say that they are satisfied with their promotion and pay rise structure. In the Kurdistan Region Government, 65 per cent of employees in the Ministry of Endowments and Religious Affairs, but less than 31 per cent in the Ministry of Martyrs and Anfal Affairs, are satisfied.¹

3.3. Monitoring and control

As stated in the introduction to this chapter, standards, rules and procedures are important for upholding both the individual and organizational integrity of public institutions. To verify whether existing procedures are adhered to, to detect any irregularities and weaknesses in the system and to initiate corrective action, a strong and effective monitoring system is required. Moreover, internal or external monitoring systems can also provide valuable information for assessing staff performance, keeping track of expenditure and making internal procedures more transparent.

More than two thirds of all civil servants in Iraq state that their department was monitored by an internal or external government representative in the preceding 12 months at least once and some have been monitored more than once. Of those who have been monitored, 76 per cent name a unit inside their ministry as carrying out monitoring, 40 per cent name the inspector general's office and 23 per cent report monitoring by a unit external to their ministry. Regarding internal control activities, 42 per cent of civil servants declare that they have a system for monitoring the quality of services, such as internal evaluation, independent audit or feedback from service users, in place. There are great variations in the implementation of monitoring systems by region and ministries: in general, monitoring systems are less frequently established in the Kurdistan Region.

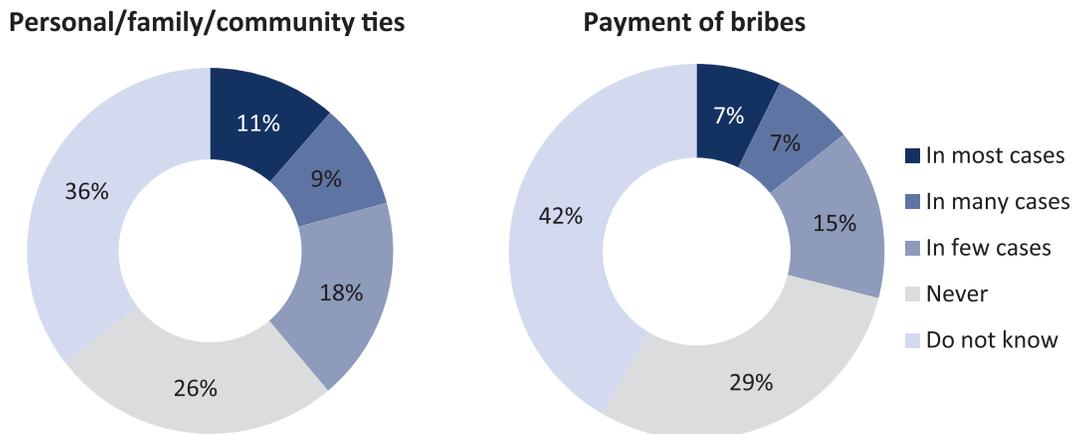
In some ministries only a minority of staff report the existence of a monitoring system. For example, in the Ministry of Transport (23.6 per cent), the Central Bank (27.5 per cent) and the Ministry of Science and Technology (28.9 per cent) in the Federal Government, and in the Higher Council of Judges (21.4 per cent), the Ministry of Environment (22.5 per cent) and the Ministry of Human Rights (23.5 per cent) in the Kurdistan Region.²

However, the implementation of such systems is not the only crucial factor. The key questions are how well monitoring systems function once in place and if they actually contribute to the integrity of an institution. While many civil servants have no opinion about the efficiency of monitoring systems in their workplace, some 11 per cent suggest that monitoring is, in most cases, influenced by personal, family or community ties and 7 per cent suggest that monitoring is, in most cases, influenced by the payment of bribes (figure 64).

1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

2- See also the Fact Sheets on ministries/institutions in the Annex of this report.

Figure 64: Percentage distribution of civil servants perceiving internal audit procedures, inspections and investigations to be influenced by:



Source: ICS Survey 2011

Monitoring and supervising need to function on an institutional level to facilitate integrity, work norms and good conduct. In addition, on a personal level, supervision, team leadership and management skills are decisive factors in the creation of an enabling work environment. On average, 85 per cent of civil servants are satisfied with their direct supervisor, a large majority of civil servants (73 per cent) have regular staff meetings with their supervisor and colleagues, two thirds have agreed upon a written work plan with their supervisor and 62 per cent are subject to regular formal performance assessments.

Another prerequisite for a fair work environment is transparent recording of working hours, which is a practice widely implemented by public institutions: only 6 per cent of Iraqi civil servants have no official time and attendance system in their office. However, there are significant regional differences, with a higher proportion of civil servants in the Kurdistan Region (14 per cent) working in offices without timekeeping systems than in Baghdad (3 per cent) and the other Governorates (5 per cent).

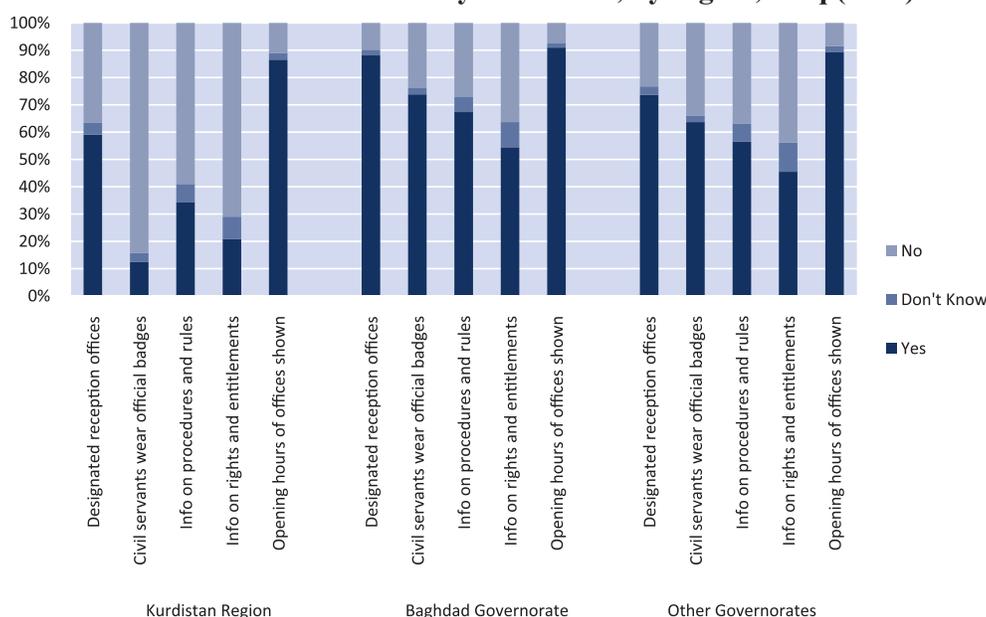
While a large majority of civil servants monitor their time and attendance through manual systems on paper (70.4 per cent), almost a quarter (23.3 per cent) make use of an automated electronic system. Some ministries in the Federal Government have already introduced such systems for almost all of their employees, while others have systems that cover only part of their staff. For example, while in the Ministry of Foreign Affairs (96 per cent) and the Council of Ministers (93 per cent) virtually every civil servant uses an automated electronic time and attendance system, in the Ministry of Justice 41 per cent of civil servants compile their time and attendance sheets manually on paper and 2 per cent have no system at all. In the Ministry of Transport, 8 per cent of civil servants do not record their attendance at all, while almost 51 per cent depend on a designated time-keeper.

3.4. Transparency measures

A number of transparency measures, such as posting written documentation, wearing official badges, having designated reception offices or clearly displaying opening hours, are important indicators of the openness of civil service offices to the public. Therefore, the actual implementation of such measures can provide an indication about the accessibility and transparency of services in different public institutions. In general, such transparency measures, with the exception of clearly displaying opening hours, are more widespread in Federal Government institutions than in those in the Kurdistan Region Government (figure 65). On average, however, the implementation of transparency measures is still incomplete.

While the vast majority of civil servants in Iraq assert that opening hours are usually made public (89 per cent) in their own offices, 40 per cent state that staff in their ministries do not wear official badges when dealing with members of the public. Other areas where improvement is needed refer to the communication of existing rules and procedures to service users, as well as information about their entitlements and rights. Over 38 per cent of civil servants state that written documentation (posters or brochures) on rules and procedures to be followed by service users is not generally provided in their ministries, while 46 per cent declare that written documentation on the rights and entitlements of citizens is not generally provided. As with other transparency measures, some ministries and institutions perform better than others.¹

Figure 65: Percentage distribution of civil servants perceiving transparency measures to be common in their ministry/institution, by region, Iraq (2011)



Source: ICS Survey 2011

1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

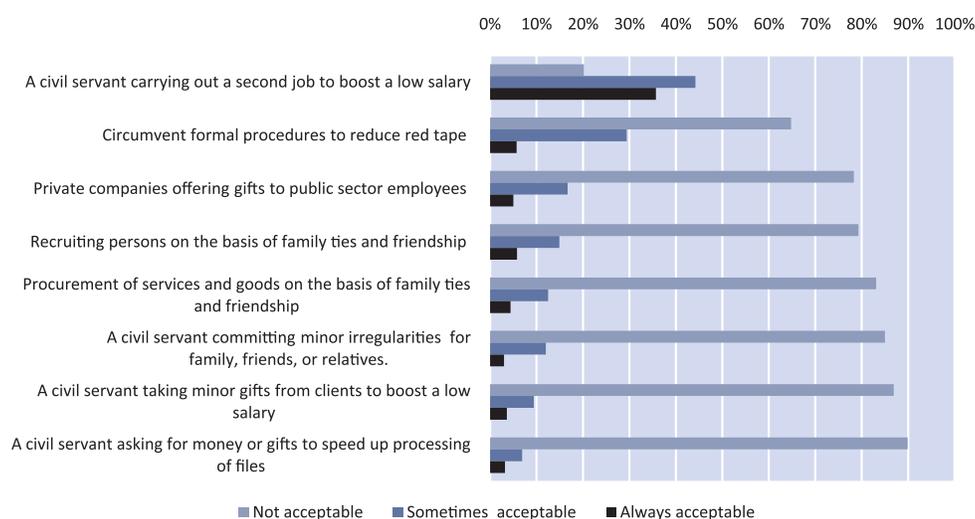
On a positive note, civil servants also state that there are ways for citizens to communicate their dissatisfaction about public services: almost 60 per cent of all civil servants in Iraq report that there is a formal channel in their workplace for filing complaints by citizens and when complaints are filed, they are usually processed and adequately followed-up.¹

3.5. Integrity awareness of civil servants

Asked for their personal opinion about certain dishonest practices, a large majority of civil servants regard dishonest behaviours as unacceptable (figure 66). Some 90 per cent state that it is unacceptable for a civil servant to ask for money or gifts in order to speed up the processing of documents, 87 per cent say that taking minor gifts from service users is unacceptable and 85 per cent say that it is unacceptable for a civil servant to commit minor irregularities for family, friends or relatives. However, when considered from the opposite perspective there is still a sizeable minority of civil servants (10-15 per cent in the above examples) who do consider such behaviour acceptable.

Civil servants’ attitudes are less clear-cut with regard to other practices. For example, almost 21 per cent of civil servants consider recruiting staff on the basis of family ties and friendship as acceptable (14.9 per cent “sometimes acceptable” and 5.8 per cent “always acceptable”), while about 22 per cent consider private companies offering gifts to public sector employees and 35 per cent consider circumventing formal procedures to reduce red tape “acceptable”. Moreover, 80 per cent consider it acceptable for a civil servant to have a second job in order to top up a low salary, while around 20 per cent consider it unacceptable.

Figure 66: Percentage distribution of civil servants, according to acceptability of selected practices, Iraq (2011)



Source: ICS Survey 2011

1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

The attitudes of civil servants to the behaviour mentioned above are fairly similar in the three regions of Iraq, but there are notable differences in attitudes between different ministries and there are some institutions with lower levels of integrity awareness. For example, against a national average of 10 per cent, 27.7 per cent of employees in the Ministry of Higher Education and 21 per cent of employees in the Mayoralty of Baghdad in the Federal Government consider it acceptable for a civil servant to ask for money or gifts to speed up the processing of documents. Similarly, in the Kurdistan Region Government, 24.6 per cent of employees in the Ministry of Human Rights, 24.1 per cent in the Ministry of Health and 22.8 per cent in the Ministry of Education consider that practice acceptable.

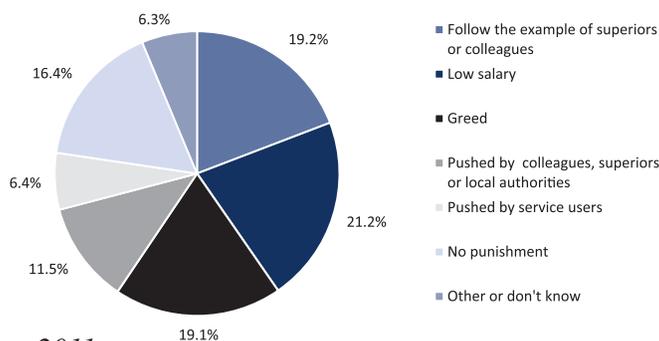
Further analysis of data on attitudes towards integrity issues shows that the acceptability of certain corrupt practices is quite similar across both sexes, as it is by grades or the educational level of civil servants, but the data also indicate that managers and professional staff are more likely to reject corrupt practices than clerks and workers.

When comparing data on reported opinions with data on reported practices, a clear inconsistency between reported beliefs and actual behaviours sometimes appears. For example, 68 per cent of those civil servants who received help from family members or friends during recruitment state that the recruitment of public officials on the basis of family ties and friendship is unacceptable. Such discrepancies in attitudes and behaviour are a common finding when dealing with opinions about illegal practices.

It is significant that most civil servants are aware that certain behaviour is contrary to regulations, yet civil servants are not fully aware of the whole range of practices that breach integrity standards. Also, civil servants may have higher expectations and ideals regarding their official positions than they are actually prepared to live up to in practice.

When it is not sufficiently clear which practices are admissible and which are not, civil servants may, under the influence of others, fall into the corruption trap. When asked what they consider to be the three principal factors that make public officials behave in a corrupt manner, 40 per cent of Iraqi civil servants cite economic reasons (low salaries or greed), while more than 30 per cent justify corruption as being a “common practice”: some passively follow the bad example of superiors/colleagues, while others can be pushed into corrupt practices by other colleagues or superiors (figure 67). When integrity watchdogs are not sufficiently strong, individuals offer weaker resistance to certain practices, especially when their dishonest nature is not apparent or when they are considered to be “business as usual”.

Figure 67: Percentage distribution of the assessment of civil servants on motivating factors leading to corrupt behaviour in their own ministries, Iraq (2011)

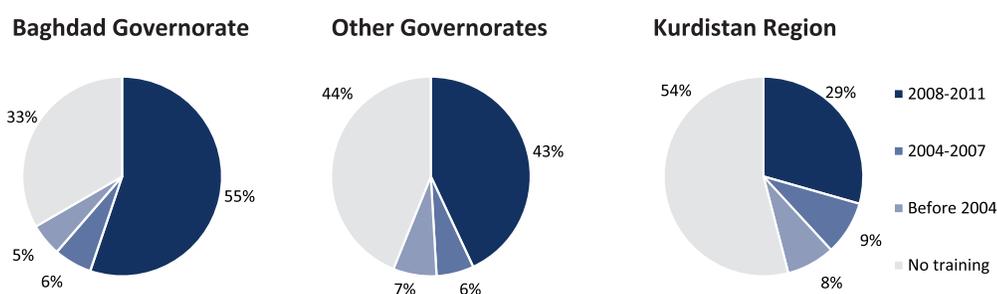


Source: ICS Survey 2011

3.6. Training

Staff training and continuous learning is not only crucial for upgrading professional skills, increasing work efficiency and developing personnel in the broader sense, but also for increasing awareness of the importance of implementing certain standards of conduct. Across Iraq, less than 60 per cent of current staff have been offered at least one work-related training course, which means that a large percentage of employees (42.8 per cent) have never attended a training course on any subject. There are clear regional differences in the availability of training courses, as two thirds of civil servants in Baghdad have been given some kind of training course during the course of their work, while that is true for less than half of civil servants in the Kurdistan Region and 56.1 per cent of civil servants in the other Governorates. Important investments have been made on training courses for civil servants in recent years: since 2008, 55.2 per cent of civil servants in Baghdad, 43 per cent of civil servants in the other Governorates and 29.4 per cent of civil servants in the Kurdistan Region have been given at least one training course (figure 68).¹

Figure 68: Percentage distribution of civil servants who have attended a work-related training course, by region and period of the last training course, Iraq (2011)



Source: ICS Survey 2011

Among those who have attended at least one training course, more than half (52.6 per cent) have attended one on substantive/technical matters related to their job, 20.8 per cent on management/

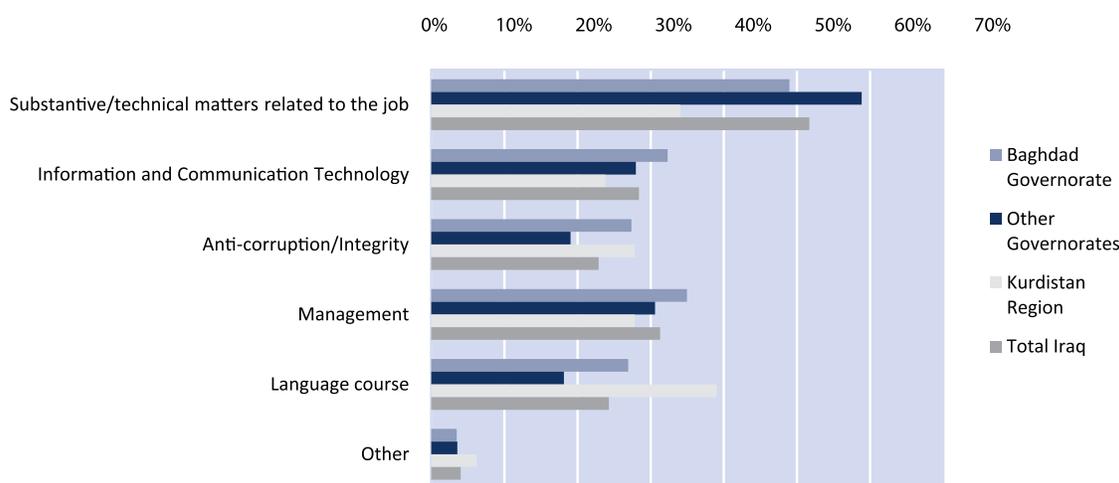
1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

supervision, 16.5 per cent on information and communication technology, and 6.0 per cent have attended a language course.¹ A substantial share of those did so abroad (30.6 per cent of civil servants from Baghdad, 12 per cent from the other Governorates and 14.3 per cent from the Kurdistan Region).

Out of all civil servants in Iraq, while 6.7 per cent have actually attended a training course on integrity or anti-corruption issues (9.9 per cent in Baghdad, 6.2 per cent in the other Governorates and 3.4 per cent in the Kurdistan Region), several ministries have almost negligible shares of employees who have done so. For example, the Ministries of Transport and Communications (1.0 per cent) and Housing and Reconstruction (1.2 per cent) in the Kurdistan Region Government and the Ministries of Foreign Affairs (2.7 per cent) and Water Resources (3.0 per cent) in the Federal Government.²

Given that many civil servants have never attended a work-related training course and others may only have had the opportunity to do so years ago, there is a widespread desire among civil servants for more information and training to be provided by their employer. When asked what subject they would like to receive more information or training about, more than half (51.7 per cent) of civil servants mention training in substantive or technical matters related to their work, less than a third cite management (31.3 per cent) and information and communication technology courses (28.4 per cent) and about a quarter (24.3 per cent) list languages.

Figure 69: Percentage of civil servants who would like to receive more training on selected aspects of their work, by training topic and region, Iraq (2011)



Source: ICS Survey 2011

Almost a quarter (22.9 per cent) of civil servants state that they would like to learn more about anti-corruption and integrity in their work (27.4 per cent in Baghdad and 27.8 per cent in the Kurdistan Region, versus 19 per cent in the other Governorates), which is in stark contrast to the marginal share

1- Totals will add up to over 100 per cent, as respondents could choose multiple answers, if applicable.

2- See also the Fact Sheets on ministries/institutions in the Annex of this report.

of 6.7 per cent of all civil servants who have ever had the opportunity to participate in such training.¹ Overall, staff development appears to be an area for which further investment is needed and, as part of this effort, integrity-related subjects should receive greater attention.

3.7. Job Satisfaction

3.7.1. Current job satisfaction

How civil servants evaluate their working conditions, work relationships, salary and several other workplace aspects can have an impact on dishonest practices, with lack of job satisfaction or frustration representing particular risk factors for corruption. In this context, it is notable that the overwhelming majority (87 per cent) of civil servants state that they are “very” or “somewhat” satisfied with their current job, while slightly more than 6 per cent declare that they are “very” or “somewhat” dissatisfied.

Obtaining employment in the civil service is a highly coveted goal in Iraq. When asked about their main motivation for working in the public sector, one third of civil servants say that they like to serve the public, closely followed by another 30 per cent who acknowledge job security as their most important reason. Other frequently mentioned factors are access to pension benefits (19 per cent), and limited opportunities outside the civil service (9 per cent). Once inside the civil service, the vast majority of employees are proud to be a civil servant, although substantial differences in endorsement exist between ministries. For example, in the Federal Government, over 94 per cent of employees of the Ministry of Foreign Affairs state that they are proud to be civil servants against around 59 per cent in the Ministry of Science and Technology while in the Kurdistan Region Government, around 85 per cent of staff in the Ministry for Endowment & Religious Affairs against some 60 per cent in the Ministry for Environment state that they are proud to be civil servants.

3.7.2. Salary satisfaction

When asked directly about salary satisfaction, the majority of civil servants in Iraq indicate that they are — at least to some extent — satisfied, though a large minority of 41 per cent do not agree and voice their dissatisfaction. Salary satisfaction increases with grade and educational attainment and is higher for managers (68.9 per cent) than for professionals/scientists (60.3 per cent) and clerks (58.6 per cent), and is lowest for workers (51.7 per cent).

Measured by institution, the lowest levels of salary satisfaction are reported by the Ministry of Labour (10 per cent), the Ministry of Finance (11 per cent) and the Central Bank (13 per cent) in the Federal Government and by the Ministry of Labour (13 per cent), the Ministry of Environment (10 per cent), and the Ministry of Culture and Youth (11 per cent) in the Kurdistan Region.²

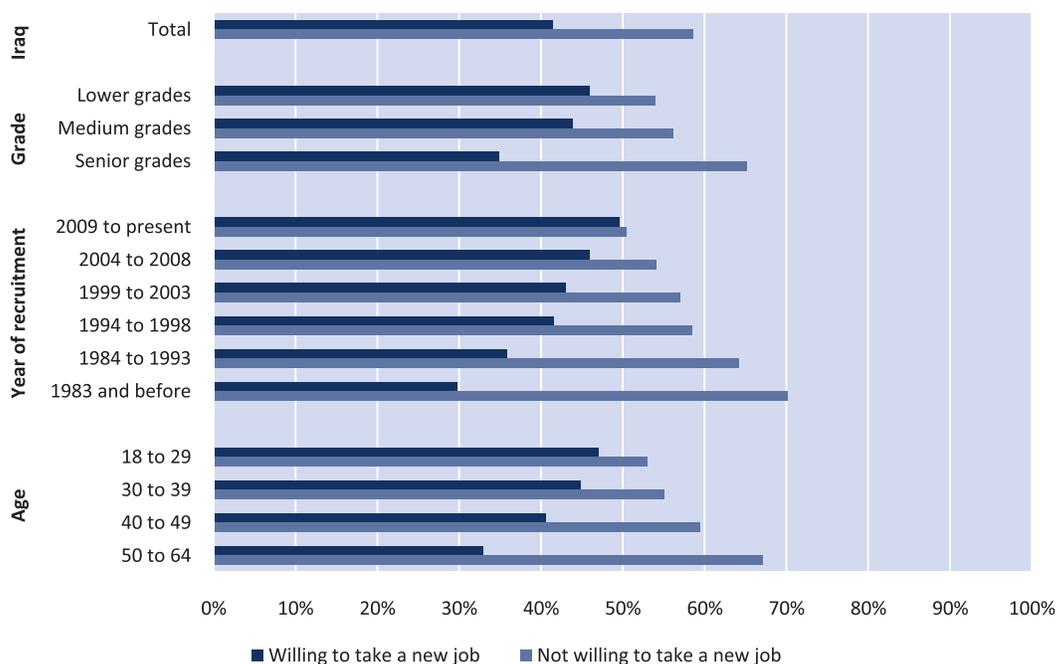
Against this background, it is not surprising that a significant share of civil servants in Iraq is interested in and open to considering other job opportunities. When asked if they would consider a job

1- Totals will add up to over 100 per cent, as respondents could choose multiple answers, if applicable.

2- See also the Fact Sheets on ministries/institutions in the Annex of this report.

change in the following six months, if given the opportunity, 41 per cent say that they would. Such openness to change is higher for lower grades, younger employees and those hired more recently than for long-serving staff (figure 70).

Figure 70: Percentage of civil servants willing to change job, according to grade, year of recruitment and age, Iraq (2011)



Source: ICS Survey 2011

Consistent with the findings about the reasons for current job dissatisfaction, the main reasons for considering a career change are higher salary (58 per cent), followed by better career prospects (24 per cent). Other factors, such as better working environment (7 per cent), fewer risks and dangers (4 per cent), a more interesting job (4 per cent) and better working hours (3 per cent) are not considered relevant by most civil servants in Iraq.

Dissatisfaction with current salary may be based on perceptions of salaries in other ministries. When asked to compare their salary with those associated with similar positions in other ministries or in the private sector, more than two thirds of civil servants believe that a fair salary would be higher than their current one. One third would claim a moderate increase (20 to 50 per cent), while another third would ask for a more substantial pay rise (more than 50 per cent).

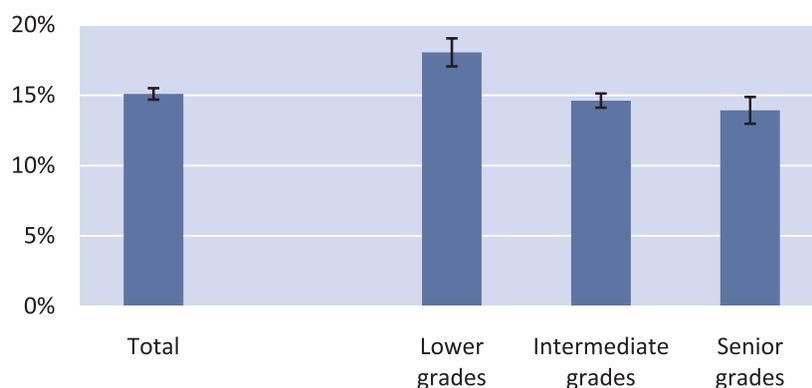
More realistically, and as a yardstick for the assessment of their own salary, when asked if their salary is sufficient for supporting their household more than half of civil servants in Iraq state that it is not. Differences between sociodemographic groups show the same pattern and in some cases it is

even more pronounced. For example, 72 per cent of civil servants in the lower grades say that they cannot live off their salary, while more than 60 per cent of civil servants with intermediary education and below also state that their salary is insufficient. A difference also exists between men and women: almost 50 per cent of male civil servants think their salary is insufficient (49.8 per cent) while 56.8 per cent of female civil servants feel the same way.¹

In summary, a significant share of civil servants are not completely satisfied with their salary and struggles to make a living from their civil service job. That may explain why 15 per cent of civil servants in Iraq report earnings from an activity additional to their usual employment: while the share of those with an additional job is 10.2 per cent among officials who state that their salary is sufficient for supporting their household, the percentage rises to 18 per cent among those who state that it is not.

The occurrence of a second job varies by region and between civil servants with different socioeconomic characteristics. For example, in the Kurdistan Region a quarter of all civil servants have a second job, while in Baghdad Governorate (12 per cent) and the other Governorates (13 per cent) the share is smaller. The variation is even larger between ministries: from 2 per cent in the Ministry of Foreign Affairs in the Federal Government up to 38 per cent in the Ministry of Health in the Kurdistan Region. However, the most noticeable disparity is between men and women, with 21 per cent of all male civil servants earning extra money, while only 5 per cent of all female civil servants report having a second job. Similarly to those groups of civil servants who are less satisfied with their salary and to those struggling to support their household, civil servants at lower grades more often work in a second job than those at senior grades (figure 71).

Figure 71: Percentage of civil servants with an additional job, by grade, Iraq (2011)



Source: ICS Survey 2011

Among those earning an additional income, 38 per cent report earning small amounts (less than 20 per cent of their salary), but in other cases such earnings can be a substantial addition to a civil service salary: to 14 per cent of civil servants with an extra income the additional salary represents more than 50 per cent of their normal income.

1- See also the Fact Sheets on ministries/institutions in the Annex of this report.

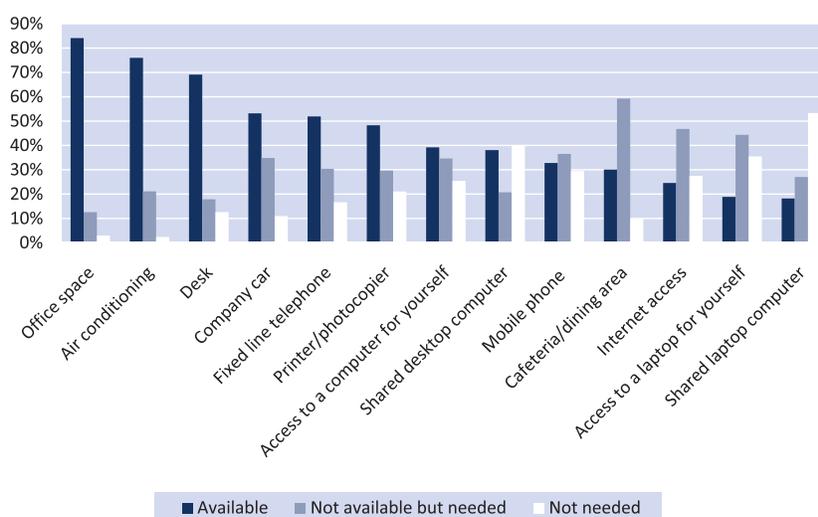
An additional job can be a strategy for remedying a low salary, and is deemed acceptable by 80 per cent of all civil servants in Iraq. For most civil servants, additional employment can be clearly characterized as a purely economic supplement to a low salary rather than as a second professional engagement based on their area of specialization. In fact, in only a third of cases of civil servants with a second job is it in the same professional field as their civil service job.

3.8. Working conditions

On the whole, 54 per cent of civil servants in Iraq are satisfied with the office equipment and with facilities provided by their ministry, though satisfaction with office equipment is higher in Baghdad (61 per cent) than in the Kurdistan Region (57 per cent) and the other Governorates (49 per cent). Disconcertingly, the three ministries with the lowest levels of satisfaction with their office equipment are the Ministries of Education, Justice and Finance in the Federal Government and the Ministries of Electricity, Justice and Education in the Kurdistan Region.

The vast majority of civil servants get sufficient office space from their employer (84 per cent) while 13 per cent lack office space in order to do their job properly. Air conditioning (76 per cent) and desks (69 per cent) are also supplied to most civil servants, whereas almost 60 per cent of civil servants lack a cafeteria or dining area at their workplace. Technical equipment such as mobile phones (37 per cent), access to desktop computers (35 per cent) and access to laptop computers (44 per cent) as well as internet access (47 per cent) are also high on the wish list of a substantial share of civil servants in Iraq. The latter two in particular are still rarely found in public institutions, with slightly less than a quarter of all civil servants in Iraq having internet access in the office, whereas almost 50 per cent of those without internet access declare that they need it.

Figure 72: Percentage distribution of civil servants' access to equipment and facilities, needed or not needed, Iraq (2011)



Source: ICS Survey 2011

Chapter 4

Concluding Remarks

4. Concluding remarks

If corruption is a disease, as in medical science and practice, all related interventions and therapies need to be based on scientific knowledge and valid diagnostics. This is one of the key points effectively highlighted in the first Iraq National Anti-Corruption Strategy¹ (IACS), launched by the Government of Iraq in 2010, in which it says that the fight against corruption should be based on concrete evidence relating to the public sector work environment and an examination of the strengths and weaknesses of the civil service in Iraq.

Methodologically sound assessments of vulnerabilities to corruption, the integrity of the public sector and the criminal justice response to corruption can be seen as pre-requisites for planning policy interventions and the subsequent monitoring of their implementation and impact. The development of technical skills and establishing appropriate institutional mechanisms for conducting such studies should be part of a comprehensive, sustainable and evidence-based strategy for fighting corruption.

The IACS contains a comprehensive catalogue of measures² in line with overall administrative reform strategy, which include: the further development of laws and legal procedures required for strengthening the rule of law; a reform of the civil service through streamlining and rationalizing administrative procedures; enhancing and developing a culture of transparency, impartiality and responsibility; raising public anti-corruption awareness; enhancing the role of anti-corruption bodies and promoting citizens' confidence in them; and strengthening control, inspection and internal supervision procedures.

This study makes clear that the implementation of such a comprehensive anti-corruption strategy requires tools and measures at many different levels. The sheer size and varied composition of the public sector of Iraq means that general policies need to be accompanied by sector-specific provisions and measures tailored to the concrete institutional context of public service. The points that follow outline some general implications of the findings presented in this study.

Targeted prevention measures

A number of sectors that are particularly vulnerable to corruption have been identified. Furthermore, data indicate that specific factors exist within each sector that make some civil servants more vulnerable to corruption than others. This means that existing procedures need to be carefully analysed in order to develop targeted preventive measures for the most vulnerable sectors, positions and functions. For example, an important indicator of civil servants' vulnerability to corruption is their exposure to contacts with citizens and private enterprises. Practical arrangements, such as the sharing of more vulnerable duties among civil servants, can deter bribe offers and requests to officials who are frequently exposed to external service users and providers. From another perspective,

1- The Government of Iraq, The National Anti-Corruption Strategy 2010-2014, Baghdad, March 2010, available at: <http://nezaha.org>.

2- Jointly with the IACS, a Detailed Action Plan was developed to fight corruption through a number of suggested administrative measures.

it emerges that positions with managerial functions are more vulnerable to bribery and other corrupt practices, thus mechanisms should be put in place to increase transparency and accountability associated with such positions.

The analysis conducted indicate that tasks more vulnerable to bribery tend to be concentrated in a limited number of positions within the structure of each ministry or institution. This means that concerted efforts to limit the vulnerability to bribery for those responsible of certain functions could produce dramatic results in the fight against corruption.

Transparency measures

The experience of civil servants in Iraqi ministries shows that transparency is often lacking in certain key procedures, such as promotion and recruitment, and that informal networks are gaining importance in the search for jobs and in influencing staff selection. Data suggest that some factors, such as family/group ties and political links, exercise undue influence in the recruitment and promotion of civil servants. Such links pose limitations on the independence and professionalism that should characterize employees in the public administration. Better publicity and formalization of procedures can provide important means for increasing the transparency of such processes.

In situations in which it is permissible for civil servants to have a second job, a transparent system is required for avoiding any possible conflict between public and private interests.¹ Transparency measures are also needed for improving citizens' access to information and to ensure a correct and proper relationship between civil servants and service users. Administrative procedures should be well publicized and access to information should be regulated in a transparent manner.

Staff management and development

Poor staff mobility can be a potential risk factor for misconduct in the civil service. Consideration should be given to how measures that facilitate and encourage staff mobility could be used for preventing misconduct, without reducing the capacity of the civil service to carry out technical functions that require skilled staff.

Staff training is another area for improvement. Although civil servants in Iraq are, in general, highly educated, continuous learning and the upgrading of professional skills are important, not only for staff development but also for fighting corruption and raising awareness. A large percentage of employees have never attended a work-related training course, and anti-corruption or integrity issues are rarely dealt with in training activities.

Staff satisfaction is important for maintaining job motivation and upholding high standards of integrity. When civil servants are underpaid or unmotivated, they are less likely to resist improper temptations and to perform as well as they should in their positions. While civil servants in Iraq ex-

1- Among other measures to strengthen the public sector, UNCAC article 7 explicitly mentions in paragraph 4 that each State Party shall "adopt, maintain and strengthen systems that promote transparency and prevent conflicts of interest".

press a good degree of job satisfaction, the same cannot be said of their salary and other factors that influence their working conditions, such as office equipment and facilities. A comprehensive staff development policy should balance staff interests concerning good working conditions and a fair salary with the public interest regarding cost-effective and efficient services to citizens.

Reporting corruption

Creating effective and protected channels for reporting acts of actual or attempted corruption is a crucial step in the fight against corruption. The data clearly show that only a minority of those who pay or are offered bribes report such incidents to external authorities, while most do not report them at all. To remedy that, measures need to be taken to raise the profile of anti-corruption authorities and make them more easily approachable to report episodes of corruption, as well as to protect “whistle-blowers”, which is particularly important for employees who can be easily identified by their corrupt colleagues. In Iraq, fear of physical harm or retaliation against family members too often deters civil servants from reporting cases of corruption.¹

The criminal justice response to corruption

This report shows that over the past few years there have been substantial increases in the number of corruption cases reported to the CoI and even steeper increases in the number of cases investigated, the number of persons referred to court and the number of those convicted. The data demonstrate that the share of persons convicted for corruption offences out of all those investigated for corruption offences grew from 3.1 per cent in 2009 to 10.9 per cent in 2011, which suggests that investigation procedures at the CoI have become progressively more effective by producing a better quality evidence base, which has led to both a higher ratio of persons referred to court and to a higher ratio of defendants to be convicted.

These overall trends in the capacity of the authorities to investigate and to adjudicate cases of corruption have to be qualified by three observations emerging from the criminal justice data. Firstly, only one tenth of all cases investigated by the CoI and adjudicated by the courts concern bribery and embezzlement cases (which are clear corruption crimes defined in the United Nations Convention against Corruption), while the bulk of cases concern other types of misconduct (such as “exceeding authority” or “falsification of academic certificates”). Secondly, only about one tenth of all cases investigated by the CoI leads to a conviction, indicating that investigative actions can gain in efficiency. Thirdly, it is notable that even among those convicted in court of a corruption offence, roughly half did not actually have their sentence imposed, either because they were not present in court or because it was suspended. Taking these findings as its point of departure, an investigation should be carried out as the basis for further measures for safeguarding the integrity of the criminal justice system in Iraq.

1- Reporting of corruption and protection of witnesses represent cornerstones in the fight against corruption and various articles of the United Nations Convention against Corruption (UNCAC) deal with these issues (articles 8, 13 and 33).

Criminal justice data thus indicate both substantial progress in the fight against corruption in Iraq as well as further areas for improvement. A more effective criminal justice response to corruption will reinforce a virtuous circle of increasing integrity, whereby the effective investigation and sanctioning of corruption at all levels will lead to greater confidence, both among the public and civil servants, and generate better awareness and improved reporting of corruptive practices, in turn leading to a larger share of corruption cases being effectively sanctioned. Once that is achieved, corruption will be seen as a high-risk activity, which in itself will act as an effective prevention measure.

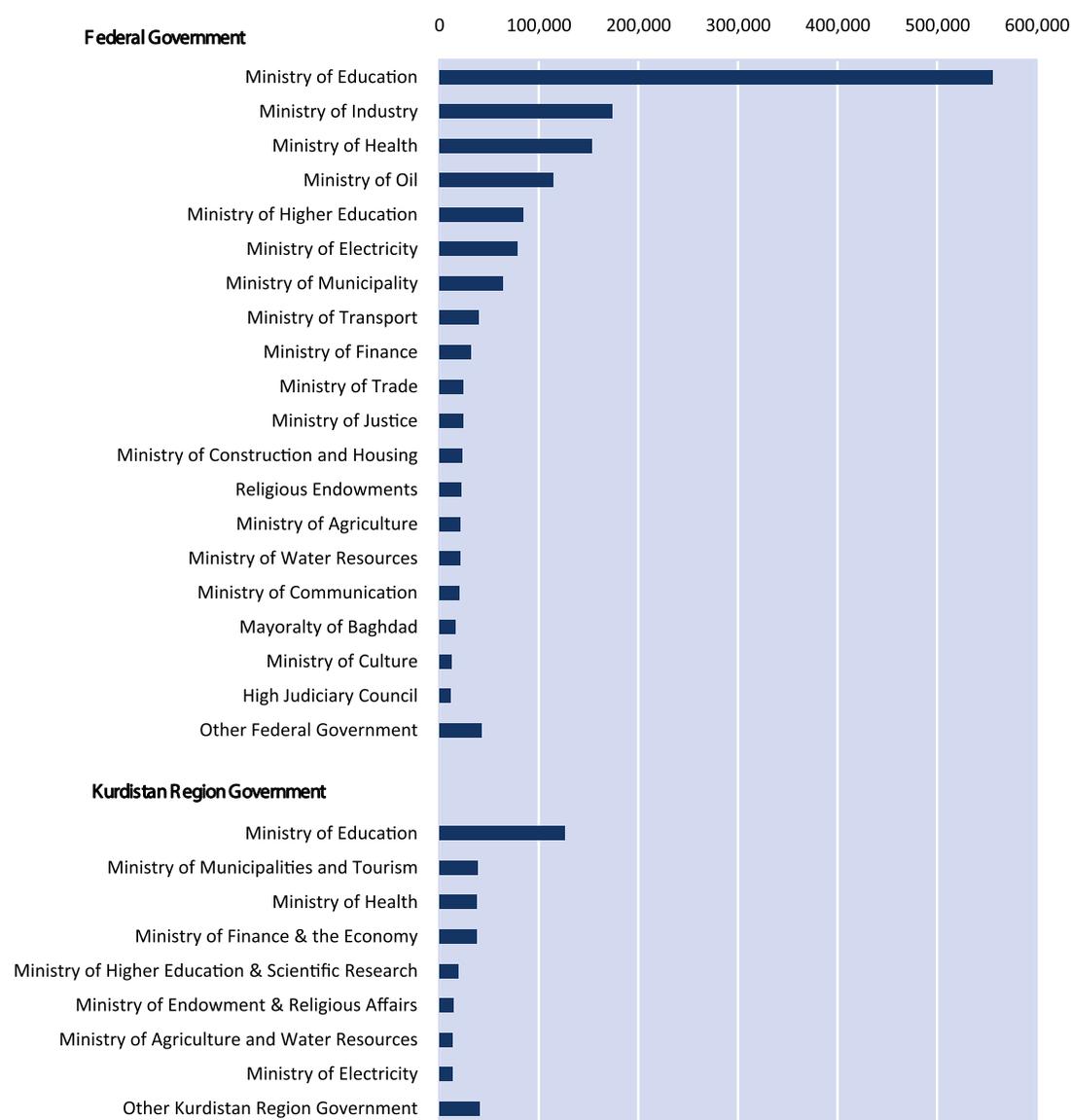
Chapter 5

**Annex I: The Civil
Servants of Iraq**

5. Annex I: The civil servants of Iraq

In Iraq, a sizable share of the labour force works in the public sector: 43.5 per cent of people in active employment are civil servants employed by the Government at the local, provincial or national level.¹ In the various branches of government covered by this study— thus excluding the military and the police — 1,830,000 civil servants are employed. By far the largest public employers are the Ministries of Education in both the Federal Government and in the Kurdistan Region Government, which account for 555,000 and 126,000 civil servants, respectively.²

Figure 73: Number of civil servants in ministries and institutions of Iraq (2011)



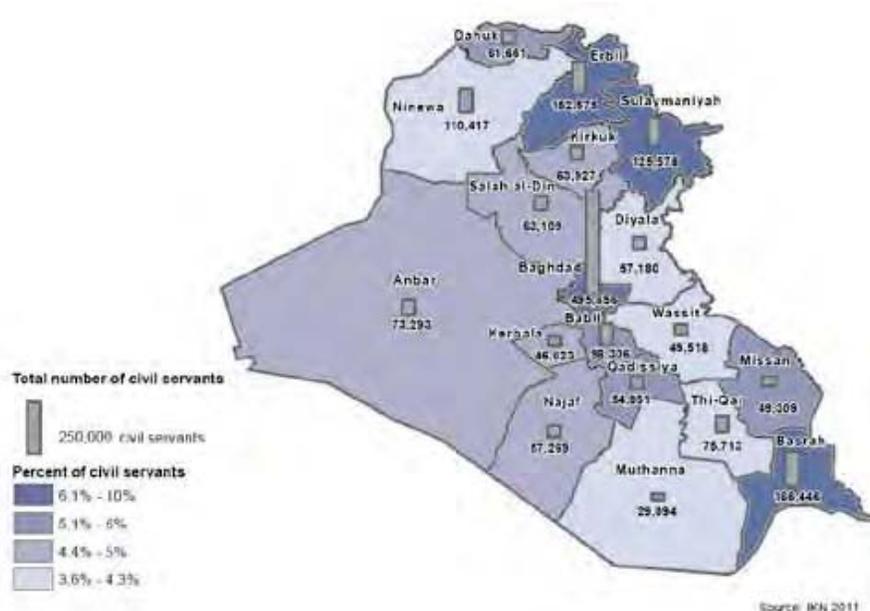
1- Iraqi Knowledge Network (IKN), Population Survey 2011.

2- Central Statistical Office of Iraq, Tabulation of Civil Servants in the Ministries 2008, Baghdad 2011.

Other Ministries with a large number of civil servants are those of Industry, Health and Oil in the Federal Government and the Ministries of Municipalities and Tourism, Health and Finance and the Economy in the Kurdistan Region Government (see figure 73 and the Fact Sheets on all ministries in the Annex).

Regionally, as to be expected, there is a concentration of civil servants (excluding the military and the police) in the capital city. Thus Baghdad Governorate,¹ which accounts for 21.1 per cent of the population of Iraq, accounts for some 500,000, or 27.1 per cent, of all public servants, while Nineveh Governorate accounts for 9.6 per cent of the population and 6.0 per cent, or 110,000, of all civil servants. Other important administrative centres, with over 100,000 civil servants each, are Basrah in the Federal Government and Erbil and Suleimaniya in the Kurdistan Region Government, which are also the Governorates with the second and third largest shares of civil servants as a percentage of the population (see figure 74).

Figure 74: Number of civil servants by Governorate and number of civil servants as a percentage of the population, by Governorate, Iraq (2011)



5.1. Civil servants and human capital

Almost two thirds (65.4 per cent) of civil servants in Iraq are male, while one third (34.5 per cent) are female. The share of women in public service is therefore roughly double the share in the general labour force in Iraq (17 per cent). In fact, the vast majority of employed women (94 per cent) work in the public sector, as only about 2 per cent of all private sector employees are women.² The

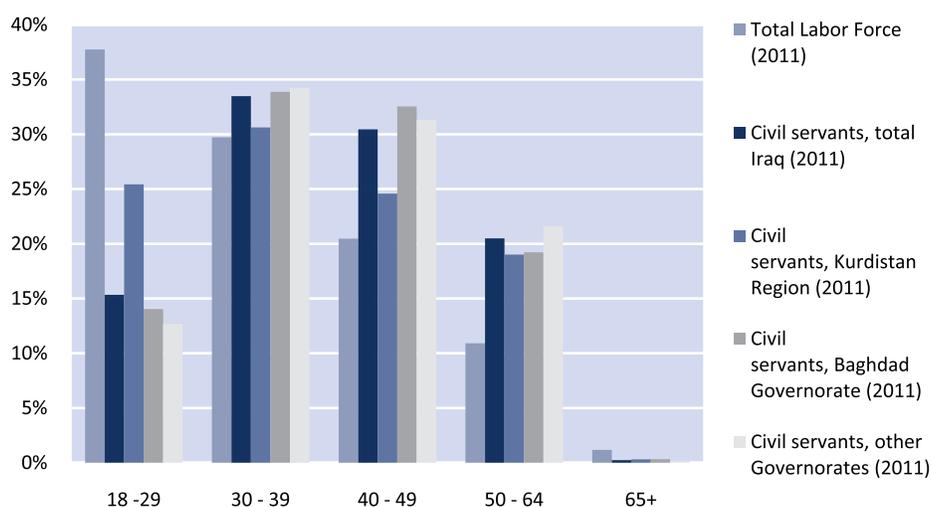
1- All references to Baghdad in this report refer to the whole of Baghdad Governorate rather than the city or municipality of Baghdad itself.

2- Source: Inter-Agency Information and Analysis Unit, Women in Iraq Fact sheet, March 2012, available at: <http://www.iauiraq.org/documents/1628/Women%20In%20Iraq%20Fact%20sheet%20-%20English.pdf>.

share of female civil servants is higher in the Kurdistan Region Government (37.9 per cent) and in the Federal Government in Baghdad (44.7 per cent) than in the other Governorates (28.4 per cent). But there are even larger disparities in the share of female civil servants between ministries and institutions. For example, it is particularly low in institutions such as the Ministry of Endowment and Religious Affairs (13.5 per cent) and the Commission of Integrity (14.1 per cent, respectively) and particularly high in institutions such as the Central Bank (76.9 per cent), the Ministry of Finance in both the Federal Government (59.1 per cent) and Kurdistan Region Government (48.2 per cent) and the Ministry of Education in both the Federal (47.2 per cent) and Kurdistan Region (42.7 per cent) Governments.¹

The age composition of civil servants in Iraq also reveals some interesting patterns (figure 75). In comparison, the share of young people aged 18-29 is much higher in the general labour force (37.7 per cent) than among civil servants (15.3 per cent), a feature clearly related to the greater length of civil servants' education and their later entry into the labour market to those of the general population. There are also strong regional variations, particularly in the share of 18-29 year old public employees (25.4 per cent in the Kurdistan Region Government, versus 14.0 per cent in Baghdad and 12.7 per cent in the other Governorates of the Federal Government), suggesting that the Kurdistan Region Government has a significant share of recently recruited young employees. A third feature of the age pattern of civil servants is that a larger share of female employees are in the younger 18 to 39 age groups (53.5 per cent) than male employees (46.3 per cent), suggesting that men are generally higher in the hierarchy than women. This pattern is especially pronounced in the Kurdistan Region Government where 67.0 per cent of female employees, versus 49.3 per cent of male employees, are in the 18 to 39 age groups.

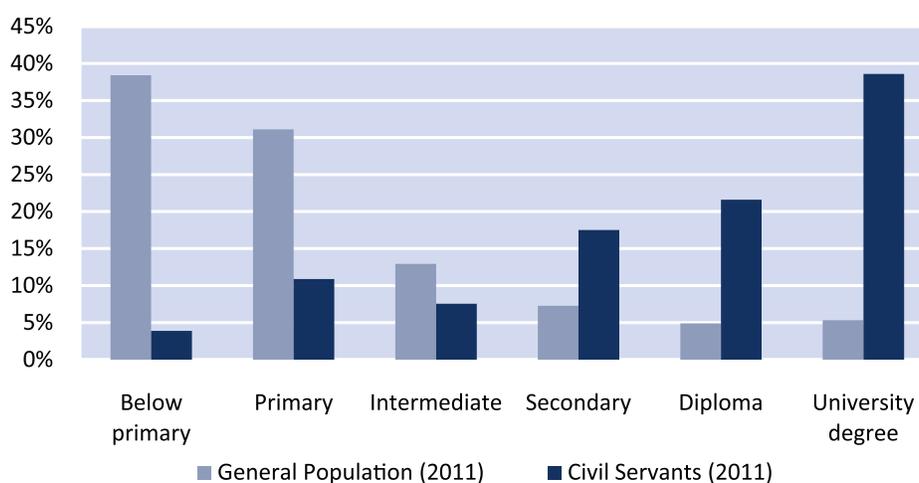
Figure 75: Percentage distribution of civil servants and the total labour force, by age groups, Iraq (2011)



1- See also the Fact Sheets by ministries/institutions at the end of this report.

Late access to the civil service is associated with the educational requirements of civil service jobs. As can be seen in figure 76, civil servants in Iraq have significantly higher educational levels than the general population: in total, 38.6 per cent of civil servants have a university degree and a further 21.6 per cent some other post-secondary diploma (versus 5.3 per cent and 4.9 per cent in the general population). While generally higher than the average level of educational attainment of the general population, there are also great disparities in the educational levels of civil servants between ministries and institutions. Some ministries have very large shares of employees with university degrees (for example, in the Ministry of Foreign Affairs, the Board of Supreme Audit, the Ministry of Higher Education and the Commission of Integrity more than two thirds of employees have a university degree), while the education level in other ministries is significantly lower.

Figure 76: Percentage distribution of civil servants and of the general population (12 years and older), by educational attainment, Iraq (2011)



Source: ICS Survey 2011 and IKN Survey 2011

5.2. Civil servants: grades and occupations

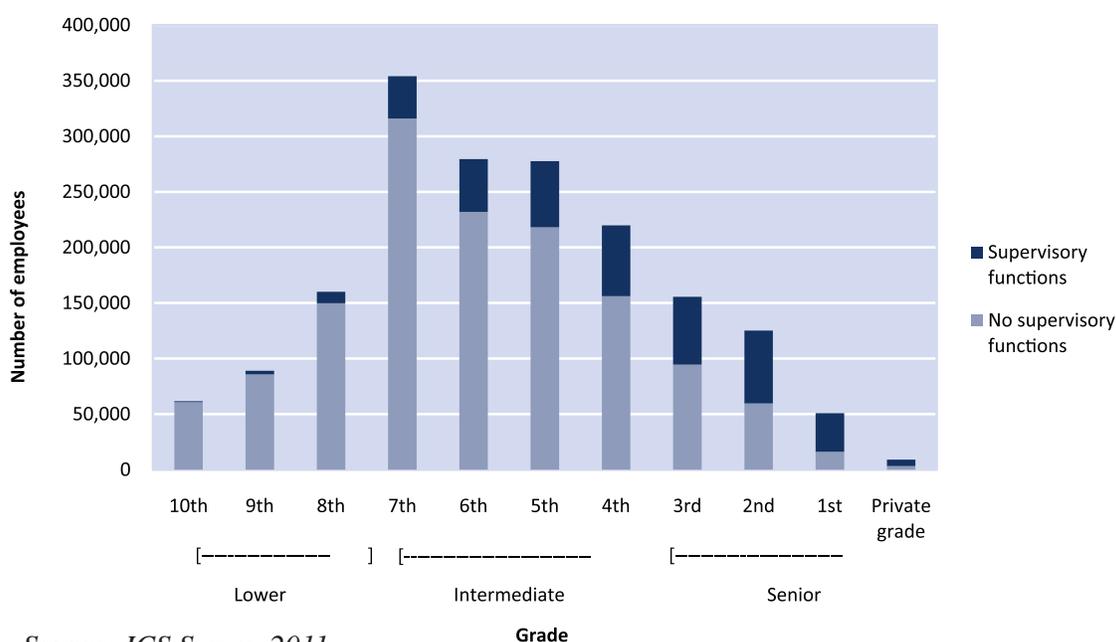
The civil service in Iraq is characterized by a high level of professionalization, with a large share of qualified staff working in professional occupations. Of all civil servants, 35.8 per cent are in the “Professionals/Scientists” category, which includes engineers, doctors, teachers, finance professionals, lawyers, etc. A further 7 per cent fall into the “Managers/Senior Officials” category, which includes chief executives, administrative and commercial chiefs, planners, hospital managers, etc, while 41.5 per cent consider themselves “Clerks and Professional Assistants” (technicians, secretaries, assistants, cashiers, etc.). Only 15.5 per cent consider themselves “workers” (including child care workers, nurses, machine operators, drivers, cleaners, labourers, etc.).

The level of professionalization can vary significantly between ministries and institutions, depending on their role and mandate. For example, the ministries and institutions with the largest shares of employees in the professional/scientist occupational category in the Federal Government are the

Board of Supreme Audit (72.5 per cent), the Ministry of Foreign Affairs (55.7 per cent) and the Commission of Integrity (53.3 per cent), which are also the institutions with the largest shares of academics, as mentioned above. In contrast, those institutions with larger shares of employees with no primary education also have larger shares of employees in the worker category. For example, in the Kurdistan Region Government, the Ministry of Endowment and Religious Affairs (48.7 per cent), the Ministry of Housing and Reconstruction (28.0 per cent) and the Finance Monitoring Office (22.6 per cent) and in the Federal Government, the Ministry of Municipality (35.5 per cent) and the Ministry of Construction and Housing (18.9 per cent).

The civil service in Iraq is organized into 10 grades, plus an additional “private grade” for senior positions.¹ In addition to being recruited at the corresponding grade, access to senior grades can be obtained through promotion or by taking up a more senior position.² The majority of civil servants (63 per cent) are concentrated into the intermediate grades, 4 to 7 (figure 77), with senior staff (grades 1 to 3 and private grade) generally having more professional and/or managerial responsibilities. Overall, 22 per cent of all civil servants have supervisory functions and the percentage rises continuously with seniority (from 2 per cent at grade 10 to 68 per cent at grade 1). In addition, senior supervisors typically supervise more employees than lower grade supervisors, with grade 1 supervisors supervising, on average, over 500 employees.

Figure 77: Number of civil servants, by grade and supervisory functions, Iraq (2011)

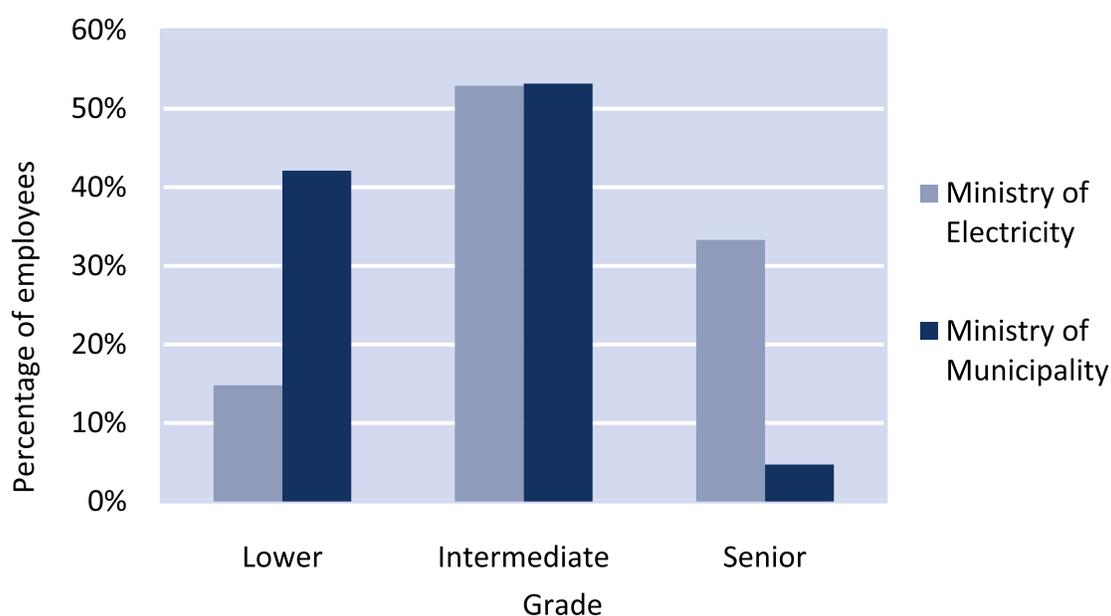


Source: ICS Survey 2011

- 1- The “private grade” level is divided into “Super A” and “Super B” grades for senior advisors and deputy ministers/directors general, respectively.
- 2- Staff with no university degree can be hired only at grades 10 to 8, while staff with university degrees can also be hired at levels 7 and above.

A heavy concentration of intermediate grade employees (grades 7 to 4) and fewer employees in both the lower and senior categories is a typical pattern in many ministries and institutions in Iraq, but it does not apply to all ministries and there are notable deviations in some ministries. The Ministry of Municipalities and Public Works, for example, has a much larger share of employees at lower grade levels (42.1 per cent) than the average for all ministries (17.6 per cent). In many cases, atypical distributions of grades across a particular ministry can be related to the type of work and services performed by the ministry's employees, but in other cases an above average concentration of senior grade employees may be a sign of problematic "grade inflation", which serves to increase the average salary level of employees. The Ministry of Electricity, for example, has 33 per cent of employees in senior grades (grades 3 to 1), compared to an average of 18.7 per cent in all ministries (figure 78).

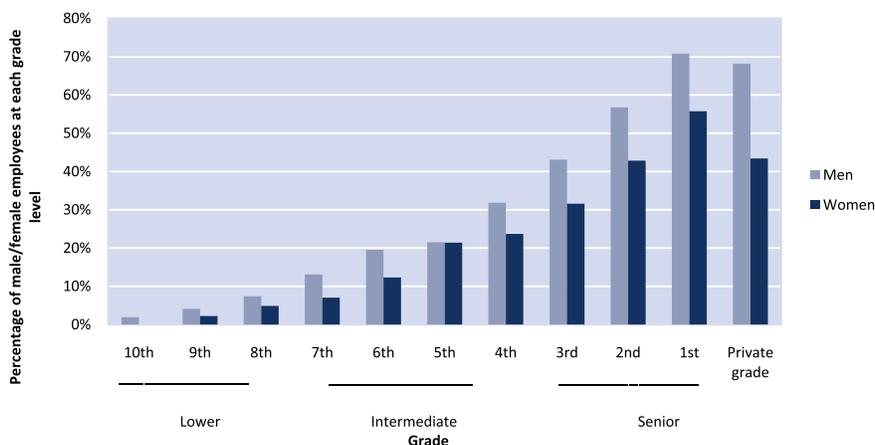
Figure 78: Percentage distribution of civil servants in two selected ministries, by grade, Iraq (2011)



Source: ICS Survey 2011

It is notable that the share of women is fairly evenly distributed across the different grades: overall, while women make up 34.5 per cent of all civil servants, they account for between 31 per cent and 39 per cent at grades 2 to 8. Only at lower levels (where there is a larger share of manual workers) and at the very highest level is the share of women significantly lower (16.4 per cent at grade 1 and 15.5 per cent at the private grade). At the same time, the data also show that despite a fairly even distribution between grades, women occupy jobs with supervisory functions less frequently than men: on average, while 24.2 per cent of all male civil servants have jobs with supervisory functions, 17 per cent of female civil servants have supervisory roles; a pattern that holds true for all ten grades as well as for the private grade (see figure 79).

Figure 79: Percentage of male and female civil servants with supervisory functions, by grade, Iraq (2011)

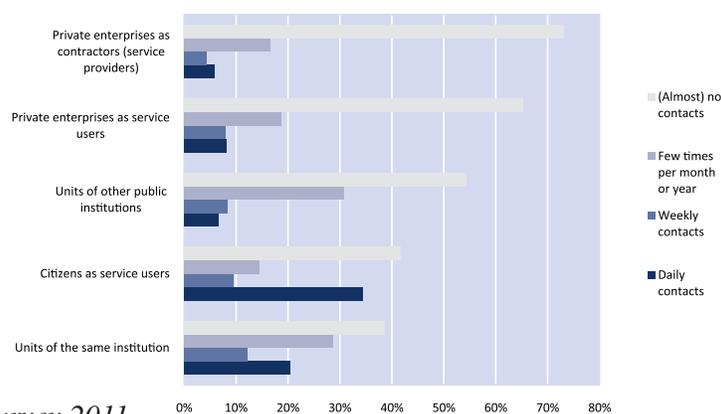


Source: ICS Survey 2011

5.3. Civil servants: duties and responsibilities

The functions and duties of civil servants differ from ministry to ministry. One particularly relevant aspect for identifying civil servants’ potential vulnerability to corruption is their degree of interaction with external contacts, and the frequency of civil servants’ contacts with citizens, private enterprises and other public institutions is a simple indicator. Most civil servants have daily or weekly interactions with the staff of their own particular ministry but much less frequent contact with the employees of others. Contacts with external service users, namely with private citizens or enterprises, either as service users or contractors, occur less frequently. Almost 42 per cent of civil servants are never (or almost never) in contact with citizens as service users, 65 per cent do not normally deal with private enterprises as service users and more than 72 per cent of civil servants typically do not have contact with private enterprises as contractors (figure 80).

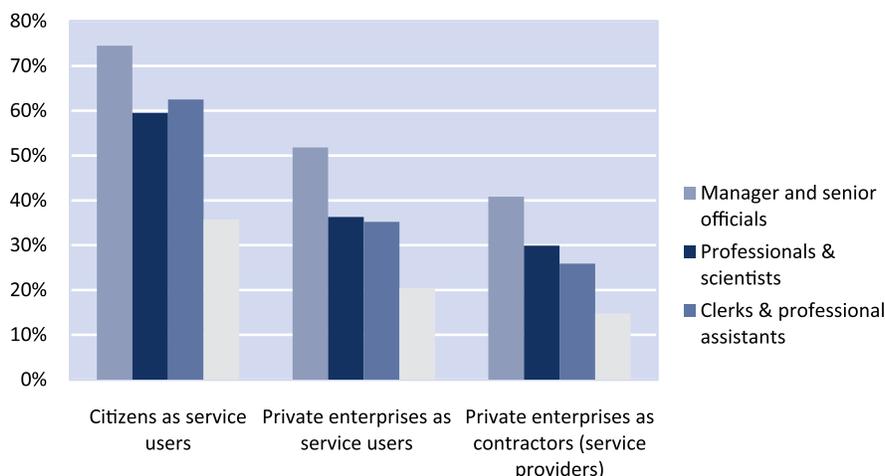
Figure 80: Percentage distribution of civil servants, by frequency of contacts with selected groups, Iraq (2011)



Source: ICS Survey 2011

As the frequency of contacts with service users can be an important risk factor for becoming implicated in acts of corruption, it is important to analyse interactions with service users by type of job held. The frequency of contacts with service users is above all a function of the duties that civil servants fulfil in their job, which are clearly linked to their occupational categories. Not surprisingly, managers have more frequent contacts with all types of external service users (citizens and private enterprises) than either professionals or clerks do, while civil servants in the “worker” category have by far the fewest contacts with external service users. This pattern is particularly pronounced for contacts with private enterprises as service users and with private enterprises as contractors, when managers and senior officials are much more likely to be in contact with external service users than employees of other occupational groups (figure 81).

Figure 89: Percentage of civil servants with contacts with selected external service users, by occupational group, Iraq (2011)



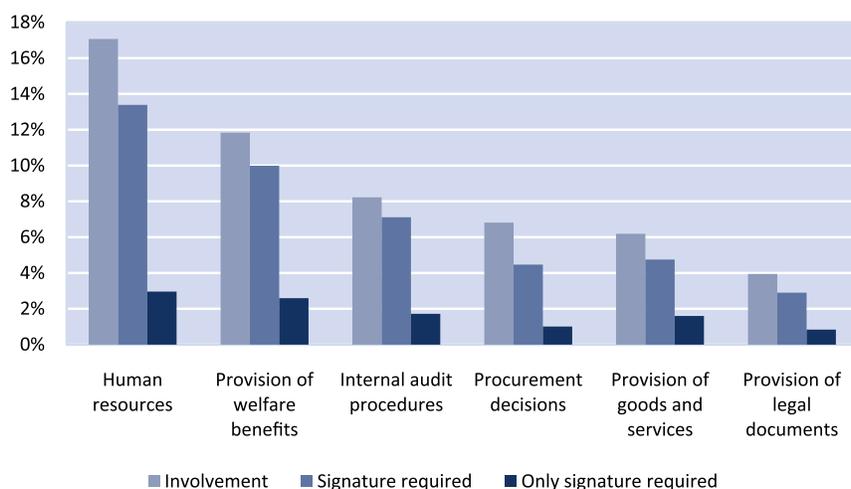
Source: ICS Survey 2011

Furthermore, there is great disparity in the frequency of civil servants’ contacts with external service users between ministries and institutions, depending on the role and type of services offered by each institution. Ministries that offer regular services to citizens as service users naturally have more contacts with citizens than other ministries with a different role. For example, in both the Federal Government and the Kurdistan Region Government, roughly two thirds of civil servants in the ministries responsible for finance, justice, martyrs affairs and health have daily or weekly contacts with citizens as service users, while 7.6 per cent of civil servants in the Board of Supreme Audit and 11.2 per cent in the Finance Monitoring Office of the Kurdistan Region Government have equally frequent contacts with citizens as service users. Similarly, civil servants in the ministries responsible for finance, justice and municipal affairs have more frequent contacts with private enterprises (both as service users and contractors) than those working with human rights or labour and social affairs, while civil servants in ministries dealing with construction projects have more frequent contact with private enterprises as contractors only.

Other risk factors for potential involvement in acts of corruption are the amount of discretion entrusted to individual civil servants and the power to make or to influence decisions. It is therefore interesting to examine the distribution of decision-making powers within the Iraqi civil service, as expressed by involvement in certain administrative duties and the importance attached to a particular civil servant’s signature. In that context, the survey provides answers to questions as to whether: employees are involved in a certain type of administrative duty, such as human resource management or procurement decisions; their signature is required for completing certain administrative duties in that area; their signature is the only one required to complete such duties.

As shown in figure 82, more civil servants are involved in human resource management duties (including personnel decisions) than in the provision of welfare benefits, goods and services, legal documents and in internal audit procedures and procurement decisions. In most cases, when employees are involved in such duties, their signatures are required as one of several signatures for completing the duty in question (such as issuing contracts or providing services, documents or welfare benefits to external service users). Only a minority of all civil servants who are involved in such duties are empowered to certify the duty’s completion with their own signature and no one else’s (between 22 per cent and 34 per cent of those whose signature is required or 1-3 per cent of all civil servants). However, as outlined in Section 1.2.1, that group is more often the target of attempted bribery or other acts of corruption.

Figure 82: Percentage of civil servants involved in selected duties, by level of responsibility, Iraq (2011)

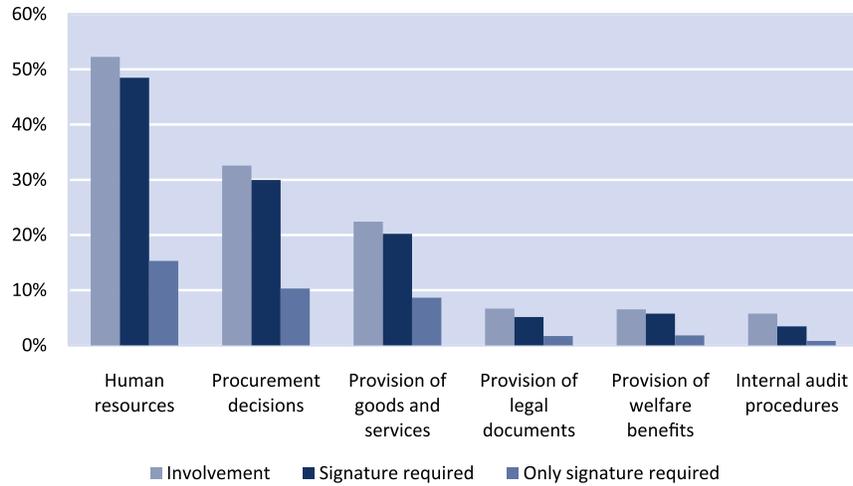


Source: ICS Survey 2011

Much greater involvement in key administrative duties with higher levels of responsibility emerges when examining the duties and levels of responsibility of managers and senior officials. Civil servants at that level are inevitably more involved in managerial duties and have a greater degree of responsibility because of the importance of their signature. Among them, over half are involved in human resource management, around a third are involved in procurement decisions and more than

a fifth are involved in the provision of goods and services (figure 83). Once managers and senior officials become involved in such duties their signature is almost always required and in a significant number of cases (for example, 43 per cent of those whose signature is required for procurement decisions) their signature is actually the only one required, indicating their greater risk of being the target of corruption attempts than other occupational groups (see Section 1.2.1).

Figure 83: Percentage of managers and senior officials in the civil service involved in selected duties, by level of responsibility, Iraq (2011)



Source: ICS Survey 2011

Chapter 6

Annex II: Factsheets Per Ministry/Institution

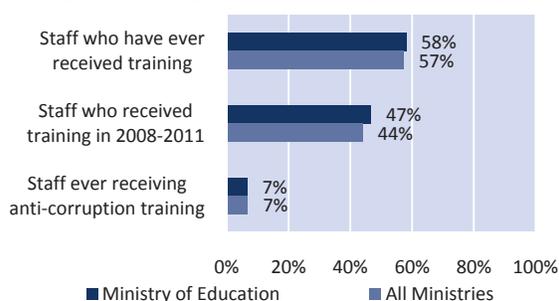
6. Annex II: factsheets per ministry/institution

Ministry of Education (Federal Government)

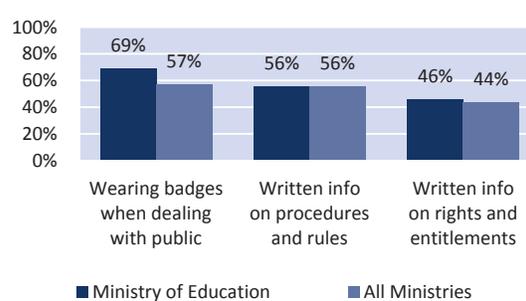
Number of employees (2008): 555,469 Percentage of employees with regular contacts with citizens: 44.8%
 Staff of IG Office (2011): ? Percentage of employees offered a bribe in the past 12 months: 5.4%
 Percentage of female employees: 47.2%

Established in ?

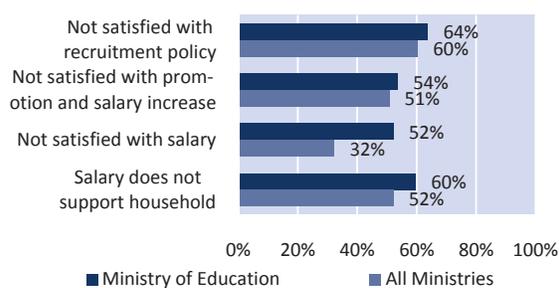
Percentage of staff who have received any type of training including specific anti-corruption training



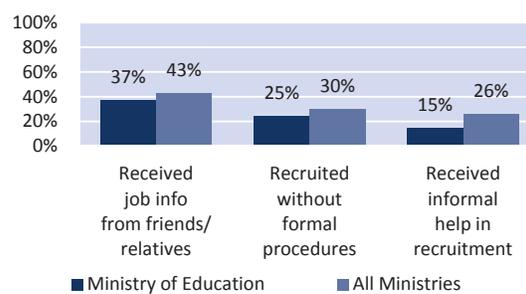
Percentage of staff reporting selected transparency measures as common



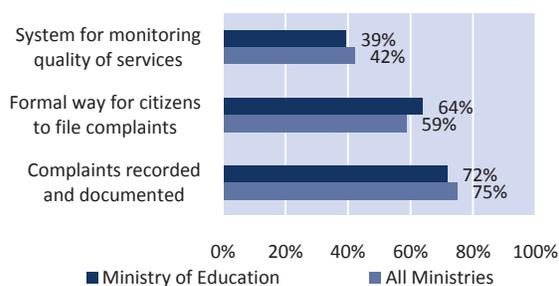
Percentage of staff not satisfied with various aspects of employment



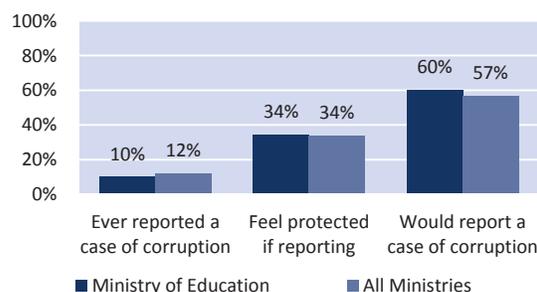
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Trade (Federal Government)

The Ministry of Trade is responsible for internal and external trade policy, including the fostering of external economic relations and the development of the private sector through privatization during the transition from a planned to a market economy. The Ministry is also charged with the policy of strategic storage of basic materials and goods to respond to crises and disasters. In addition, since 1990 the Ministry has been responsible for importing and marketing the ration card items for the people covered by this system.

The Ministry has established several channels for reporting cases of corruption, including through hotlines, complaint boxes, e-mail and personal interviews. In addition to the Inspector General (IG) Office there is a Citizens Complaints Section in the Ministry and a Compliance Sub-section at each formation of the Ministry.

| | |
|---------------------------------------|---|
| Number of employees (2011): 31,407 | Percentage of employees with regular contacts with citizens: 32.7% |
| Staff of IG Office (2011): 170 | Percentage of employees offered a bribe in the past 12 months: 4.7% |
| Percentage of female employees: 38.5% | Established in 1959 |

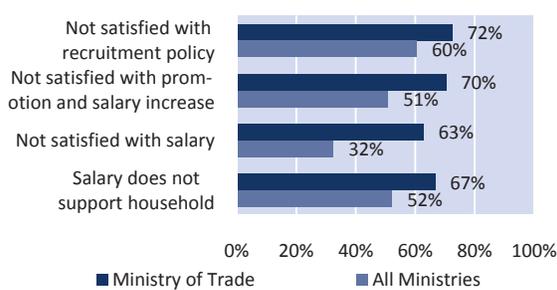
Percentage of staff who have received any type of training including specific anti-corruption training



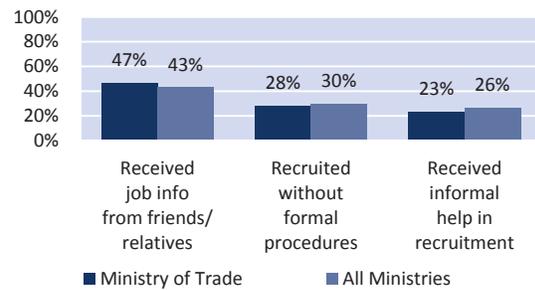
Percentage of staff reporting selected transparency measures as common



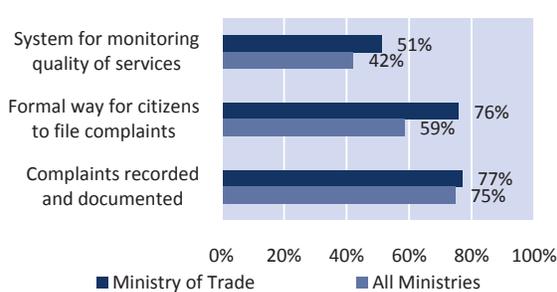
Percentage of staff not satisfied with various aspects of employment



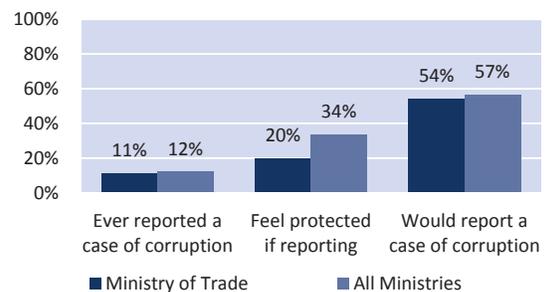
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



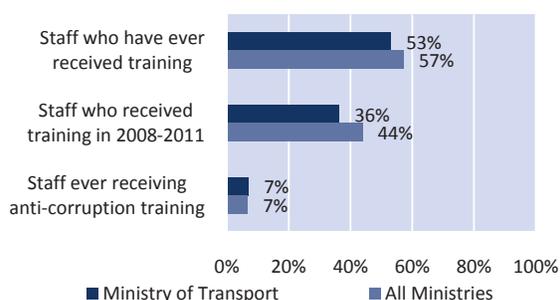
Ministry of Transport (Federal Government)

The Ministry of Transport is responsible for overseeing and developing the whole transport sector, for supervising transport companies and for providing certain road, air and sea transport services for persons and goods. The Ministry also operates and maintains railways, civil airports, ports and marinas and designs and implements projects for road, rail, air and sea transport. For its tasks the Ministry owns and operates a number of large infrastructure establishments (railways, ports, civil aviation authority) and frequently issues procurement contracts for companies of land-, sea-, and air transport as well as for relevant construction and communication services.

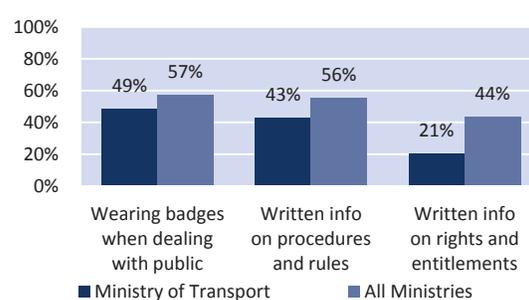
The Ministry has established a hotline to receive complaints related to the Ministry. In addition, the e-mail address of the Inspector General's Office is circulated to all offices and facilities of the Ministry. There are auditing and oversight committees for following up on reported corruption cases.

Number of employees (2011): 36,980 Percentage of employees with regular contacts with citizens: 13.9%
 Staff of IG Office (2011): 113 Percentage of employees offered a bribe in the past 12 months: 2.0%
 Percentage of female employees: 26.9% Established in 1922

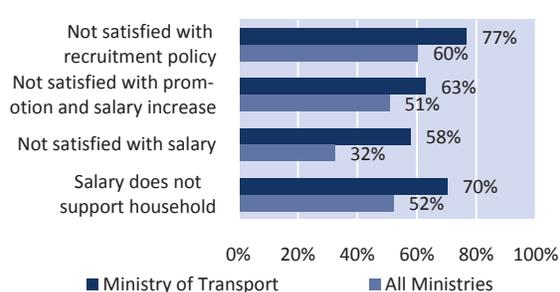
Percentage of staff who have received any type of training including specific anti-corruption training



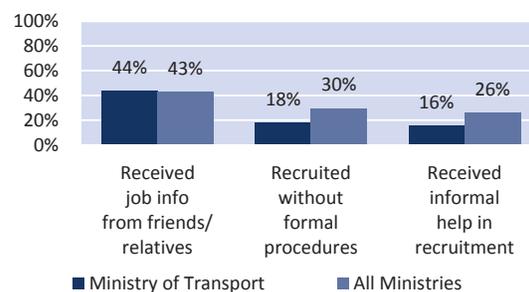
Percentage of staff reporting selected transparency measures as common



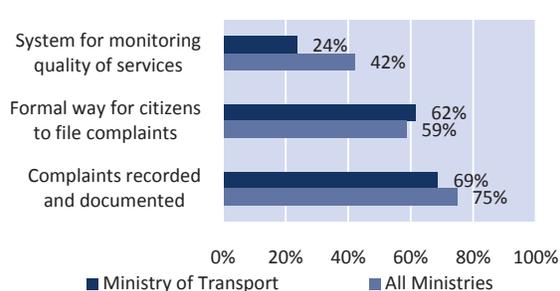
Percentage of staff not satisfied with various aspects of employment



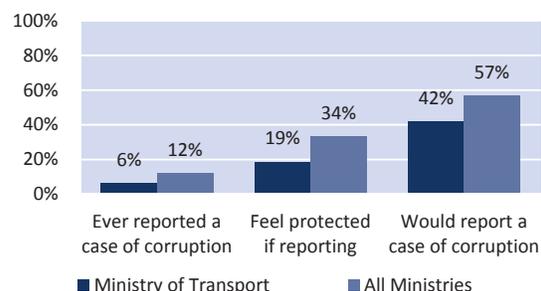
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



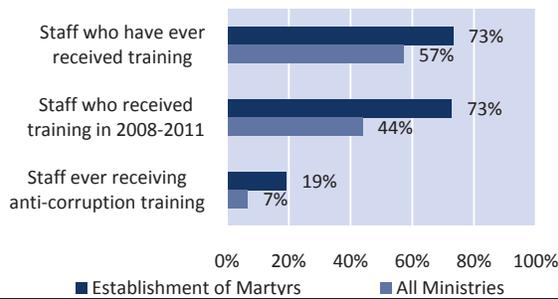
Establishment of Martyrs (Federal Government)

The Establishment of Martyrs Affairs serves to care for the rights and social and economic well-being of the families of martyrs in Iraq. It provides job opportunities and study facilities as well as social and economic assistance to the families of martyrs and is charged with verifying claims for certifying the status of martyrdom as well as with contracting out economic and social support programmes for the families of martyrs.

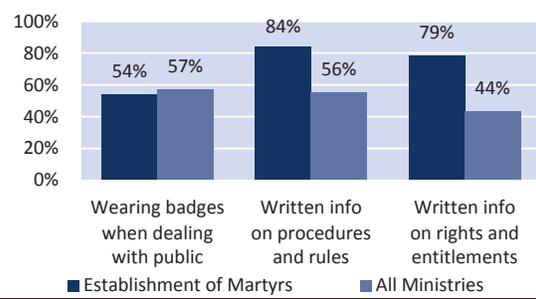
Citizens can report misconduct and corruption cases through a hotline, by letter, email or through direct complaints.

| | |
|---------------------------------------|--|
| Number of employees (2011): 886 | Percentage of employees with regular contacts with citizens: 76.1% |
| Staff of IG Office (2011): 101 | Percentage of employees offered a bribe in the past 12 months: 11.0% |
| Percentage of female employees: 26.5% | Established in 2006 |

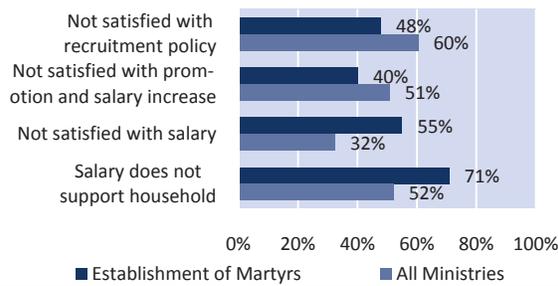
Percentage of staff who have received any type of training including specific anti-corruption training



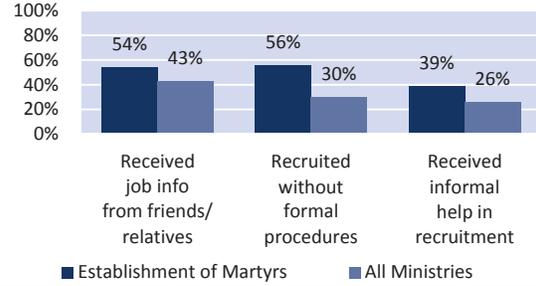
Percentage of staff reporting selected transparency measures as common



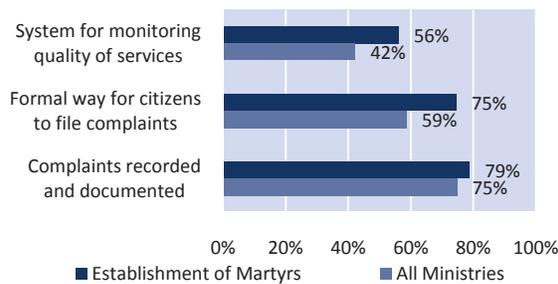
Percentage of staff not satisfied with various aspects of employment



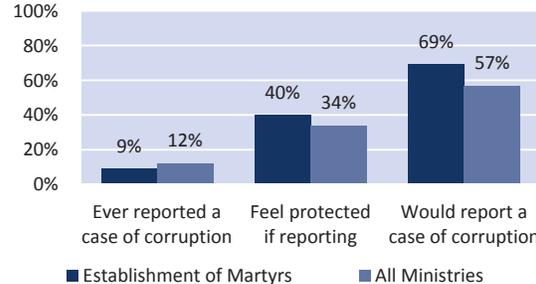
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Human Rights (Federal Government)

The Ministry of Human Rights works to secure and protect human rights and basic freedoms in Iraq and to prevent their violation. To this end, it provides services, initiatives and studies, makes proposals on laws and institutions and develops programmes and policies that further human rights. The Ministry issues few public procurement contracts for its operations.

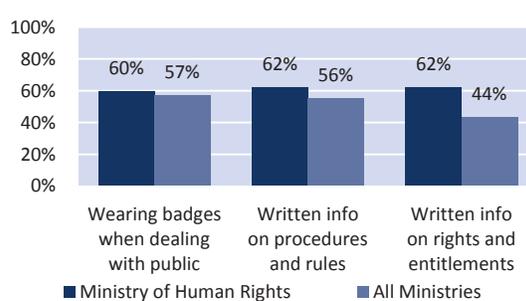
Citizens can report misconduct and corruption cases through a hotline, by e-mail or through direct complaints to the Inspector General's Office or the offices of the Ministry in the Governorates. Each complaint is investigated and information is collected to verify it. In specific cases, special investigative committees are created to take necessary actions.

| | |
|---------------------------------------|---|
| Number of employees (2011): 733 | Percentage of employees with regular contacts with citizens: 44.5% |
| Staff of IG Office (2011): 45 | Percentage of employees offered a bribe in the past 12 months: 7.3% |
| Percentage of female employees: 33.3% | Established in 2003 |

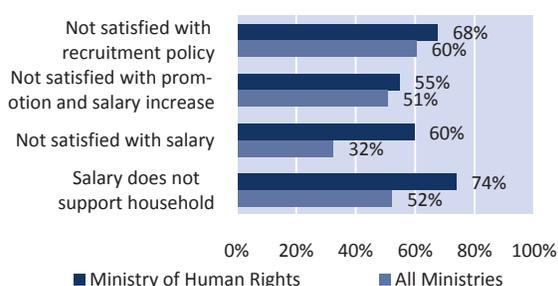
Percentage of staff who have received any type of training including specific anti-corruption training



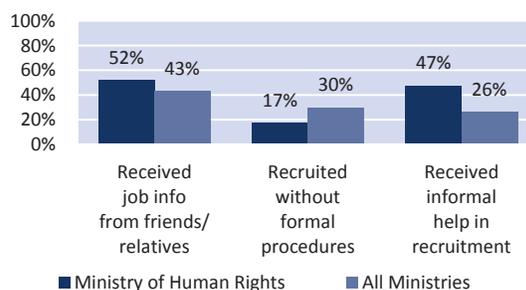
Percentage of staff reporting selected transparency measures as common



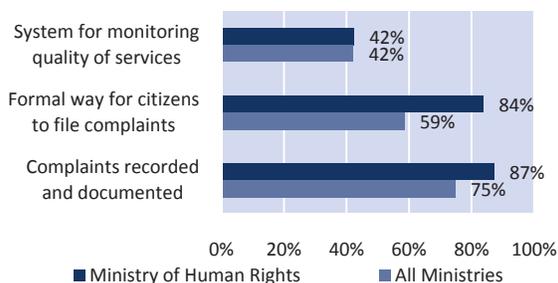
Percentage of staff not satisfied with various aspects of employment



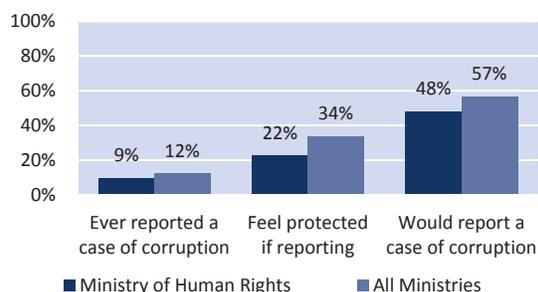
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



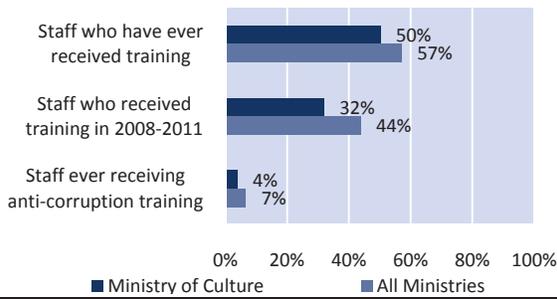
Ministry of Culture (Federal Government)

revive Arab Islamic heritage. It also maintains archaeological and tourist sites and coordinates with the tourism sector to promote cultural tourism. It aims to foster a spirit of interaction and freedom in the cultural sphere. Goods and services procured by the Ministry relate mainly to the departments' operational needs and to contracts for constructing or rehabilitating the Ministry's buildings and cultural sites.

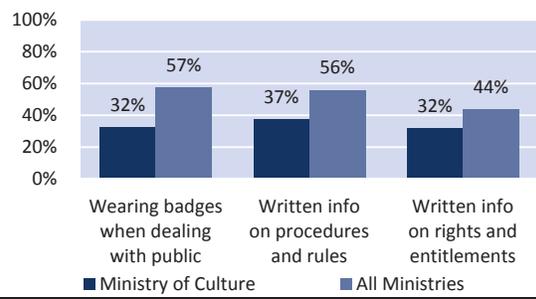
Complaints on corruption can be made either anonymously or non-anonymously through a hotline, or directly by email to the Inspector General. Each complaint is recorded and referred to the Inspector General, who in turn refers it to the competent department.

| | |
|---------------------------------------|---|
| Number of employees (2011): 13,466 | Percentage of employees with regular contacts with citizens: 18.0% |
| Staff of IG Office (2011): 83 | Percentage of employees offered a bribe in the past 12 months: 3.1% |
| Percentage of female employees: 45.5% | Established in 1959 |

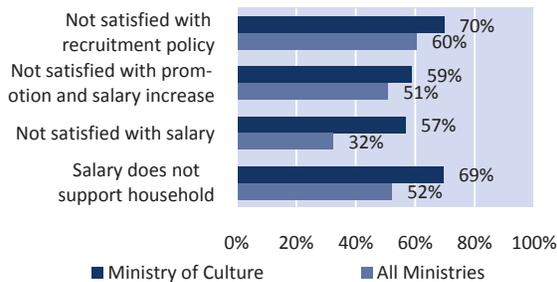
Percentage of staff who have received any type of training including specific anti-corruption training



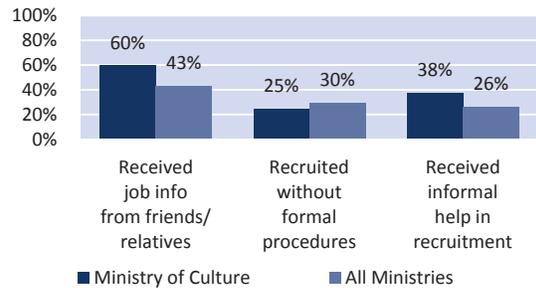
Percentage of staff reporting selected transparency measures as common



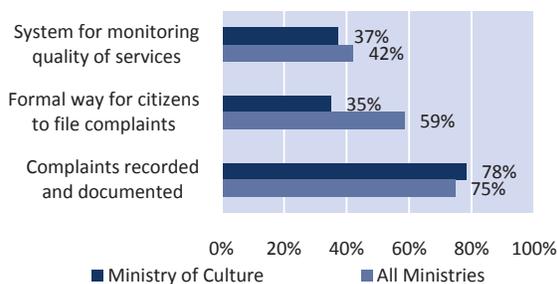
Percentage of staff not satisfied with various aspects of employment



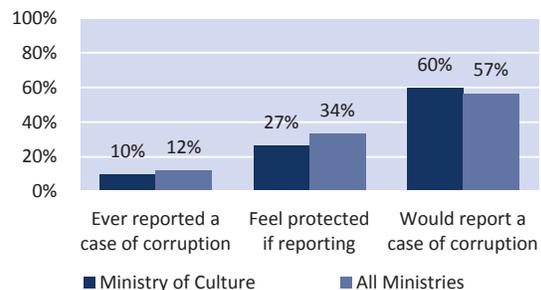
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



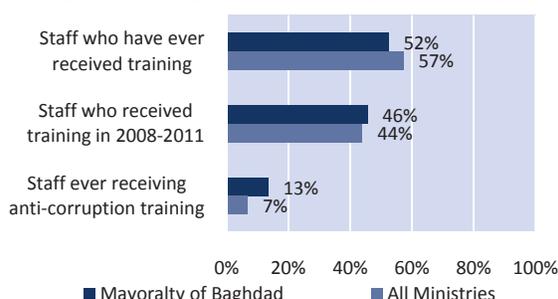
Mayorality of Baghdad (Federal Government)

The Mayorality of Baghdad was formally established by Law No. 16 in 1995 and is not associated with any ministry. Pursuant to this law, the Mayorality provides municipal services within the borders of the city of Baghdad to ensure its development as the capital city of Iraq. To accomplish its tasks, the Mayorality issues procurement contracts for a number of diverse goods and services.

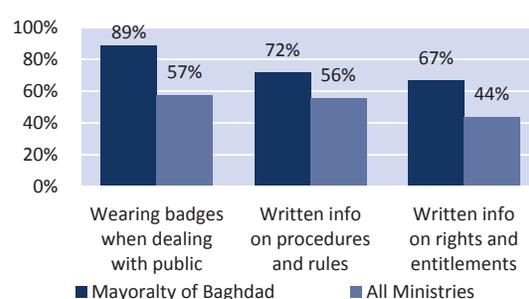
Complaints about corruption can be made to the office of the Inspector General, including through its complaint box, by email or through a hotline. The Inspector General follows up with investigation and relevant legal actions.

| | |
|---------------------------------------|--|
| Number of employees (2011): 12,484 | Percentage of employees with regular contacts with citizens: 56.0% |
| Staff of IG Office (2011): 73 | Percentage of employees offered a bribe in the past 12 months: 11.9% |
| Percentage of female employees: 29.0% | Established in 1995 |

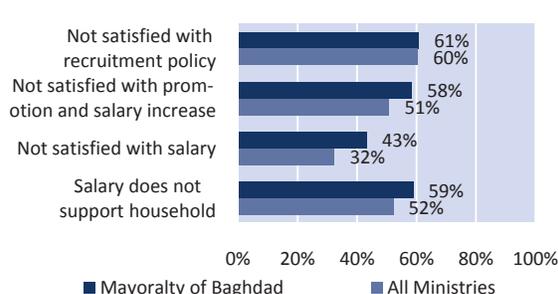
Percentage of staff who have received any type of training including specific anti-corruption training



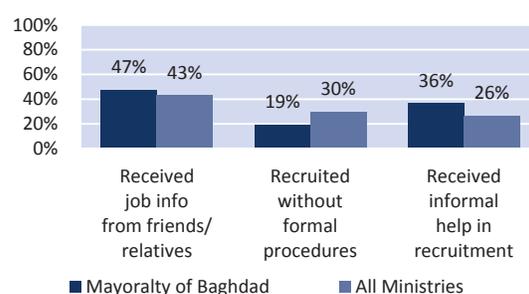
Percentage of staff reporting selected transparency measures as common



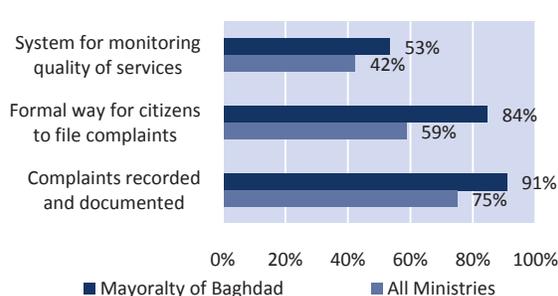
Percentage of staff not satisfied with various aspects of employment



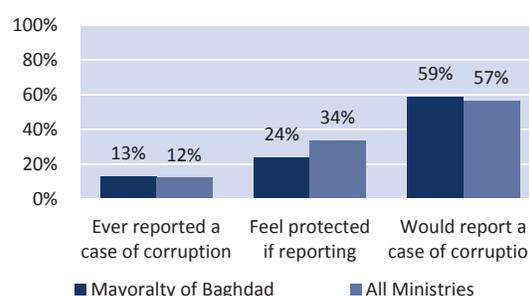
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



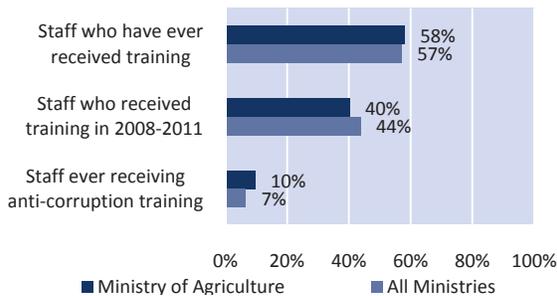
Ministry of Agriculture (Federal Government)

The Ministry of Agriculture aims to achieve agricultural development through services and research related to plant and animal production, the promotion of modern agriculture and the provision of agricultural inputs. It also enforces agricultural reform laws and implements national development plans and the resulting agricultural programs. The Ministry issues contracts and tenders for supplying agricultural inputs (sprinklers, fertilizers, pesticides, veterinary drugs and vaccines, construction contracts (modern villages, agricultural sections, and livestock projects) and consulting services.

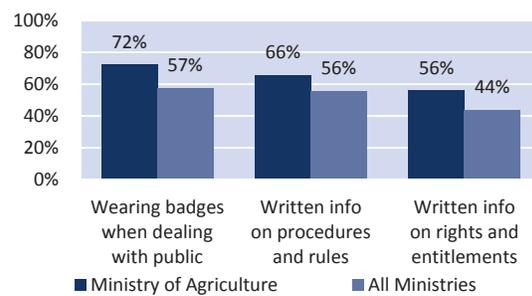
Complaints are received through a hotline or a complaint box or through the internet. To verify reports on corruption investigations are carried out or investigative committees are established.

Number of employees (2011): 24,456 Percentage of employees with regular contacts with citizens: 58.9%
 Staff of IG Office (2011): 158 Percentage of employees offered a bribe in the past 12 months: 4.7%
 Percentage of female employees: 25.8% Established in 1952

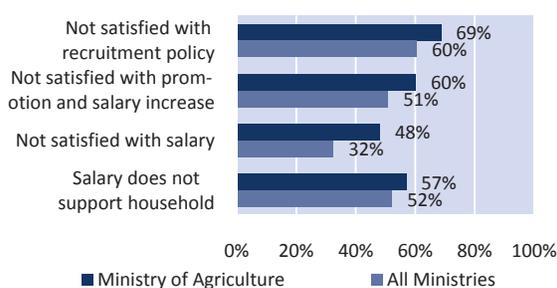
Percentage of staff who have received any type of training including specific anti-corruption training



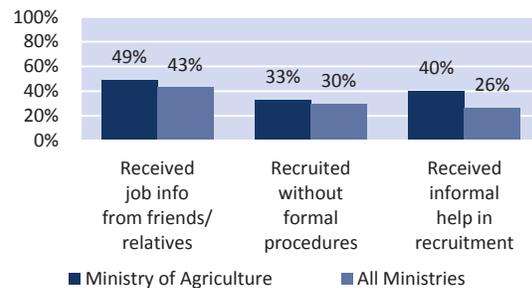
Percentage of staff reporting selected transparency measures as common



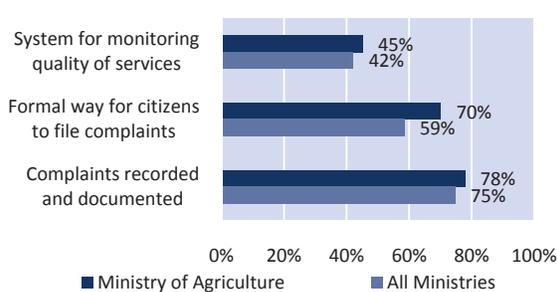
Percentage of staff not satisfied with various aspects of employment



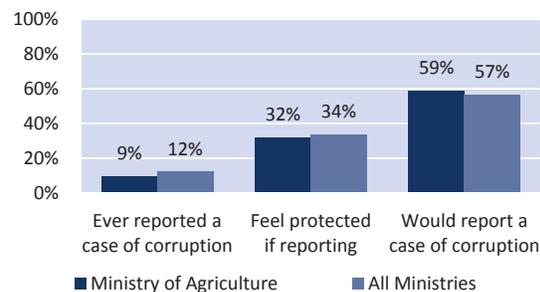
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Displaced Persons and Migrants (Federal Government)

The Ministry was created in September 2003 by Coalition Provisional Authority Order Nr. 30 which was superseded by Ministry Law Nr. 21 of 2009. The Ministry supports the following groups: Iraqi internally displaced persons, forced Iraqi migrants living abroad, Iraqi returnees from abroad or from internal migration, Palestinian refugees who have legitimately lived in Iraq before and refugees from other nationalities in Iraq. To implement its tasks, the Ministry procures a variety of goods and services and distributes cash and in-kind grants to its beneficiaries.

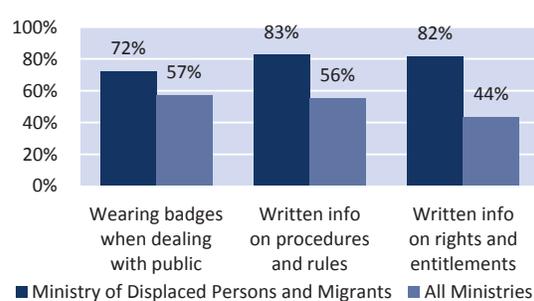
There are procedures for reporting cases of corruption to the Inspector General's office or directly to the Ministry.

| | |
|---------------------------------------|---|
| Number of employees (2011): 1,148 | Percentage of employees with regular contacts with citizens: 68.5% |
| Staff of IG (2011): 47 | Percentage of employees offered a bribe in the past 12 months: 7.7% |
| Percentage of female employees: 34.6% | Established in 2003 |

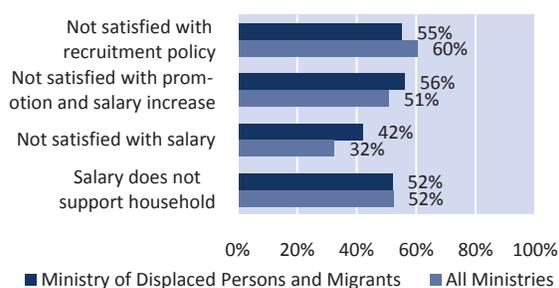
Percentage of staff who have received any type of training including specific anti-corruption training



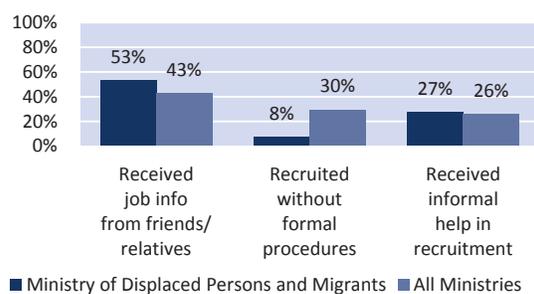
Percentage of staff reporting selected transparency measures as common



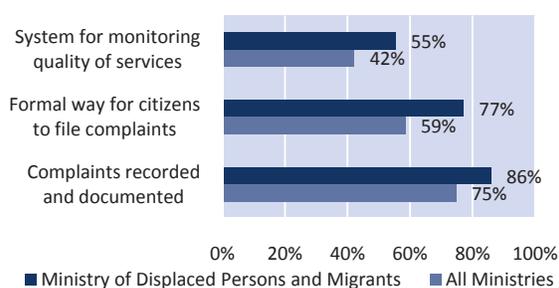
Percentage of staff not satisfied with various aspects of employment



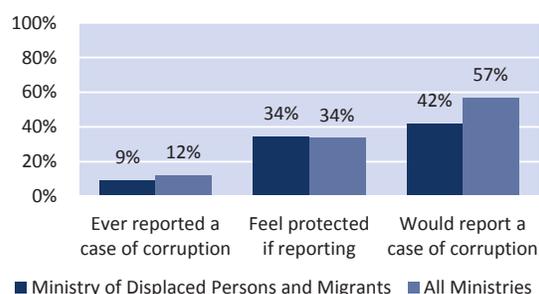
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



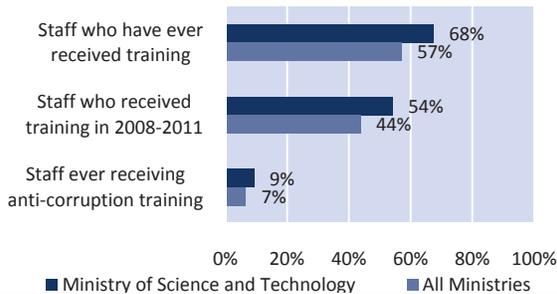
Ministry of Science and Technology (Federal Government)

The Ministry of Science and Technology was established in 2003 by Coalition Provisional Authority Order Nr. 24 through the merger of the dissolved Atomic Energy Organization and the research companies of the dissolved Military Industrialization Corporation. It's tasks are to promote science and technology in Iraq, conduct research and studies, implement projects on the development of renewable energies and the peaceful use of nuclear energy, close and remove nuclear facilities, and spread information on electronic governance to re-develop Iraq's infrastructure and industrial base. The Ministry issues public procurement contracts when installing scientific equipment and when rehabilitating the Ministry's scientific and research laboratories.

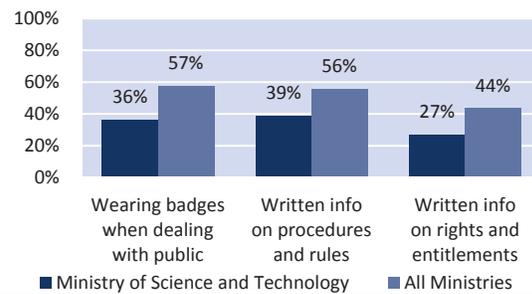
Complaints are received directly by the office of the Inspector General through the hotline or complaint box. A complaint record is maintained and includes information on the complainant, respondent and date of complaint.

Number of employees (2011): 93,170 Percentage of employees with regular contacts with citizens: 29.1%
 Staff of IG Office (2011): 25 Percentage of employees offered a bribe in the past 12 months: 3.0%
 Percentage of female employees: 30.1% Established in 2003

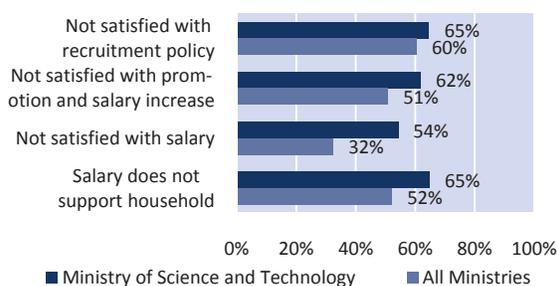
Percentage of staff who have received any type of training including specific anti-corruption training



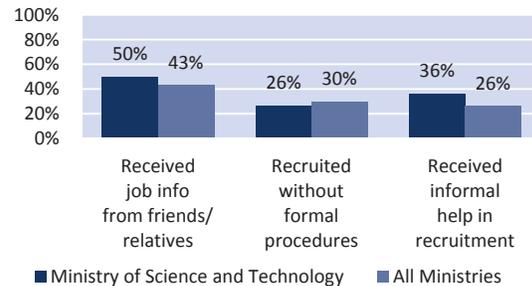
Percentage of staff reporting selected transparency measures as common



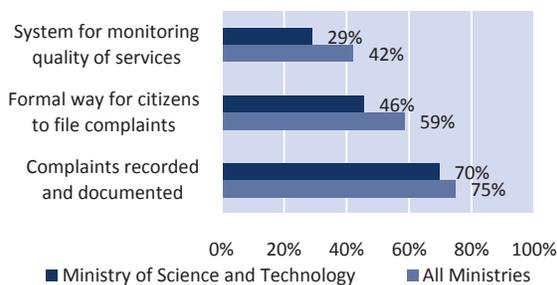
Percentage of staff not satisfied with various aspects of employment



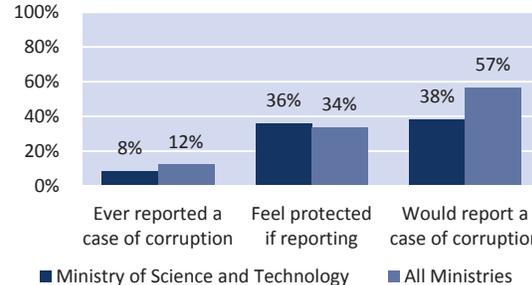
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



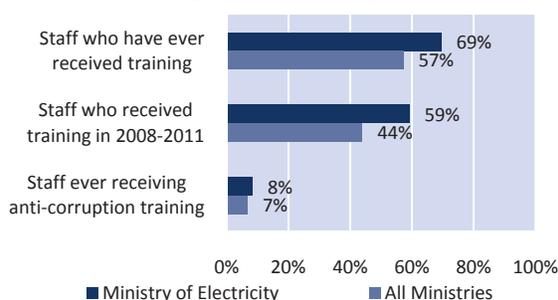
Ministry of Electricity (Federal Government)

The Ministry of Electricity is responsible for producing, transmitting and distributing electrical power. To fulfill its tasks, the Ministry runs and maintains various power stations, purchases and uses fuel and constructs, maintains and rehabilitates power lines. The Ministry issues a diverse range of procurement contracts, including contracts for electric equipment, spare parts, devices, fuel, oils, power and machinery.

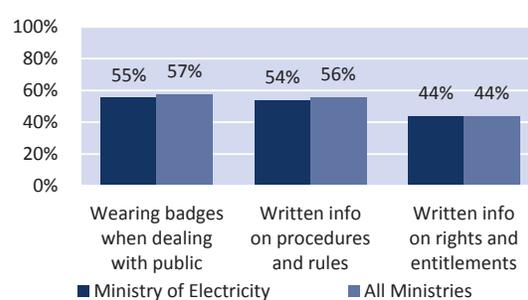
Complaints can be filed through the Ministry's website, which contains a special complaints webpage that is directly connected to the email of the Inspector General's office. Complaints can also be made through the IG's hotline, complaint box or in person.

Number of employees (2011): 75,156 Percentage of employees with regular contacts with citizens: 31.5%
 Staff of IG Office (2011): 125 Percentage of employees offered a bribe in the past 12 months: 2.8%
 Percentage of female employees: 21.2% Established in 2003

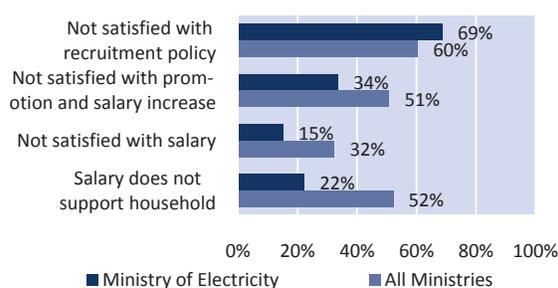
Percentage of staff who have received any type of training including specific anti-corruption training



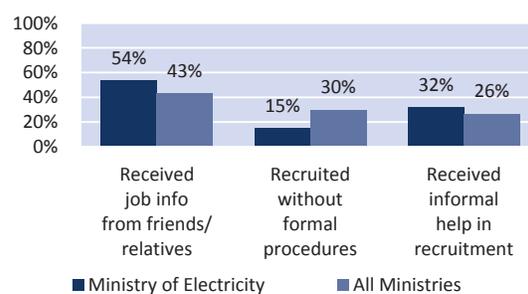
Percentage of staff reporting selected transparency measures as common



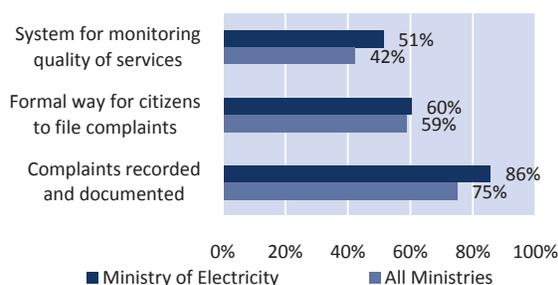
Percentage of staff not satisfied with various aspects of employment



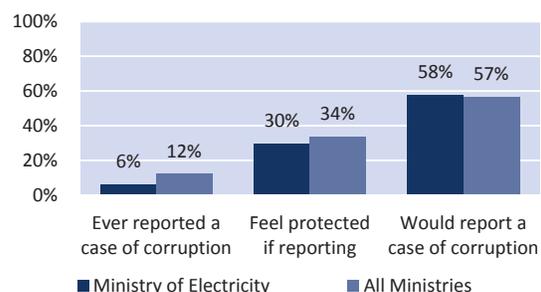
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



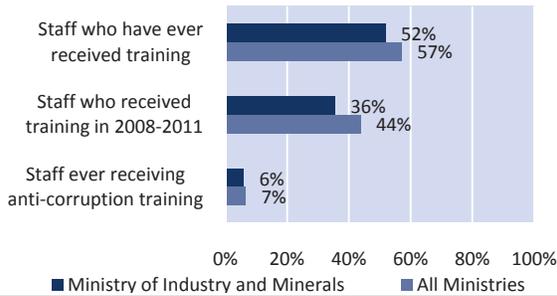
Ministry of Industry and Minerals (Federal Government)

The Ministry of Industry and Minerals aims to organize and develop the industrial and mineral activities of Iraq in line with the principles and policies of a market economy. It adopts and implements a wide variety of activities and measures for industrial development and regulation and carries out research and geological survey activities. The Ministry owns and manages over 70 industrial state companies, including companies for fertilizers, tires, glass, steel, cement, carpets, chemical and electrical appliances, construction, mining, leather, wool, cotton, sugar and tobacco.

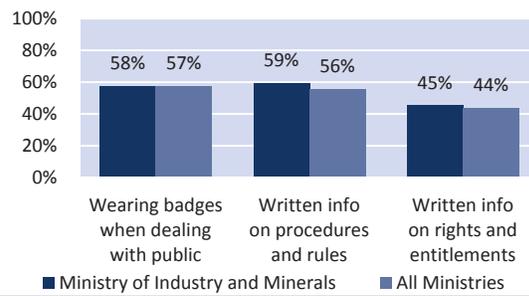
Complaints on corruption can be filed through various means, including the Inspector General’s hotline and fax, the IG complaint box and email, by regular mail, and personally to the IG or the personnel affairs office.

Number of employees (2011): 181,960 Percentage of employees with regular contacts with citizens: 17.2%
 Staff of IG Office (2011): 95 Percentage of employees offered a bribe in the past 12 months: 2.7%
 Percentage of female employees: 15.0% Established in 1959

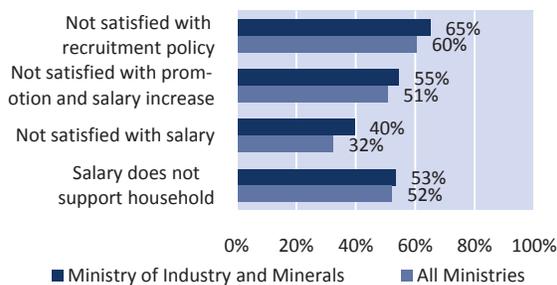
Percentage of staff who have received any type of training including specific anti-corruption training



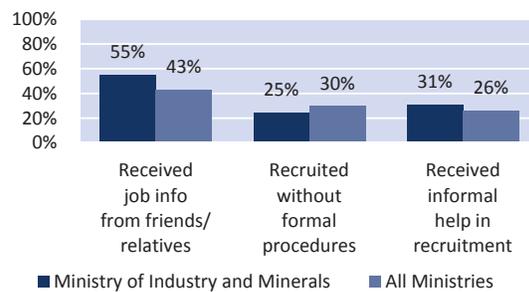
Percentage of staff reporting selected transparency measures as common



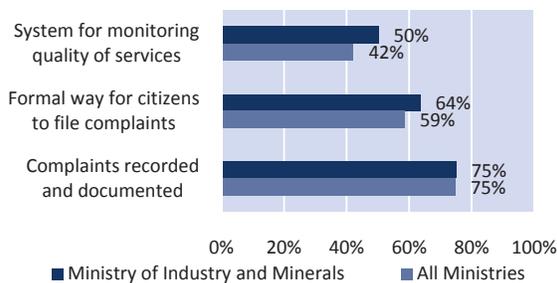
Percentage of staff not satisfied with various aspects of employment



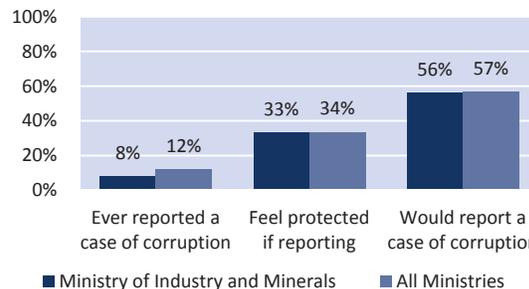
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Communications (Federal Government)

The Ministry of Communications was established in 2003 by Coalition Provisional Authority Order Nr. 13. Through its affiliated companies (Iraq Telecommunication and Post Company (ITPC), State Company for Internet Services and Al Salam State Company), the Ministry provides services of telecommunication, mail, internet and electronic control and protection of communications. The Ministry issues a diverse range of procurement contracts related to the construction and supply of telecommunications facilities.

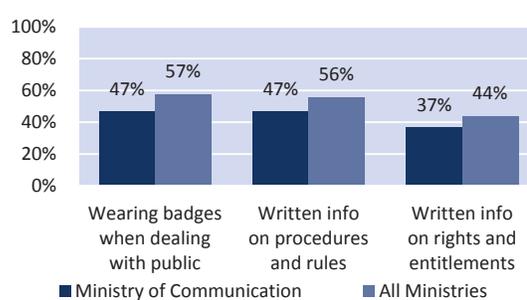
Complaints about financial and administrative corruption are received by the office of the Inspector General through the hotline, from the Minister's office or from one of the anti-corruption agencies in Iraq.

Number of employees (2011): 2,546 Percentage of employees with regular contacts with citizens: 39.7%
 Staff of IG Office (2011): 106 Percentage of employees offered a bribe in the past 12 months: 4.5%
 Percentage of female employees: 35.9% Established in 2003

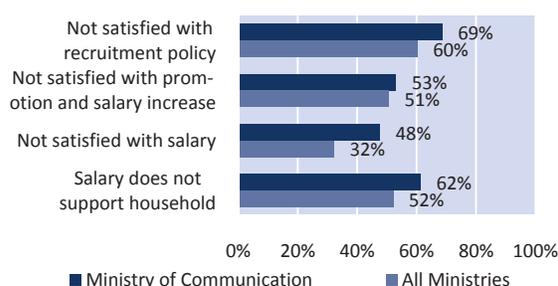
Percentage of staff who have received any type of training including specific anti-corruption training



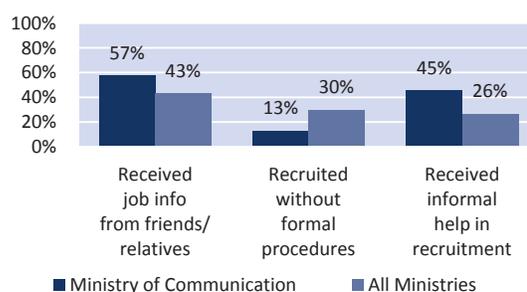
Percentage of staff reporting selected transparency measures as common



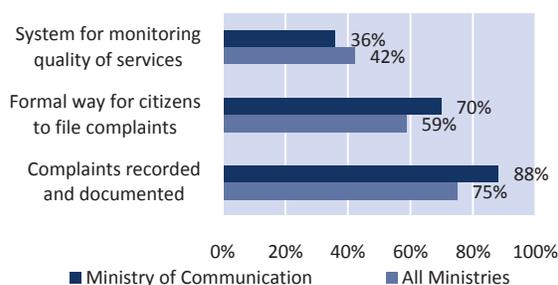
Percentage of staff not satisfied with various aspects of employment



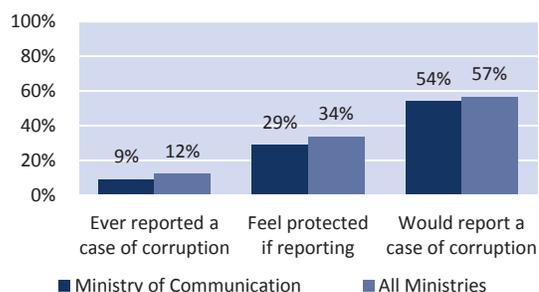
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Construction and Housing (Federal Government)

Established in the 1920s, the Ministry of Construction and Housing now operates on the basis of Law Nr. 62 of 1987. The Ministry proposes plans in the field of buildings, housing, roads, bridges, airports and other construction projects, conducts studies, carries out quality control activities and implements selected construction projects, either through its own, state-owned, companies or through private local or international companies. Most of the Ministry's procurement contracts relate to construction projects of housing complexes, buildings, roads and bridges.

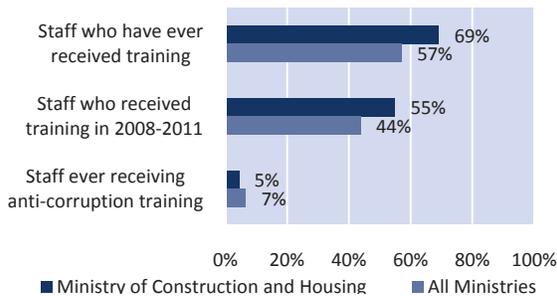
Complaints on corruption can be made either through a system of complaint boxes, by email, through a hotline, or in person to the Inspector General, who follows up with investigation, verification, inspection and auditing.

Number of employees (2011): 23,174 Percentage of employees with regular contacts with citizens: 28.7%

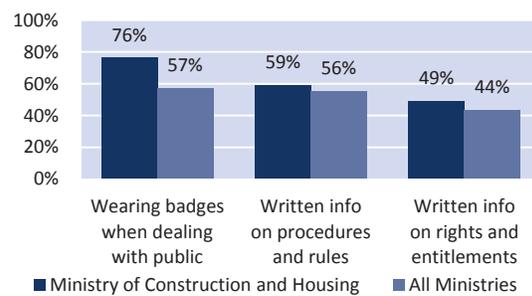
Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: 3.5%

Percentage of female employees: 24.8% Established in the 1920s

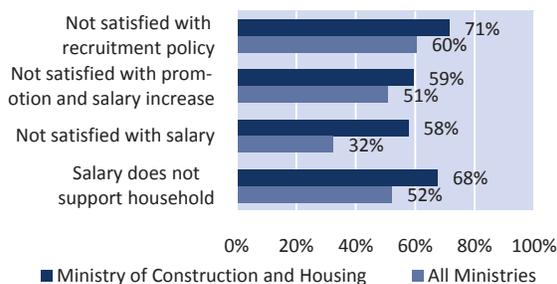
Percentage of staff who have received any type of training including specific anti-corruption training



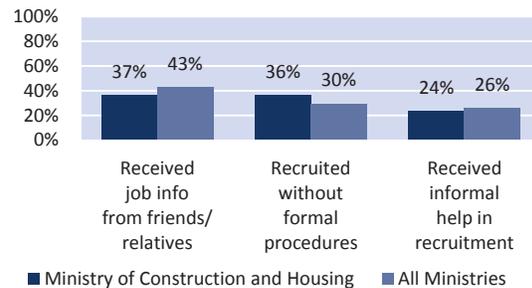
Percentage of staff reporting selected transparency measures as common



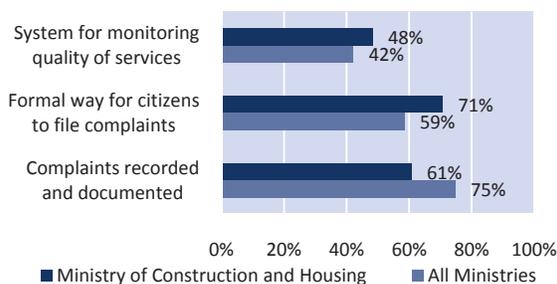
Percentage of staff not satisfied with various aspects of employment



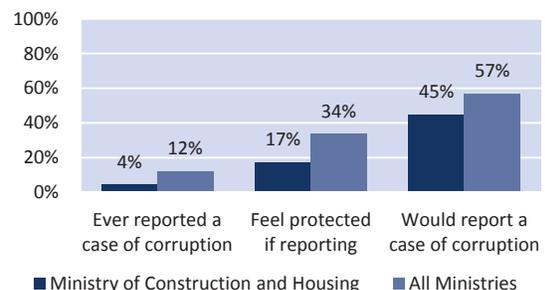
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Youth and Sport (Federal Government)

The Ministry of Youth and Sport replaced the Youth and Sport Commission after 2003. Its current mandate is based on a new Law that was approved in 2011. According to this law, the Ministry is a service ministry and the highest official government agency concerned with youth and sports affairs. Besides physical education, it is also concerned with youth culture and arts, sports medicine and international relations and cooperation. To oversee procurement contracts and public tenders, a new contracts department was created in 2011. Most contracts relate to the procurement of supplies and sport equipment.

Complaints about corruption can be made to the office of the Inspector General, including through its complaint boxes in each directorate, by email or through a hotline. At the level of the Ministry, the Citizens Complaints Section receives complaints and reports directly to the Minister's Office.

Number of employees (2011): 5,800 Percentage of employees with regular contacts with citizens: 25.2%
 Staff of IG Office (2011): 154 Percentage of employees offered a bribe in the past 12 months: 2.4%
 Percentage of female employees: 36.3% Established in 2011

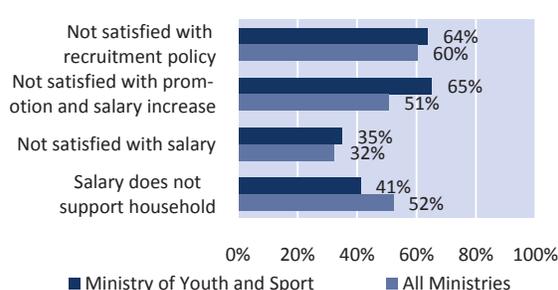
Percentage of staff who have received any type of training including specific anti-corruption training



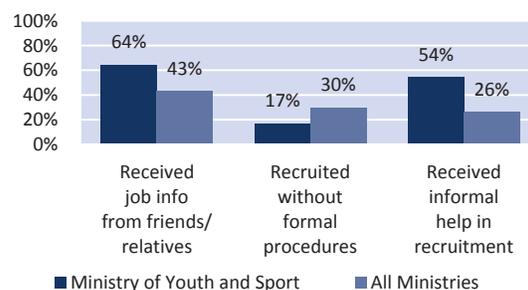
Percentage of staff reporting selected transparency measures as common



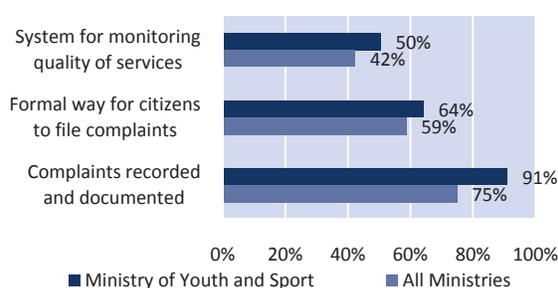
Percentage of staff not satisfied with various aspects of employment



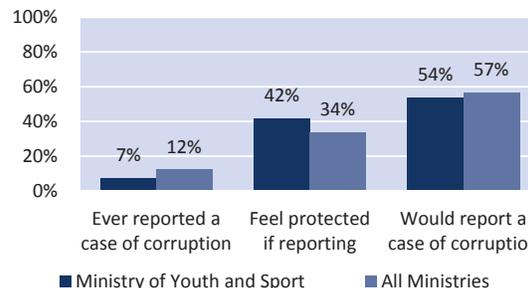
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



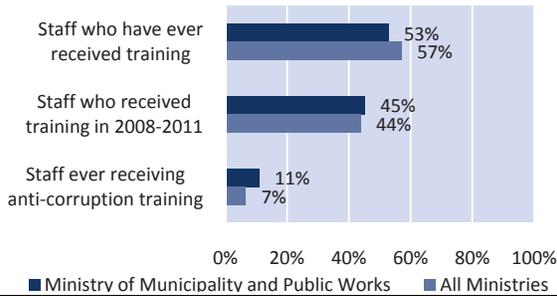
Ministry of Municipalities and Public Works (Federal Government)

The Ministry was established in September 2003 by Coalition Provisional Authority Order Nr. 33 to cover all service delivery aspects of water, sewerage, urban roads, garbage collection and disposal, and the urban development planning parts of public works. The Ministry's task include the rehabilitation of the primary water supply and sewage treatment plants, providing municipal services (paving, parks, land distribution, bridges and property rental) and other local development projects. Procurement and supply contracts of the Ministry include pumping stations, pipelines, waste water treatment, desalination plants and other machinery.

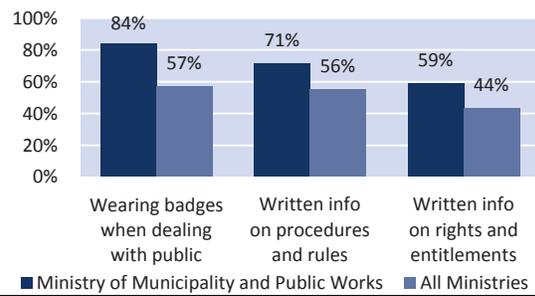
Complaints can be made by e-mail or personally to the inspection departments in the Governorates. Complaints are followed up by the Complaints Investigation Program, and if necessary through investigative committees.

Number of employees (2011): 67,704 Percentage of employees with regular contacts with citizens: 52.4%
 Staff of IG Office (2011): 348 Percentage of employees offered a bribe in the past 12 months: 6.5%
 Percentage of female employees: 18.5% Established in 2003

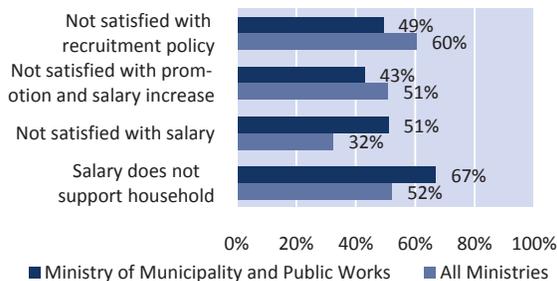
Percentage of staff who have received any type of training including specific anti-corruption training



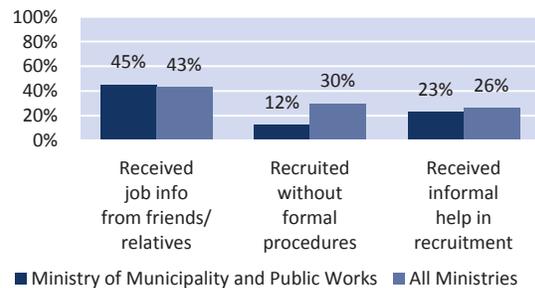
Percentage of staff reporting selected transparency measures as common



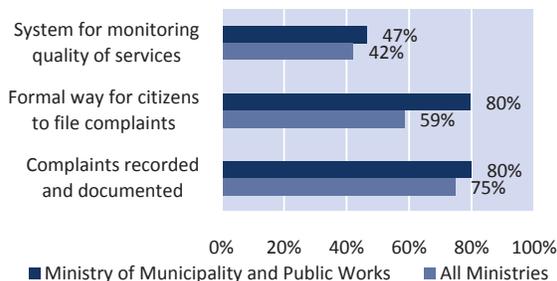
Percentage of staff not satisfied with various aspects of employment



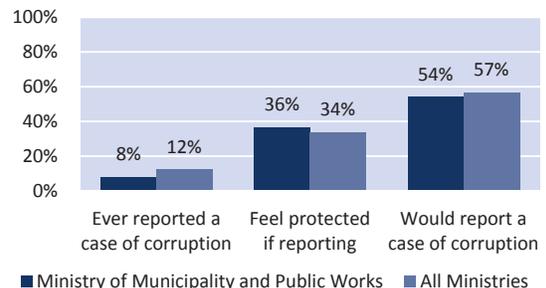
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Labour and Social Affairs (Federal Government)

The Ministry of Labour and Social Affairs works pursuant to the Ministry Law Nr. 8 of 2006 and is tasked with providing services and benefits to Iraq's most needy citizens. The Ministry administers the private social security pension fund and the welfare program for children, elderly, disabled, widows and retirees in need. It manages orphanages, day care centres, nursing homes, homes for disabled persons, employment and rehabilitation centres. Procurement and service contracts relate mainly to project implementation (e.g. constructions), catering for care homes, work and training programmes.

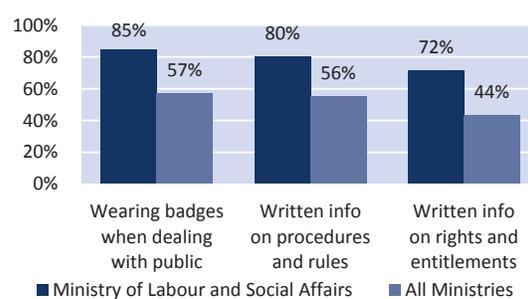
The Inspector General investigates reports of corruption and, if required, investigative committees are established to follow up on complaints and allegations.

| | |
|---------------------------------------|---|
| Number of employees (2011): 12,028 | Percentage of employees with regular contacts with citizens: 37.6% |
| Staff of IG Office (2011): 143 | Percentage of employees offered a bribe in the past 12 months: 2.9% |
| Percentage of female employees: 35.8% | Established in 1939 |

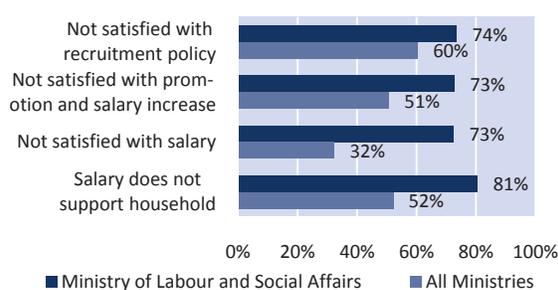
Percentage of staff who have received any type of training including specific anti-corruption training



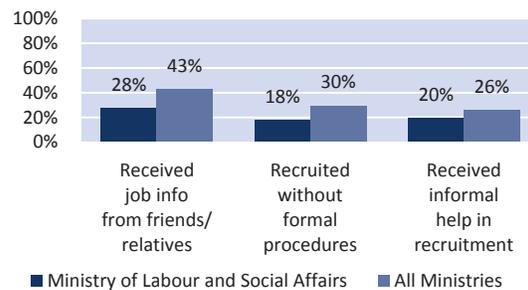
Percentage of staff reporting selected transparency measures as common



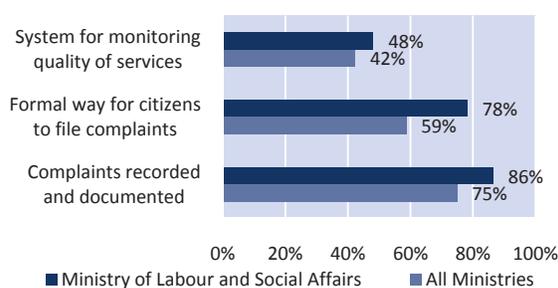
Percentage of staff not satisfied with various aspects of employment



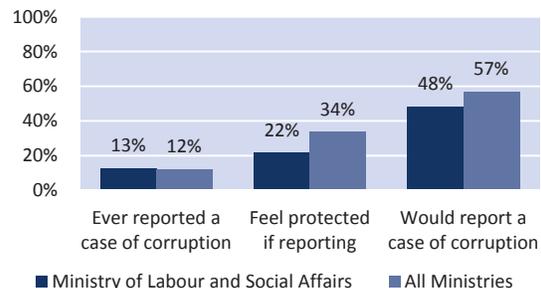
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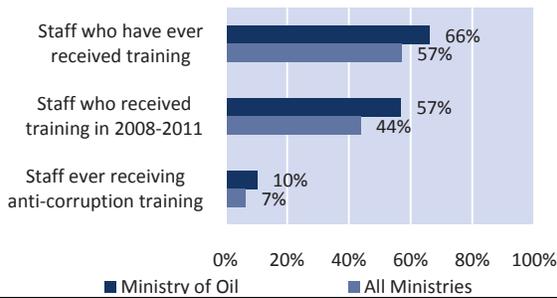
Ministry of Oil (Federal Government)

The Ministry of Oil has responsibility for oil and gas production and development and oversees the exploration, distribution, refinement, transfer and marketing of oil and gas through a number of state companies under its responsibility. Procurement contracts relate to the supply of a variety of materials, equipment and devices (chemicals, safety equipment, spare parts, specialized machines, valves, tanks, pipelines, pumps, turbines, generators, measuring devices, drilling towers and accessories).

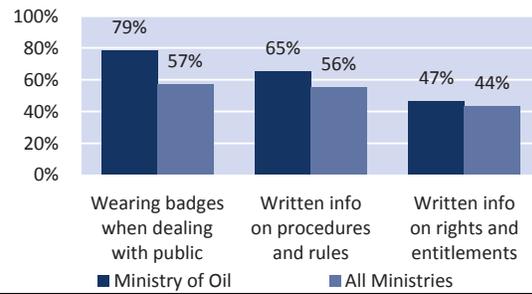
Complaints about corruption can be made to the office of the Inspector General, including through its hotline, by email or personally. At the level of the Ministry, procedures for reporting cases of corruption include through complaint boxes, by email or personally.

Number of employees (2011): 121,176 Percentage of employees with regular contacts with citizens: 24.0%
 Staff of IG Office (2011): 207 Percentage of employees offered a bribe in the past 12 months: 2.5%
 Percentage of female employees: 14.9% Established in 1959

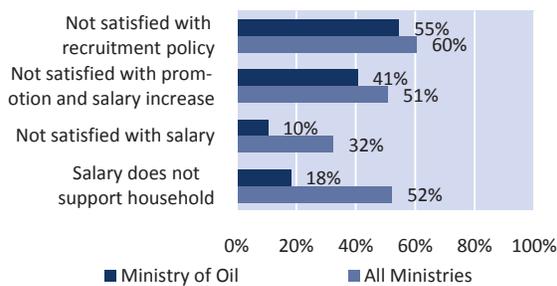
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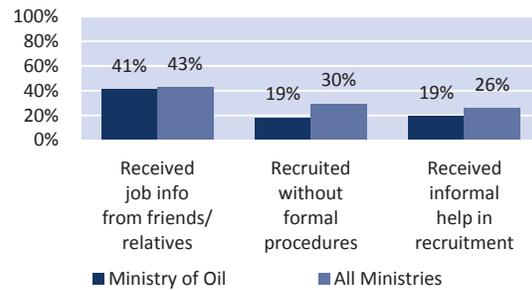
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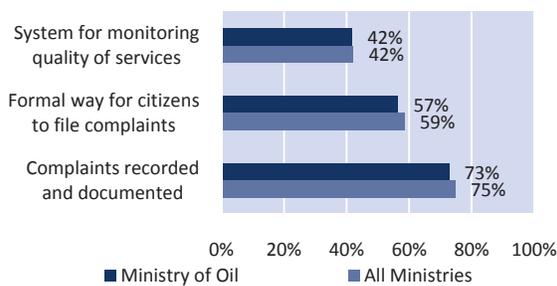
Percentage of staff not satisfied with various aspects of employment



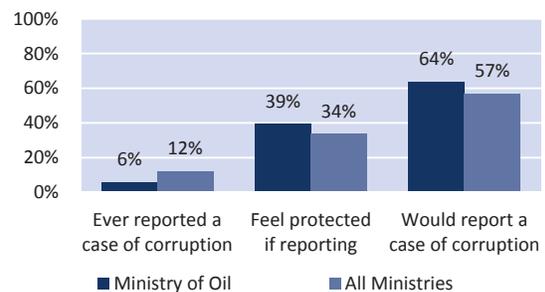
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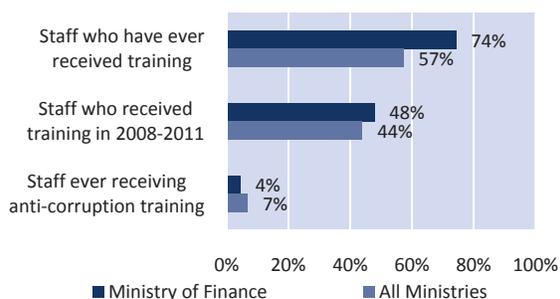
Ministry of Finance (Federal Government)

The Ministry of Finance carries out its tasks and services pursuant to Law Nr. 1 of 1990, as amended. It manages and organizes state funds and the public treasury (payment of pensioners and state employees, investment projects etc.), manages the tax system, supervises banking and insurance activities and establishes economic policy. Procurement contracts relate mainly to its activities and services.

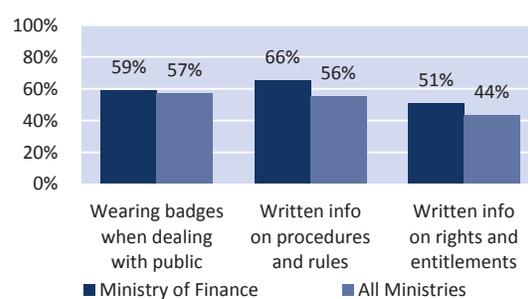
Complaints about corruption can be made to the Complaints Section of the Inspector General, or to one of its supervisory agencies distributed in all Ministry departments, companies, commissions and banks in Baghdad and the Governorates. At the level of the Ministry, complaints can be filed through the Citizens Complaints Section.

| | |
|---------------------------------------|---|
| Number of employees (2011): 35,160 | Percentage of employees with regular contacts with citizens: 66.2% |
| Staff of IG Office (2011): 168 | Percentage of employees offered a bribe in the past 12 months: 6.8% |
| Percentage of female employees: 59.1% | Established in 1921 |

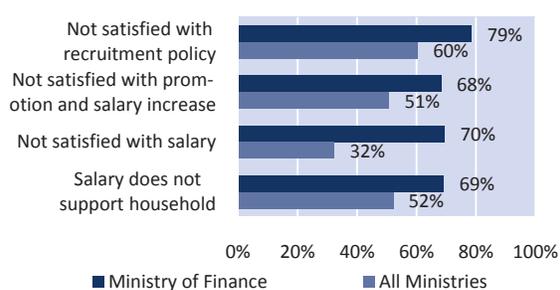
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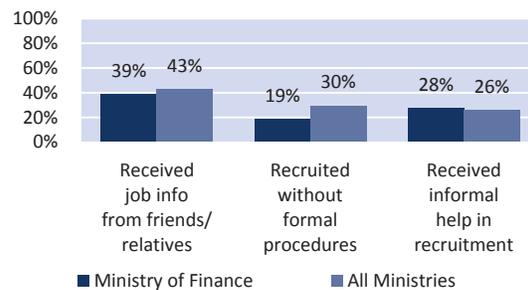
Percentage of staff reporting selected transparency measures as common



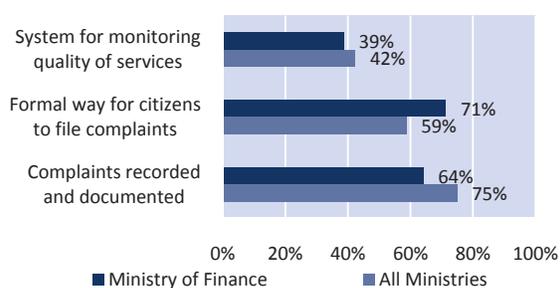
Percentage of staff not satisfied with various aspects of employment



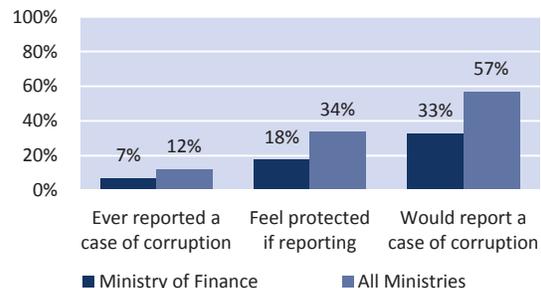
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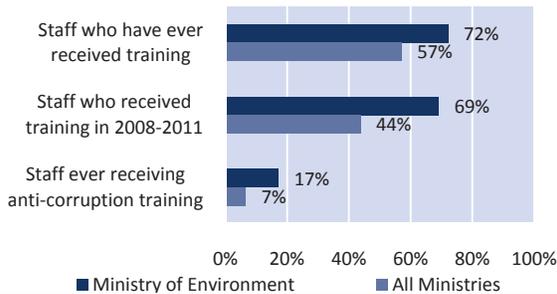
Ministry of Environment (Federal Government)

The Ministry of Environment was established in September 2003 by Coalition Provisional Authority Order Nr. 44 to implement projects and programmes to improve the environment and to promote environmental health. The Ministry monitors industrial activities, energy use, fauna, flora and nature reserves, proposes policy, drafts regulations, develops plans for environmental protection, conducts studies, surveys, environmental safety tests and carries out impact assessments of projects. Many activities are also concerned with controlling and supervising the other ministries' activities related to the environment. Procurement contracts are often related to the supply of laboratory environmental control equipment, construction projects and environmental consulting.

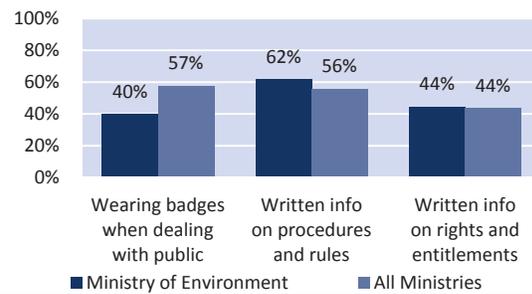
Complaints on corruption can be made to the Inspector General through its hotline, mail, email and complaint box. At the level of the Ministry, complaints can be filed to the personnel affairs office.

| | |
|---------------------------------------|---|
| Number of employees (2011): 2,039 | Percentage of employees with regular contacts with citizens: 27.5% |
| Staff of IG Office (2011): 80 | Percentage of employees offered a bribe in the past 12 months: 5.0% |
| Percentage of female employees: 15.0% | Established in 1959 |

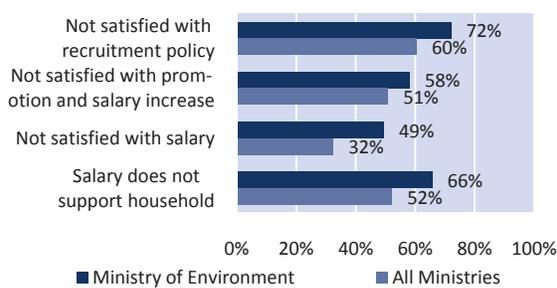
Percentage of staff who have received any type of training including specific anti-corruption training



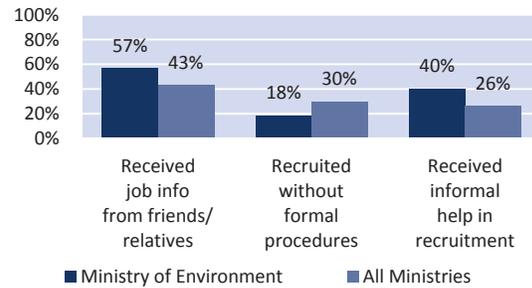
Percentage of staff reporting selected transparency measures as common



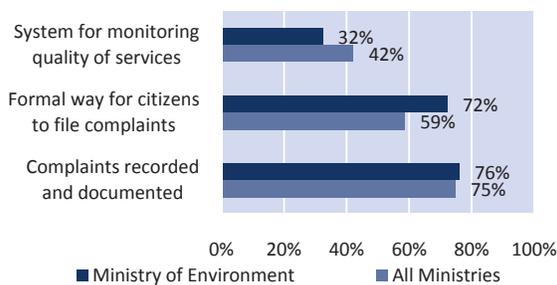
Percentage of staff not satisfied with various aspects of employment



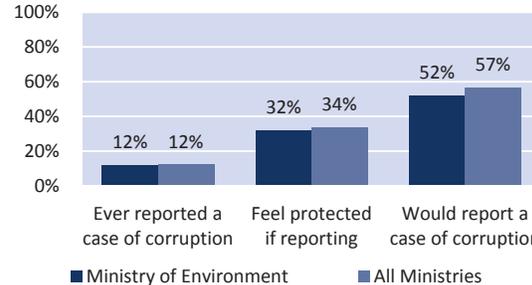
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Health (Federal Government)

Number of employees (2008): 152,790

Percentage of employees with regular contacts with citizens: 60.7%

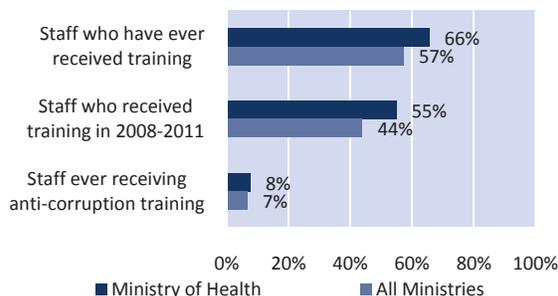
Staff of IG Office: ?

Percentage of employees offered a bribe in the past 12 months: 3.7%

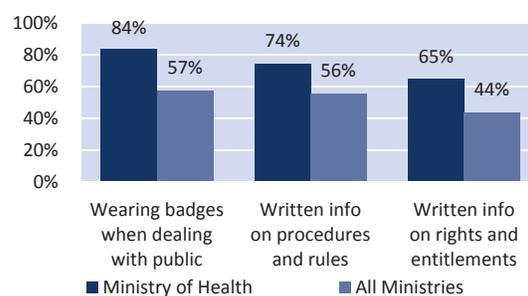
Percentage of female employees: 32.6%

Established in ?

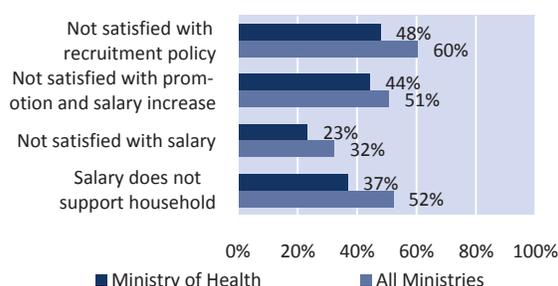
Percentage of staff who have received any type of training including specific anti-corruption training



Percentage of staff reporting selected transparency measures as common



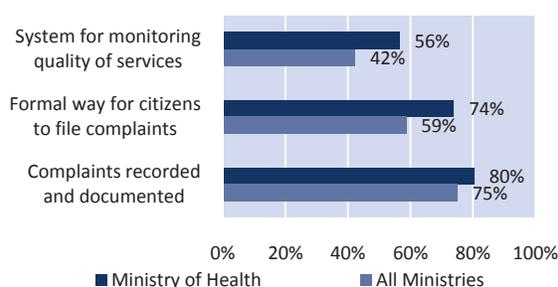
Percentage of staff not satisfied with various aspects of employment



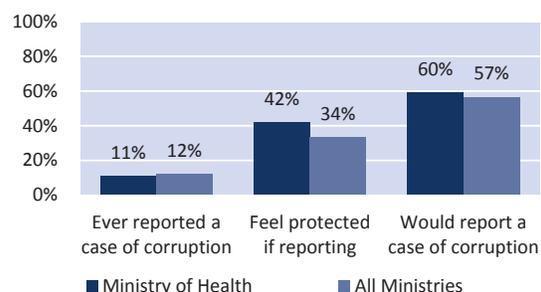
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



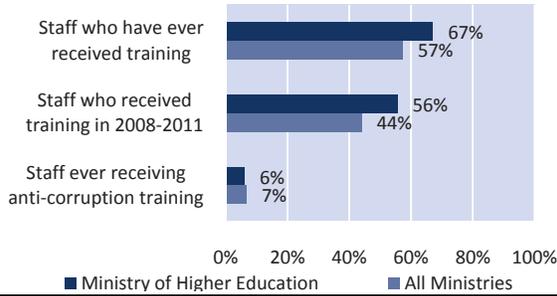
Percentage of staff reporting corrupt practices and percentage feeling protected



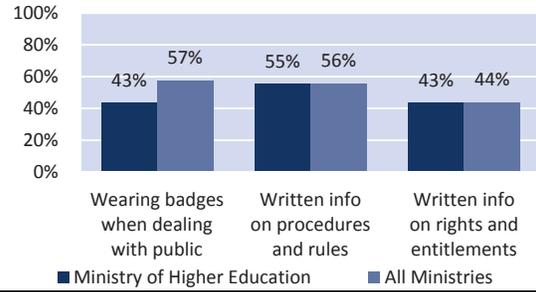
Ministry of Higher Education (Federal Government)

Number of employees (2008): 84,159 Percentage of employees with regular contacts with citizens: 40.6%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: 1.8%
 Percentage of female employees: 36.4% Established in ?

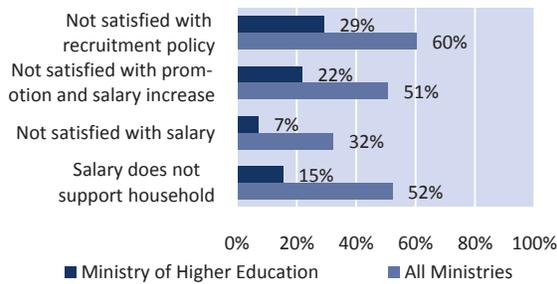
Percentage of staff who have received any type of training including specific anti-corruption training



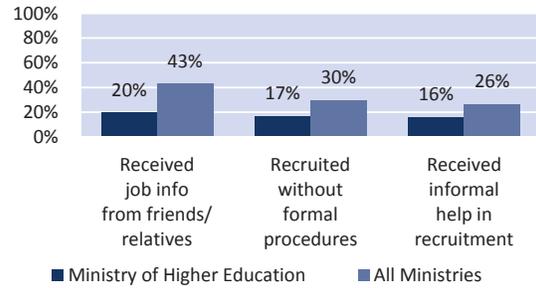
Percentage of staff reporting selected transparency measures as common



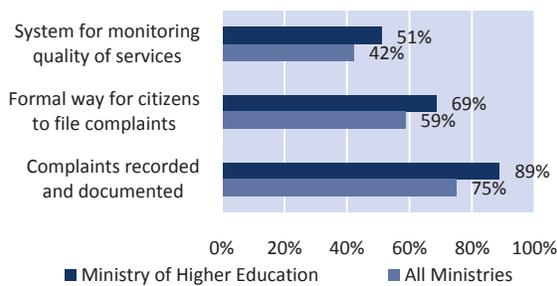
Percentage of staff not satisfied with various aspects of employment



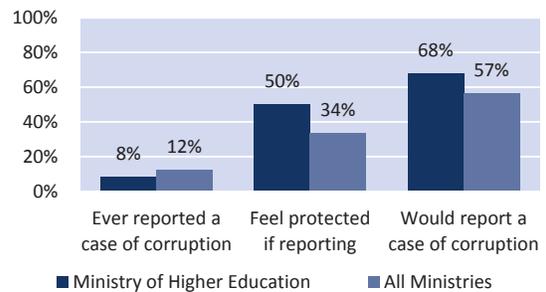
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Justice (Federal Government)

Number of employees (2008): 23,362 Percentage of employees with regular contacts with citizens: 56.6%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: 8.4%
 Percentage of female employees: 41.2% Established in ?

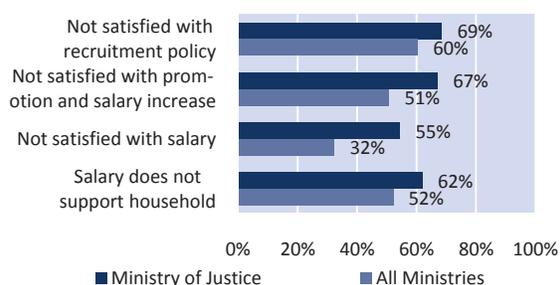
Percentage of staff who have received any type of training including specific anti-corruption training



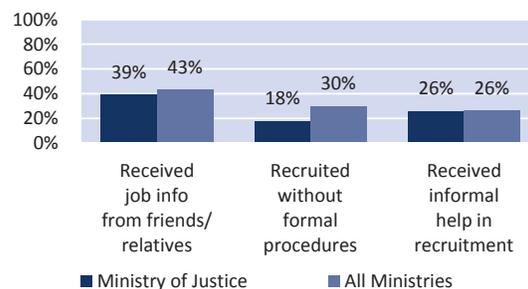
Percentage of staff reporting selected transparency measures as common



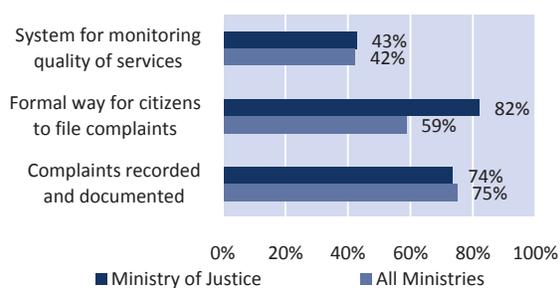
Percentage of staff not satisfied with various aspects of employment



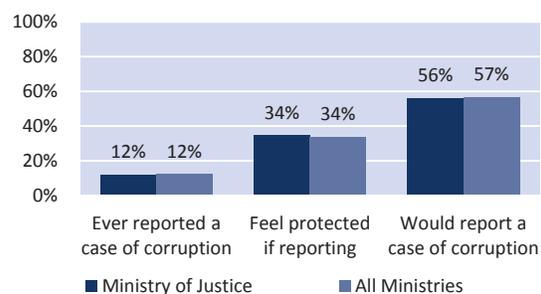
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Water Resources (Federal Government)

Number of employees (2008): 20,569

Percentage of employees with regular contacts with citizens: 38.9%

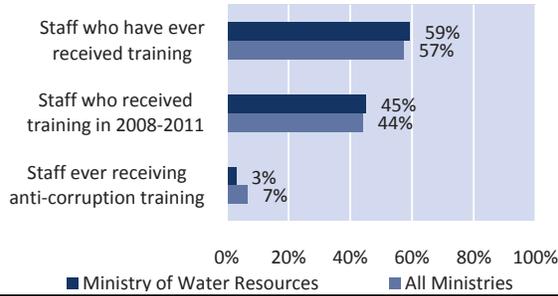
Staff of IG Office: ?

Percentage of employees offered a bribe in the past 12 months: 4.3%

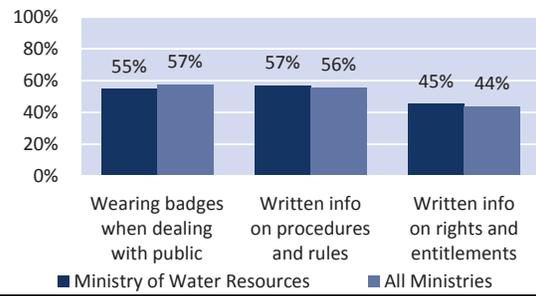
Percentage of female employees: 22.9%

Established in ?

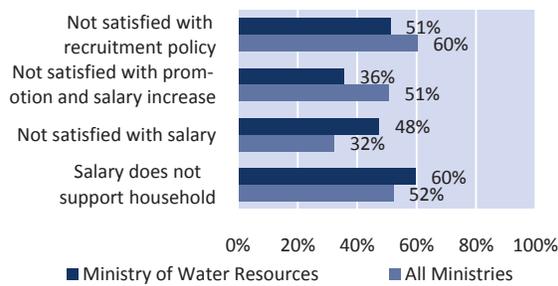
Percentage of staff who have received any type of training including specific anti-corruption training



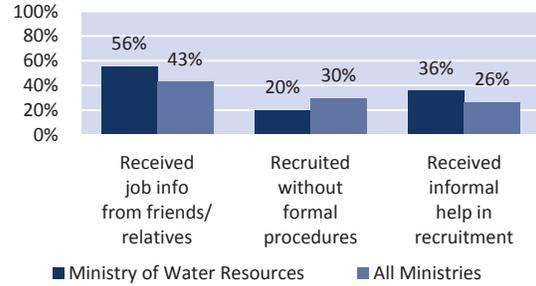
Percentage of staff reporting selected transparency measures as common



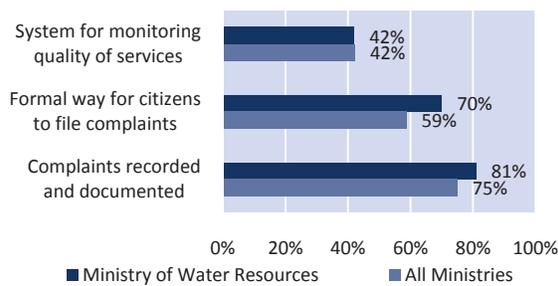
Percentage of staff not satisfied with various aspects of employment



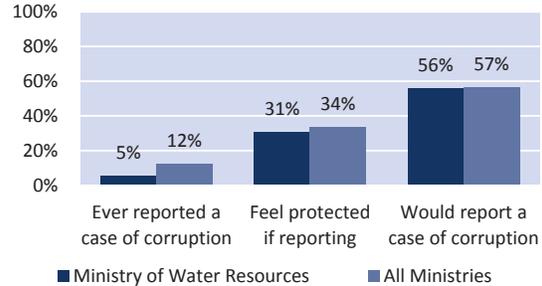
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



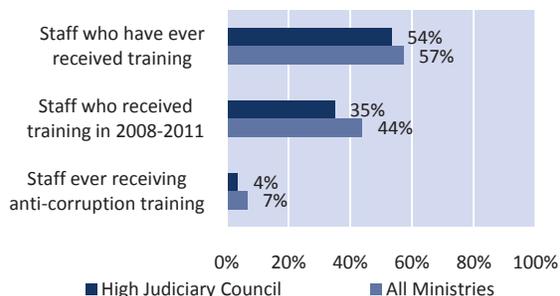
Percentage of staff reporting corrupt practices and percentage feeling protected



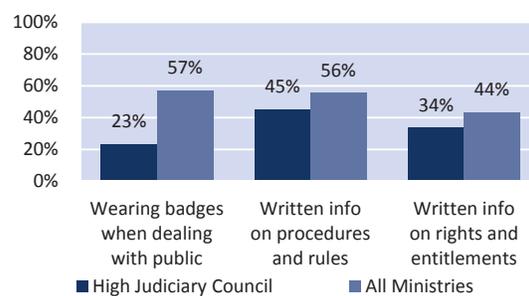
High Judiciary Council (Federal Government)

Number of employees (2008): 11,062 Percentage of employees with regular contacts with citizens: 58.4%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: 5.2%
 Percentage of female employees: 35.1% Established in ?

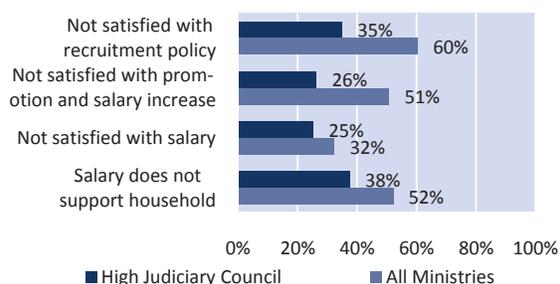
Percentage of staff who have received any type of training including specific anti-corruption training



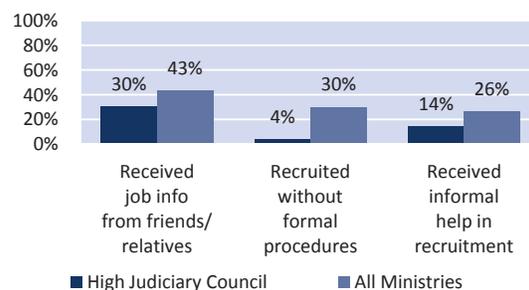
Percentage of staff reporting selected transparency measures as common



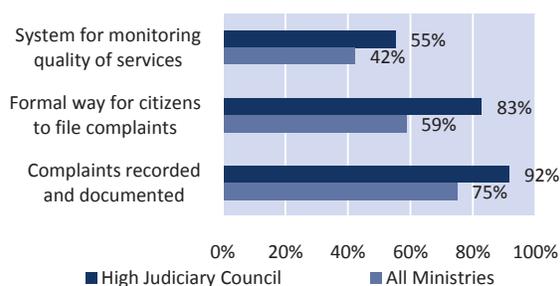
Percentage of staff not satisfied with various aspects of employment



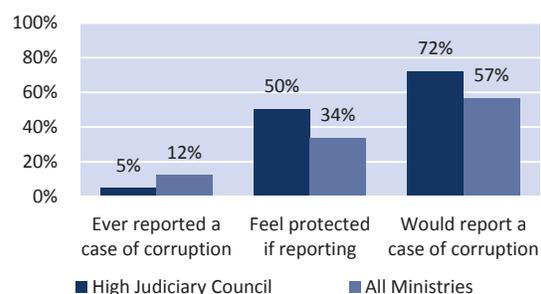
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



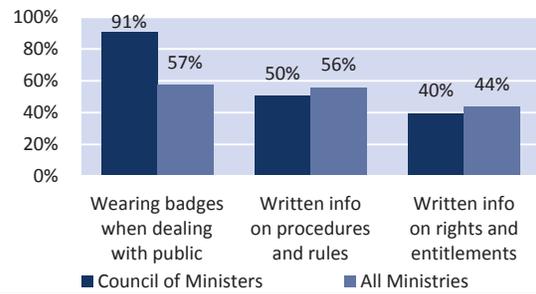
Council of Ministers (Federal Government)

Number of employees (2008): 4,000 Percentage of employees with regular contacts with citizens: 14.0%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: NA*
 Percentage of female employees: 22.0% Established in ?

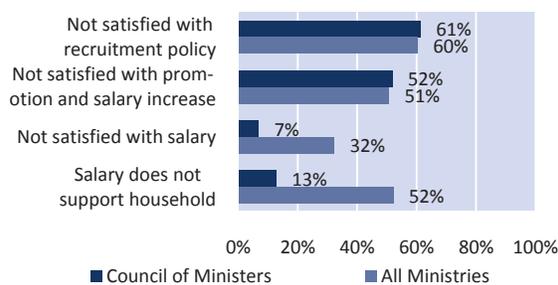
Percentage of staff who have received any type of training including specific anti-corruption training



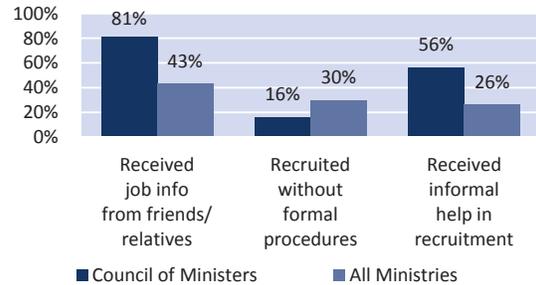
Percentage of staff reporting selected transparency measures as common



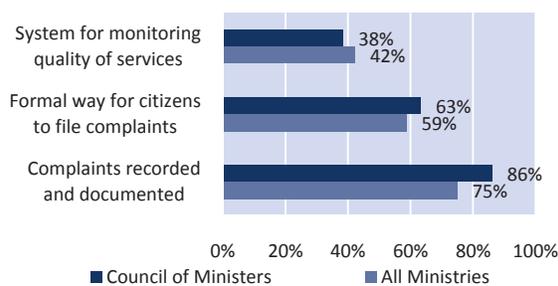
Percentage of staff not satisfied with various aspects of employment



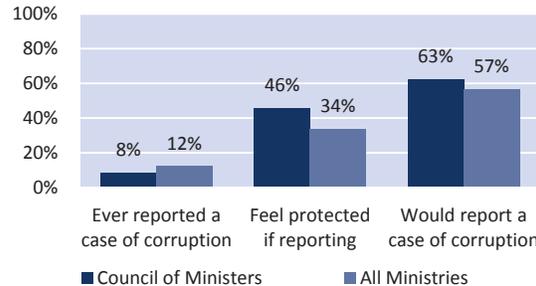
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected

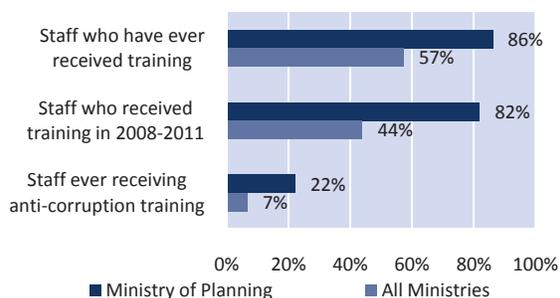


* A statistically significant estimate can not be produced due to the limited number of cases.

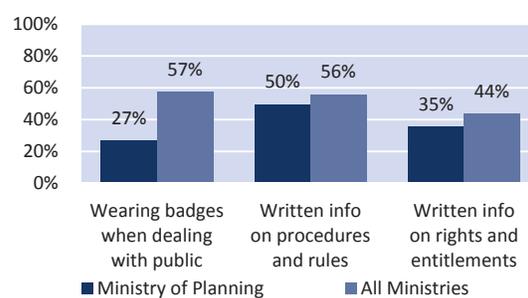
Ministry of Planning (Federal Government)

Number of employees (2008): 3,219 Percentage of employees with regular contacts with citizens: 24.8%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: 2.7%
 Percentage of female employees: 46.0% Established in ?

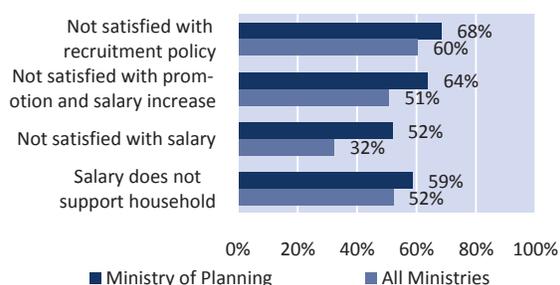
Percentage of staff who have received any type of training including specific anti-corruption training



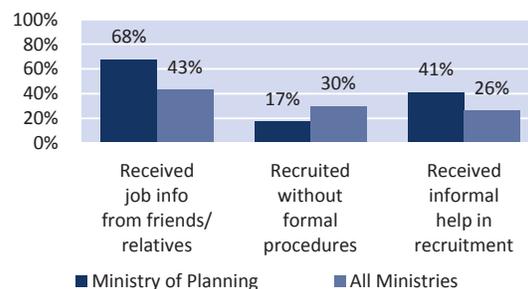
Percentage of staff reporting selected transparency measures as common



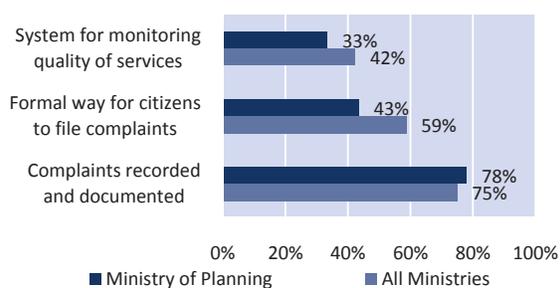
Percentage of staff not satisfied with various aspects of employment



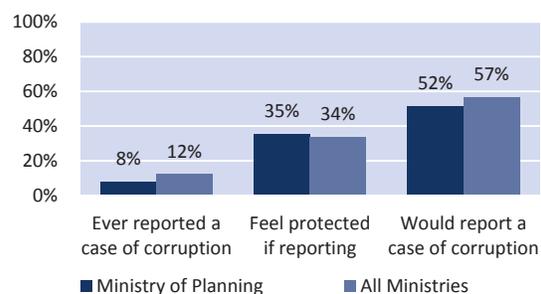
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Foreign Affairs (Federal Government)

Number of employees (2008): 2,232

Percentage of employees with regular contacts with citizens: 12.3%

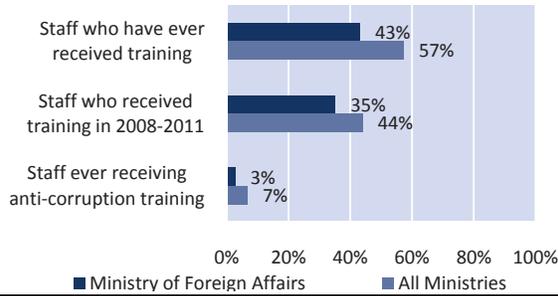
Staff of IG Office: ?

Percentage of employees offered a bribe in the past 12 months: NA*

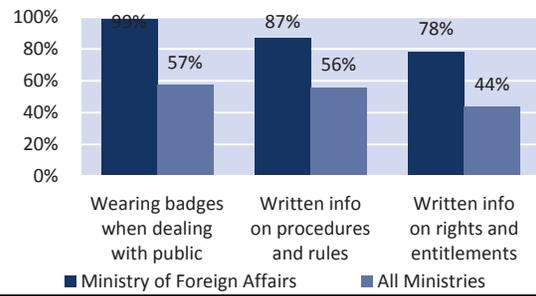
Percentage of female employees: 30.4%

Established in ?

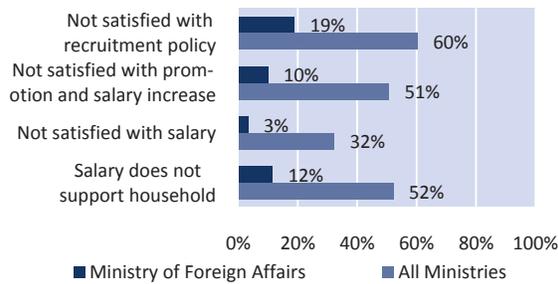
Percentage of staff who have received any type of training including specific anti-corruption training



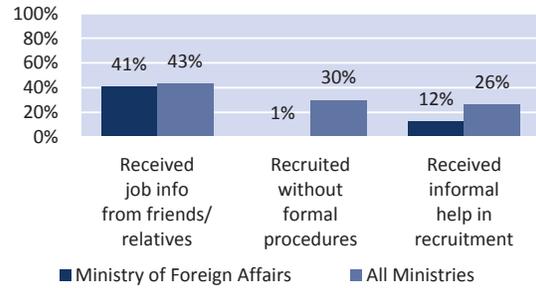
Percentage of staff reporting selected transparency measures as common



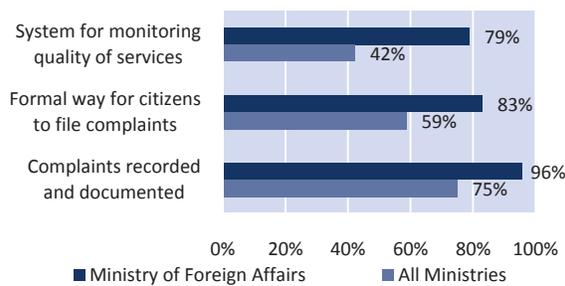
Percentage of staff not satisfied with various aspects of employment



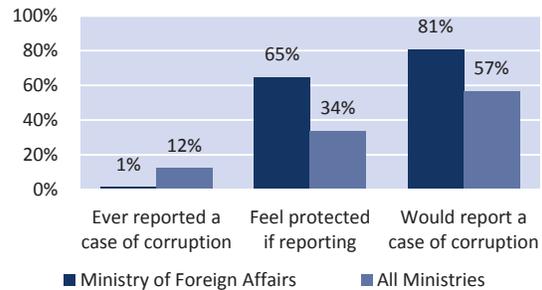
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



* A statistically significant estimate can not be produced due to the limited number of cases.

Board of Supreme Audit (Federal Government)

Number of employees (2008): 2,145

Percentage of employees with regular contacts with citizens: 5.2%

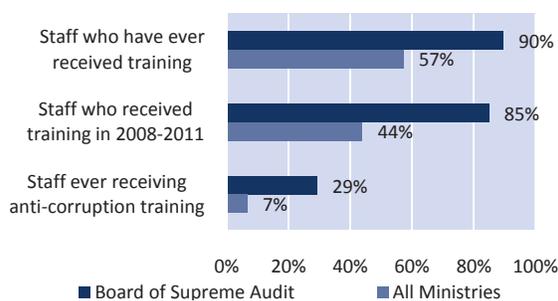
Staff of IG Office: ?

Percentage of employees offered a bribe in the past 12 months: 3.3%

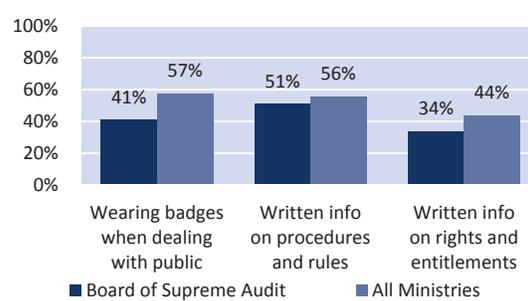
Percentage of female employees: 37.8%

Established in ?

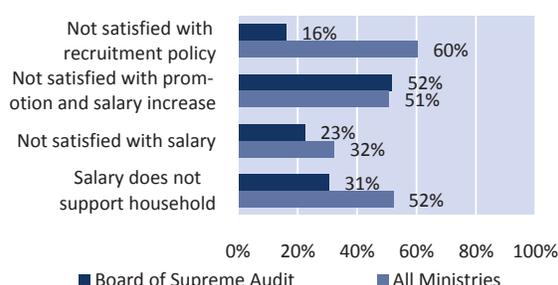
Percentage of staff who have received any type of training including specific anti-corruption training



Percentage of staff reporting selected transparency measures as common



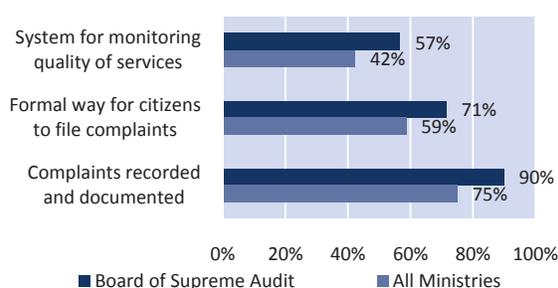
Percentage of staff not satisfied with various aspects of employment



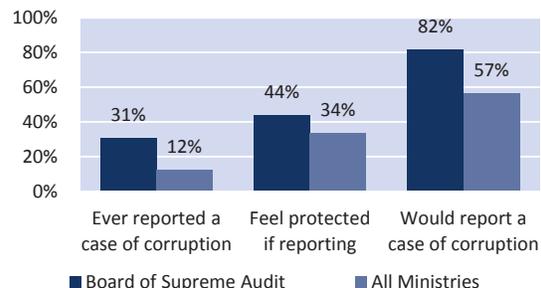
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



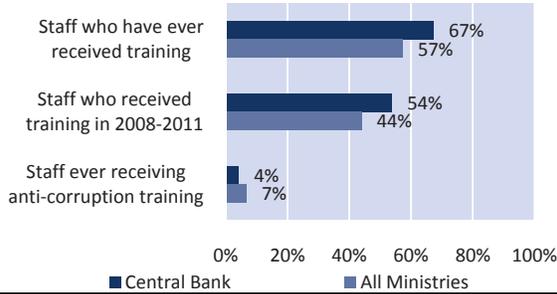
Percentage of staff reporting corrupt practices and percentage feeling protected



Central Bank (Federal Government)

Number of employees (2008): 1,802 Percentage of employees with regular contacts with citizens: 20.2%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: NA*
 Percentage of female employees: 76.9% Established in ?

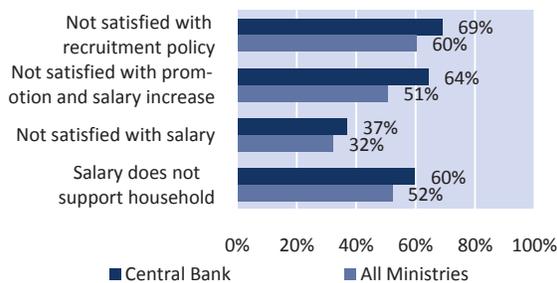
Percentage of staff who have received any type of training including specific anti-corruption training



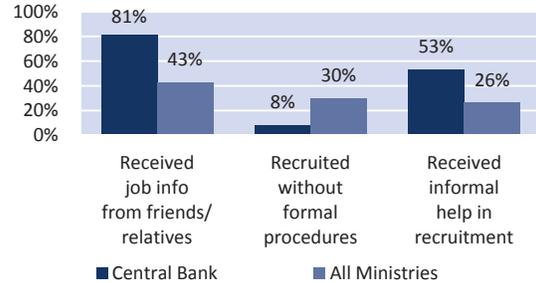
Percentage of staff reporting selected transparency measures as common



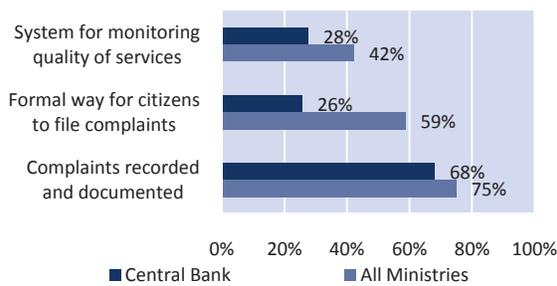
Percentage of staff not satisfied with various aspects of employment



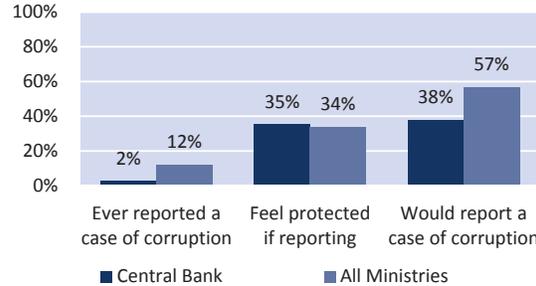
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected

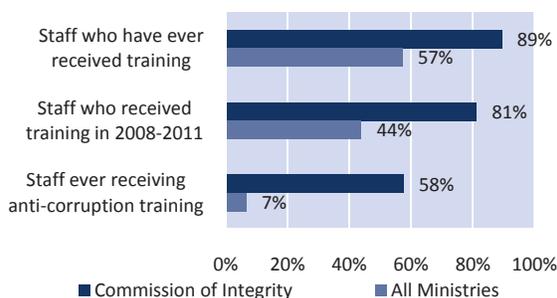


* A statistically significant estimate can not be produced due to the limited number of cases.

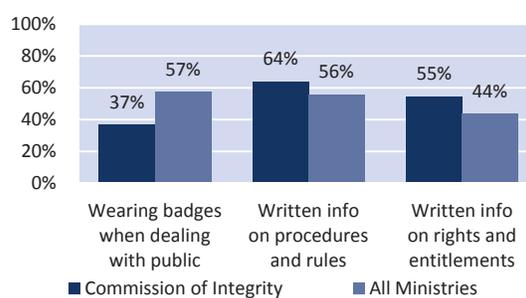
Commission of Integrity (Federal Government)

Number of employees (2008): 1,756 Percentage of employees with regular contacts with citizens: 25.8%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: 2.4%
 Percentage of female employees: 14.1% Established in ?

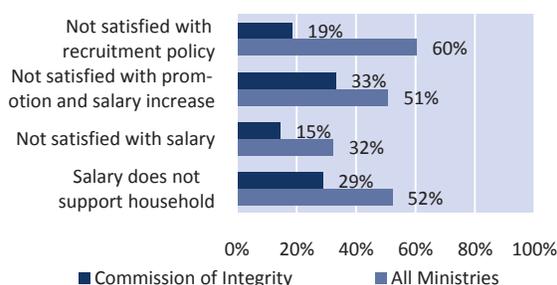
Percentage of staff who have received any type of training including specific anti-corruption training



Percentage of staff reporting selected transparency measures as common



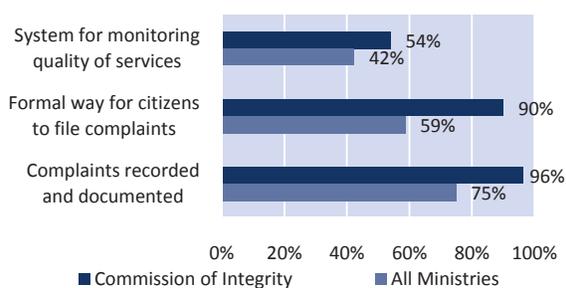
Percentage of staff not satisfied with various aspects of employment



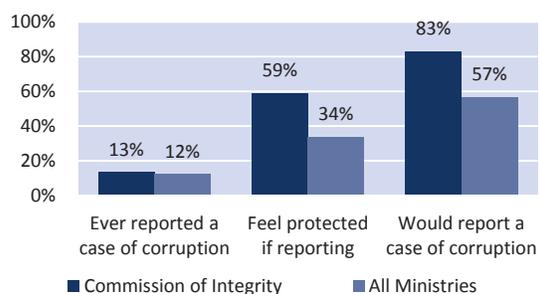
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Investment Commission (Federal Government)

Number of employees (2008): 129

Percentage of employees with regular contacts with citizens: 27.1%

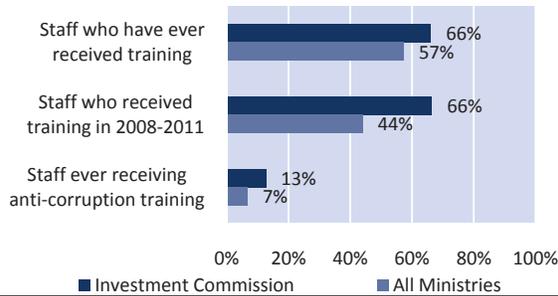
Staff of IG Office: ?

Percentage of employees offered a bribe in the past 12 months: NA*

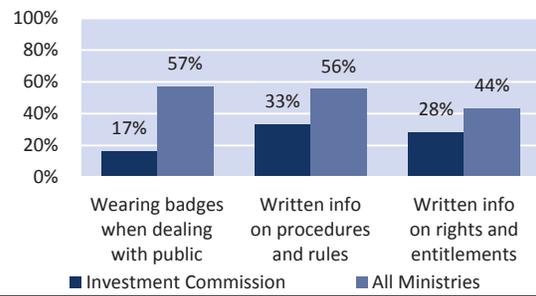
Percentage of female employees: 28.2%

Established in ?

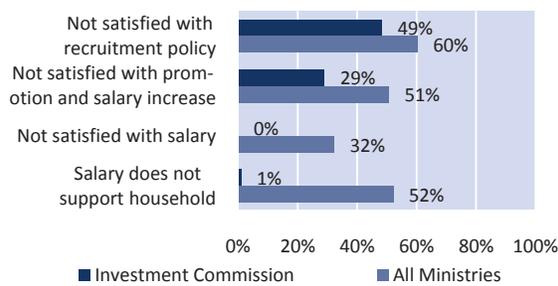
Percentage of staff who have received any type of training including specific anti-corruption training



Percentage of staff reporting selected transparency measures as common



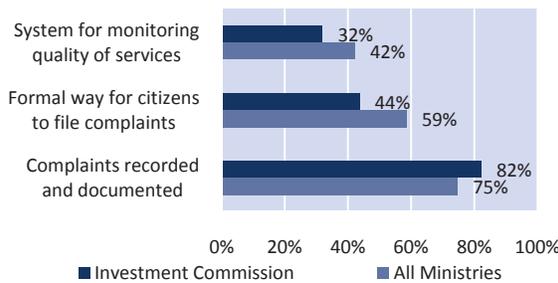
Percentage of staff not satisfied with various aspects of employment



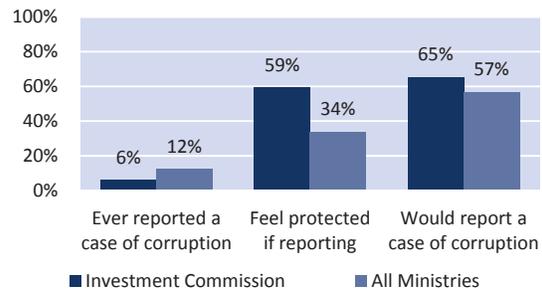
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



* A statistically significant estimate can not be produced due to the limited number of cases.

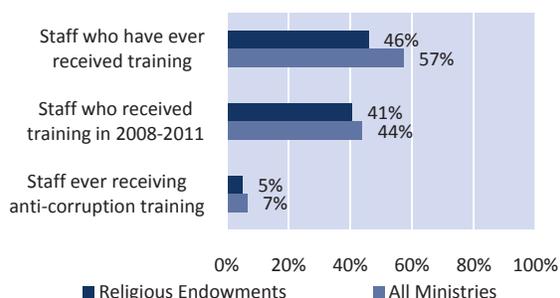
Religious Endowments (Federal Government)

The three religious endowments (Shia, Sunni and Christian) attend to the religious aspects of daily live and engage in awareness raising and providing advice and spiritual care. The endowments also build and maintain religious institutions (mosques, churches, schools, event halls, housing complexes for its employees etc) and manage, develop and invest their endowment funds. Contracts concluded relate mostly to the construction and maintenance of these institutions or to the supply of materials, goods or services.

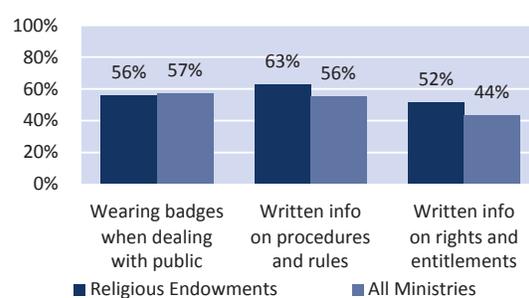
Complaints on corruption are received through e-mail, a hotline and a complaint box or directly by the Commission of Integrity. Complaints are investigated by investigative committees established for this purpose.

Number of employees (2008): 21,984 Percentage of employees with regular contacts with citizens: 55.7%
 Staff of IG Office: ? Percentage of employees offered a bribe in the past 12 months: 1.9%
 Percentage of female employees: 13.5% Established in ?

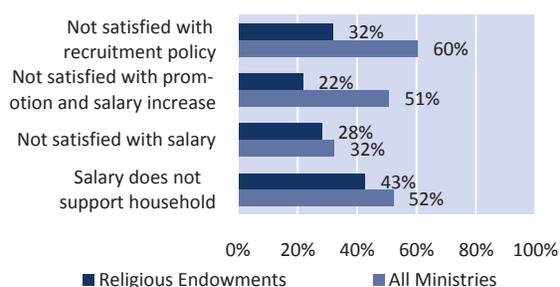
Percentage of staff who have received any type of training including specific anti-corruption training



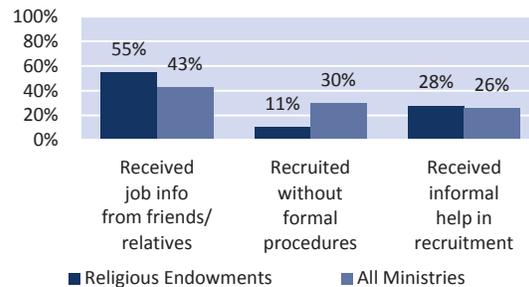
Percentage of staff reporting selected transparency measures as common



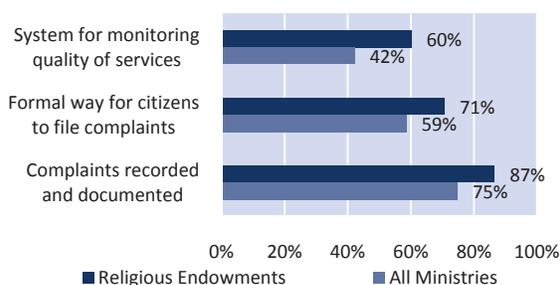
Percentage of staff not satisfied with various aspects of employment



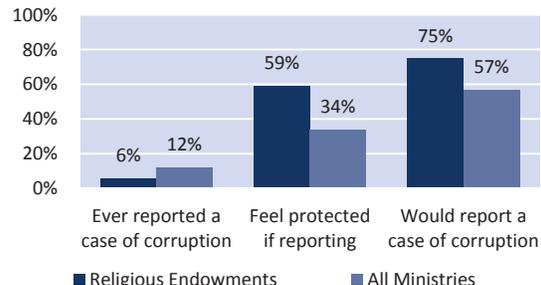
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



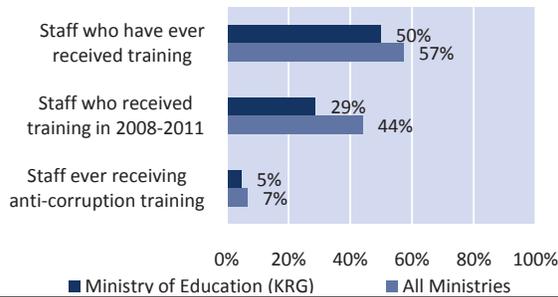
Percentage of staff reporting corrupt practices and percentage feeling protected



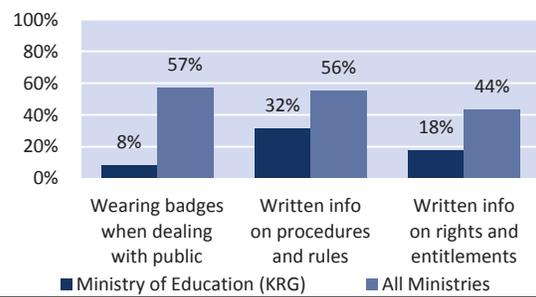
Ministry of Education (Kurdistan Region)

Number of employees (2008): 126,289 Percentage of employees with regular contacts with citizens: 54.5%
 Percentage of female employees: 42.7% Percentage of employees offered a bribe in the past 12 months: 3.2%
 Established in ?

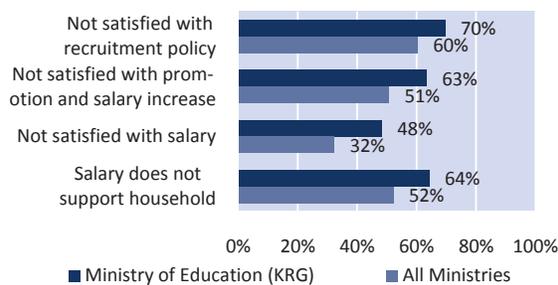
Percentage of staff who have received any type of training including specific anti-corruption training



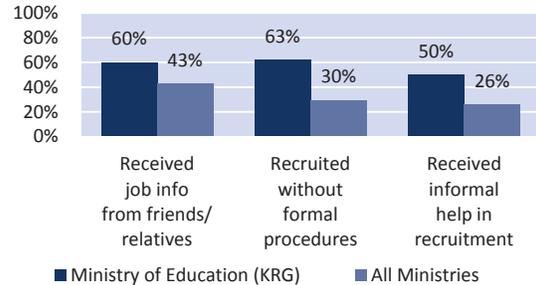
Percentage of staff reporting selected transparency measures as common



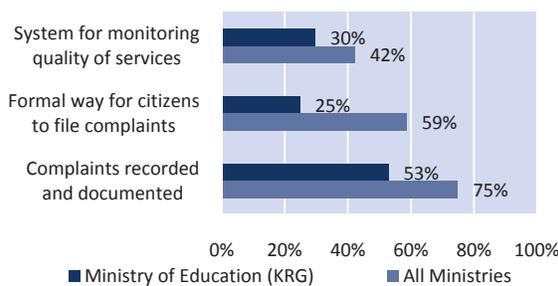
Percentage of staff not satisfied with various aspects of employment



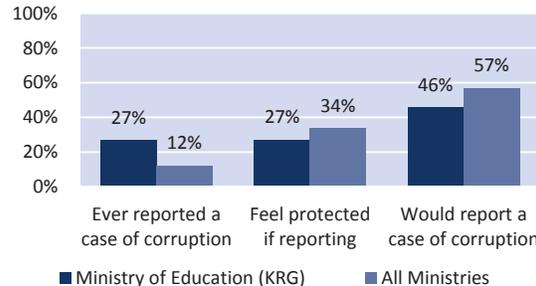
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



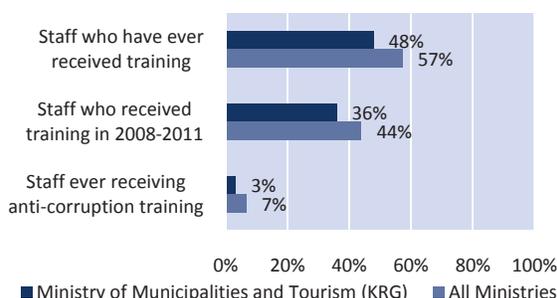
Percentage of staff reporting corrupt practices and percentage feeling protected



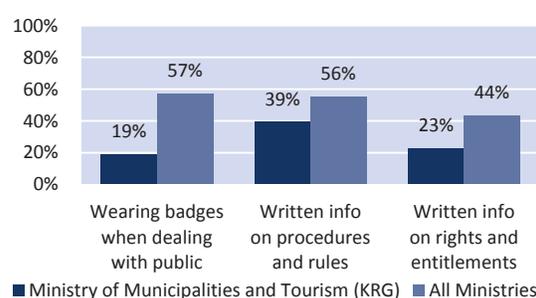
Ministry of Municipalities and Tourism (Kurdistan Region)

Number of employees (2008): 38,497 Percentage of employees with regular contacts with citizens: 58.2%
 Percentage of female employees: 29.8% Percentage of employees offered a bribe in the past 12 months: 2.8%
 Established in ?

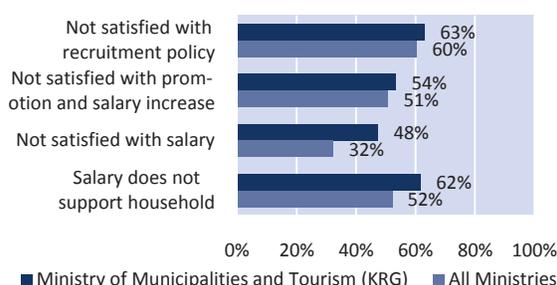
Percentage of staff who have received any type of training including specific anti-corruption training



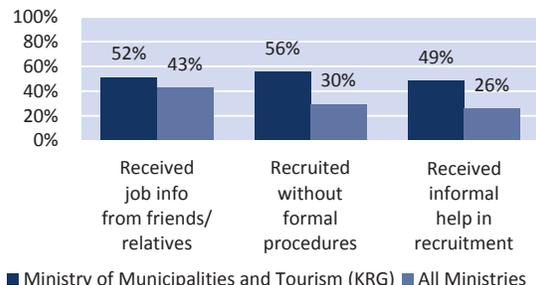
Percentage of staff reporting selected transparency measures as common



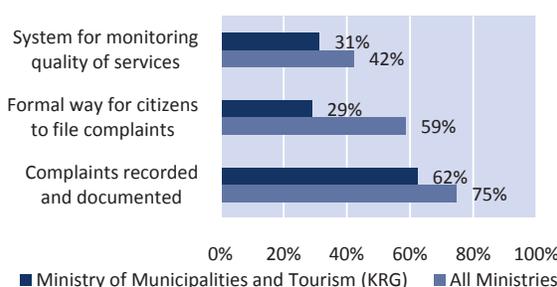
Percentage of staff not satisfied with various aspects of employment



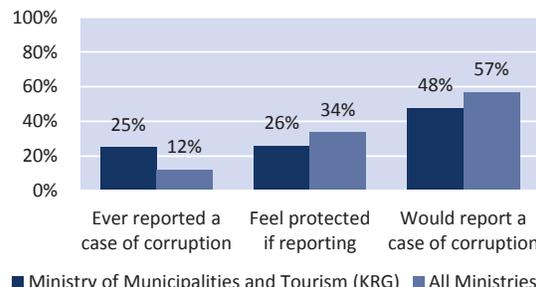
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



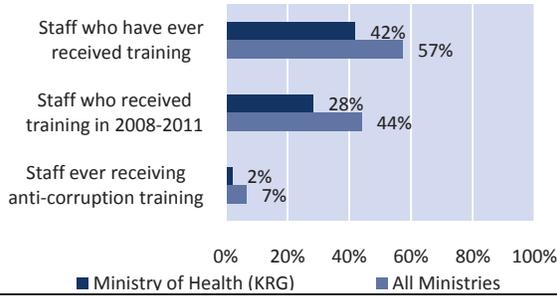
Percentage of staff reporting corrupt practices and percentage feeling protected



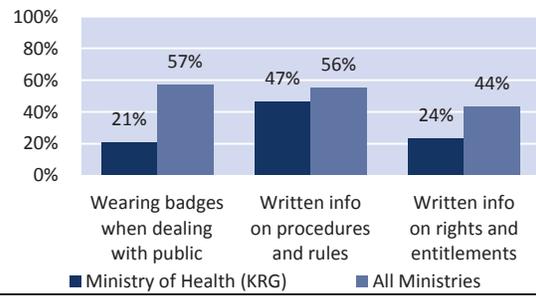
Ministry of Health (Kurdistan Region)

Number of employees (2008): 37,902 Percentage of employees with regular contacts with citizens: 68.2%
 Percentage of female employees: 34.3% Percentage of employees offered a bribe in the past 12 months: 7.3%
 Established in ?

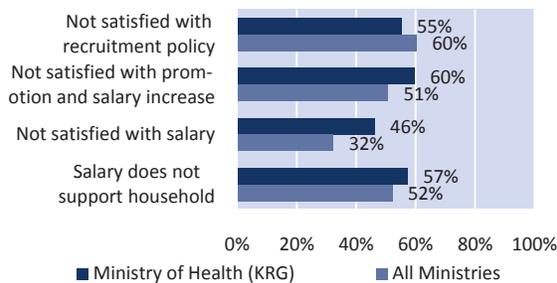
Percentage of staff who have received any type of training including specific anti-corruption training



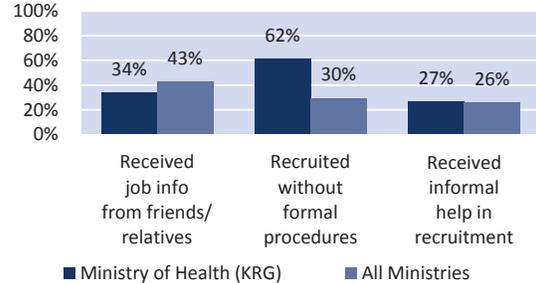
Percentage of staff reporting selected transparency measures as common



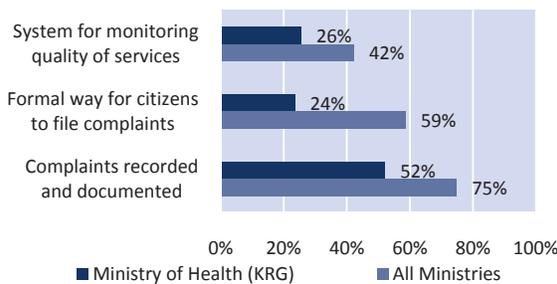
Percentage of staff not satisfied with various aspects of employment



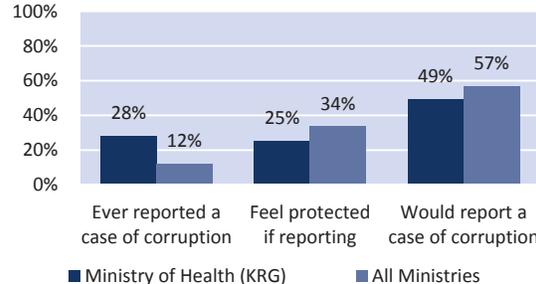
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



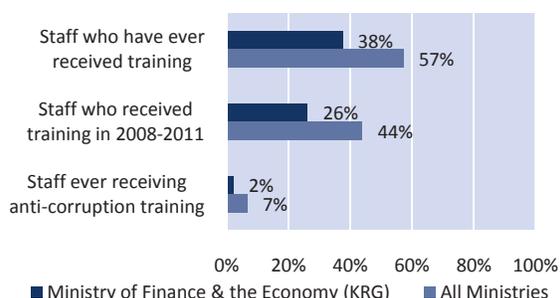
Percentage of staff reporting corrupt practices and percentage feeling protected



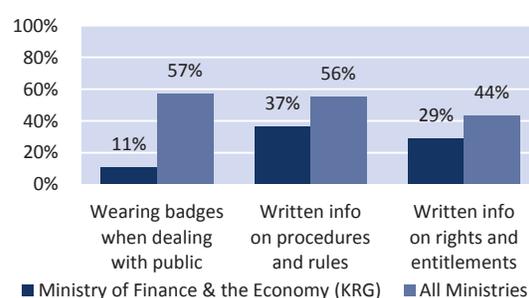
Ministry of Finance & the Economy (Kurdistan Region)

Number of employees (2008): 37,780 Percentage of employees with regular contacts with citizens: 73.1%
 Percentage of female employees: 48.5% Percentage of employees offered a bribe in the past 12 months: 6.0%
 Established in ?

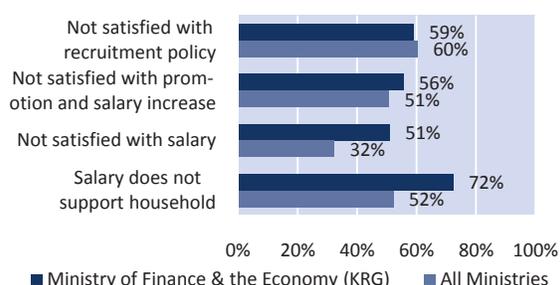
Percentage of staff who have received any type of training including specific anti-corruption training



Percentage of staff reporting selected transparency measures as common



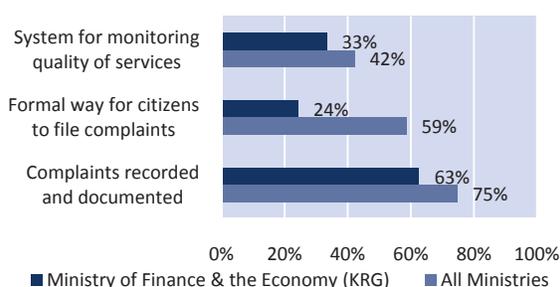
Percentage of staff not satisfied with various aspects of employment



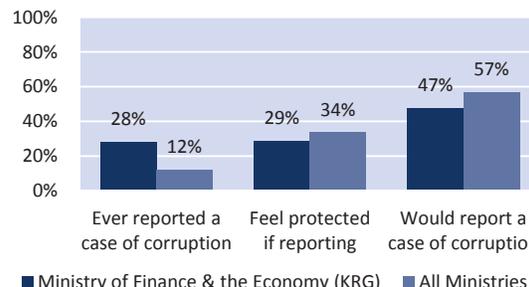
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



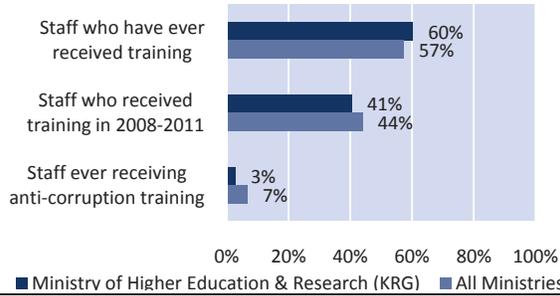
Percentage of staff reporting corrupt practices and percentage feeling protected



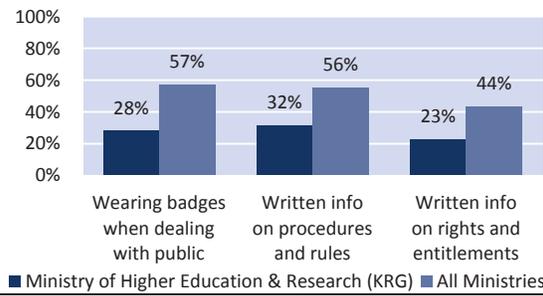
Ministry of Higher Education & Scientific Research (Kurdistan Region)

Number of employees (2008): 18,697 Percentage of employees with regular contacts with citizens: 34.1%
 Percentage of female employees: 40.7% Percentage of employees offered a bribe in the past 12 months: 1.9%
 Established in ?

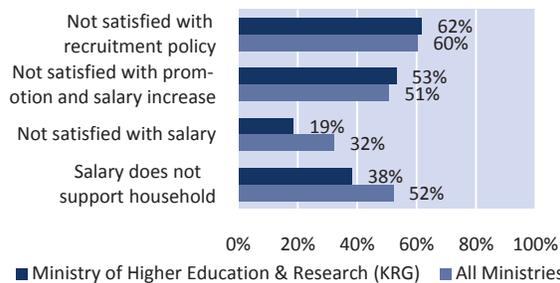
Percentage of staff who have received any type of training including specific anti-corruption training



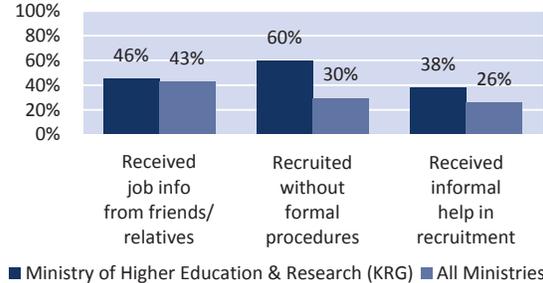
Percentage of staff reporting selected transparency measures as common



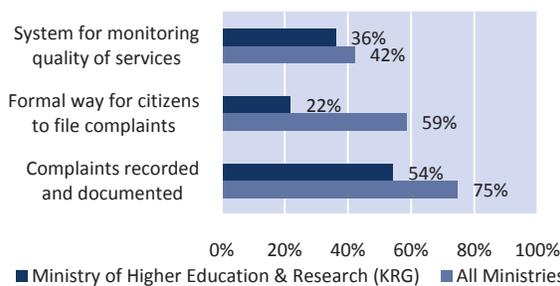
Percentage of staff not satisfied with various aspects of employment



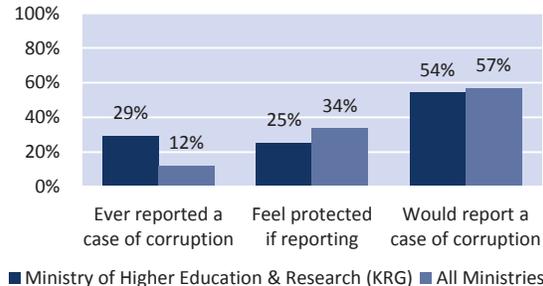
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



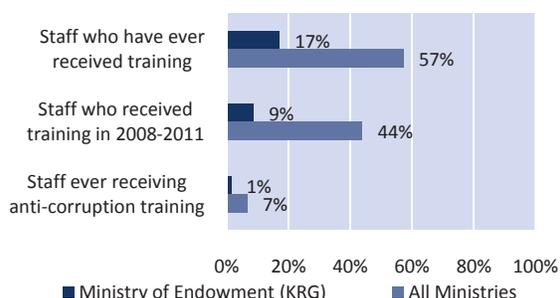
Percentage of staff reporting corrupt practices and percentage feeling protected



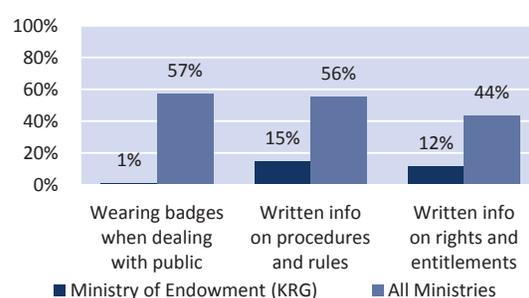
Ministry of Endowment & Religious Affairs (Kurdistan Region)

Number of employees (2008): 14,509 Percentage of employees with regular contacts with citizens: 34.7%
 Percentage of female employees: 20.4% Percentage of employees offered a bribe in the past 12 months: 2.2%
 Established in ?

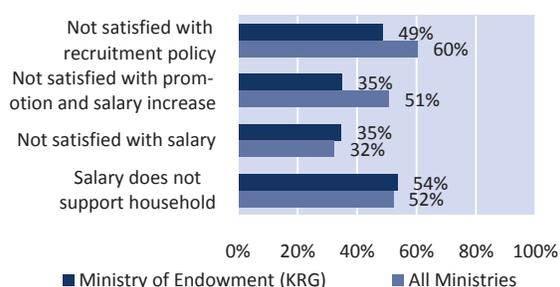
Percentage of staff who have received any type of training including specific anti-corruption training



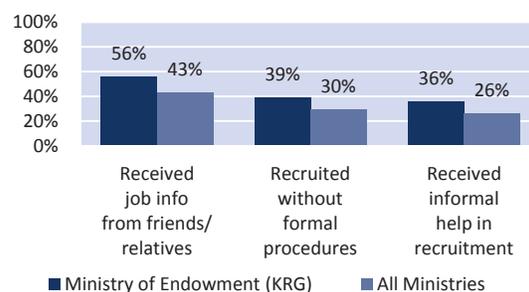
Percentage of staff reporting selected transparency measures as common



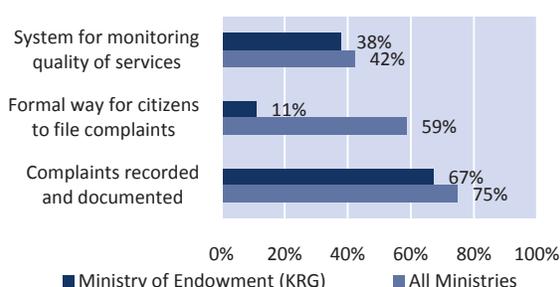
Percentage of staff not satisfied with various aspects of employment



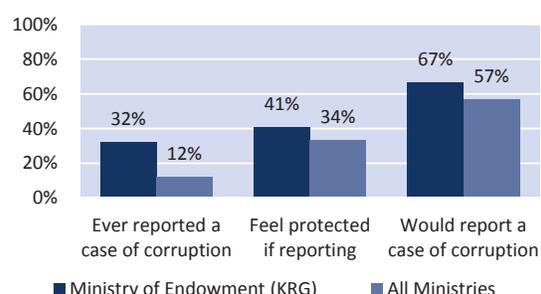
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



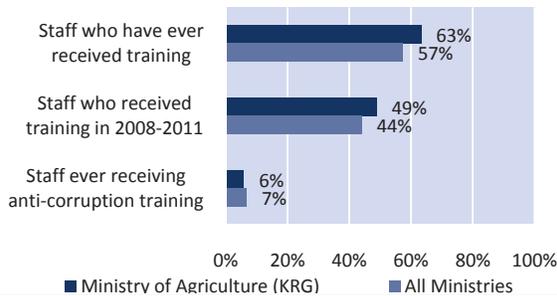
Percentage of staff reporting corrupt practices and percentage feeling protected



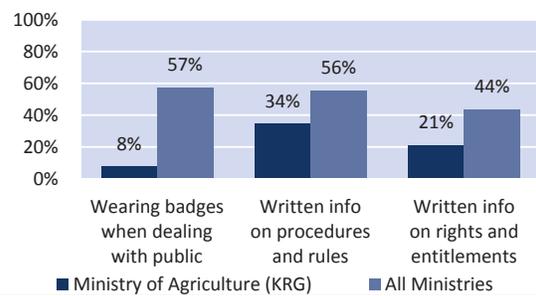
Ministry of Agriculture and Water Resources (Kurdistan Region)

Number of employees (2008): 13,033 Percentage of employees with regular contacts with citizens: 50.4%
 Percentage of female employees: 35.1% Percentage of employees offered a bribe in the past 12 months: 3.7%
 Established in ?

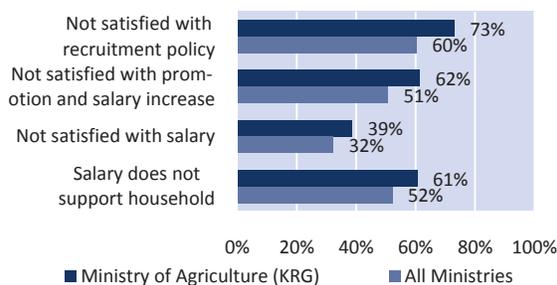
Percentage of staff who have received any type of training including specific anti-corruption training



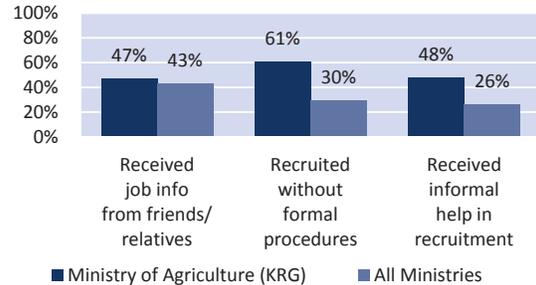
Percentage of staff reporting selected transparency measures as common



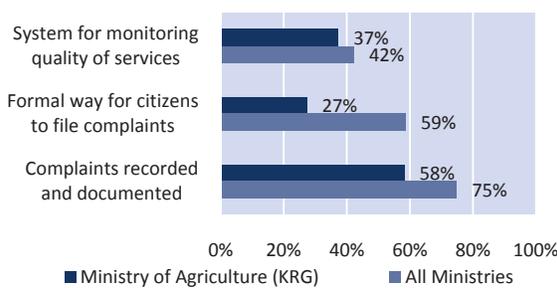
Percentage of staff not satisfied with various aspects of employment



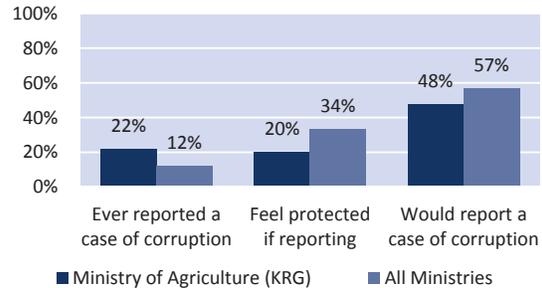
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



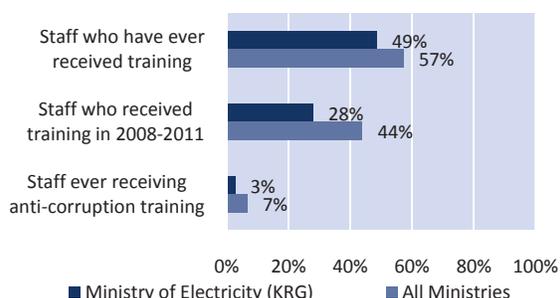
Percentage of staff reporting corrupt practices and percentage feeling protected



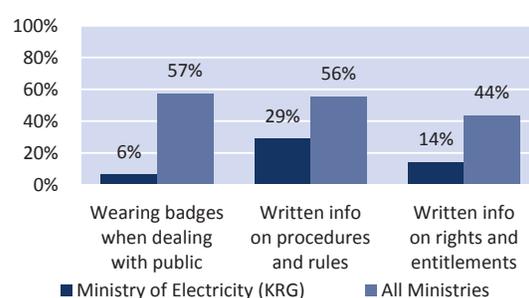
Ministry of Electricity (Kurdistan Region)

Number of employees (2008): 12,891 Percentage of employees with regular contacts with citizens: 37.9%
 Percentage of female employees: 26.1% Percentage of employees offered a bribe in the past 12 months: 3.4%
 Established in ?

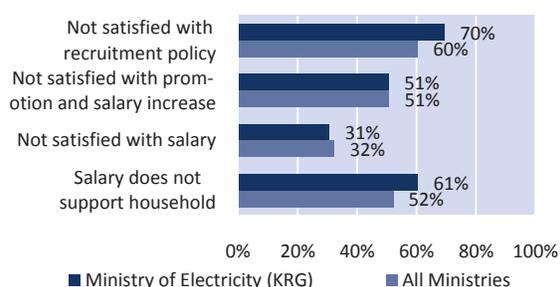
Percentage of staff who have received any type of training including specific anti-corruption training



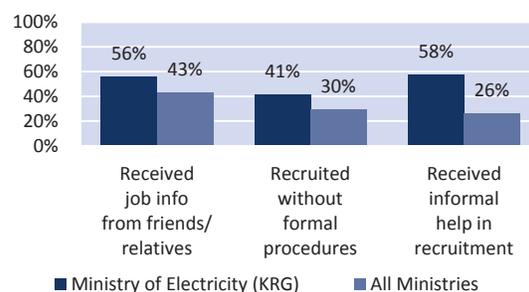
Percentage of staff reporting selected transparency measures as common



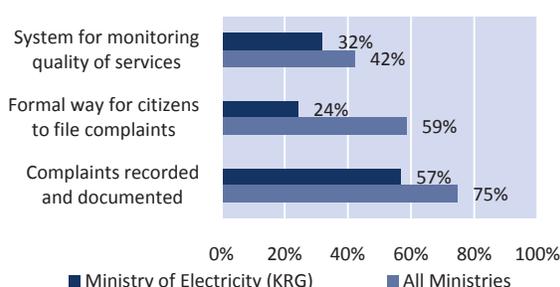
Percentage of staff not satisfied with various aspects of employment



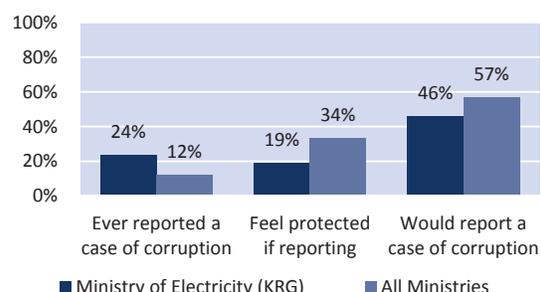
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Housing and Reconstruction (Kurdistan Region)

Number of employees (2008): 6,759

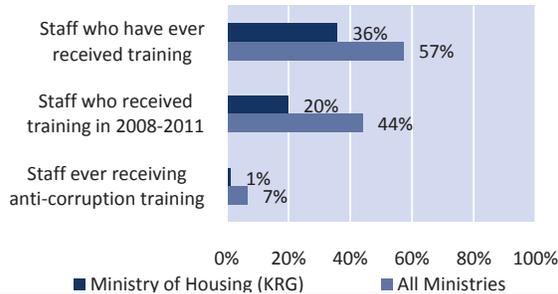
Percentage of employees with regular contacts with citizens: 38.6%

Percentage of female employees: 26.7%

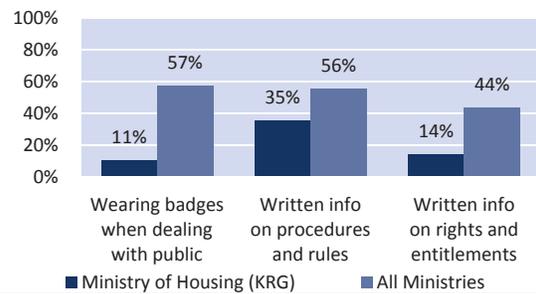
Percentage of employees offered a bribe in the past 12 months: 2.5%

Established in ?

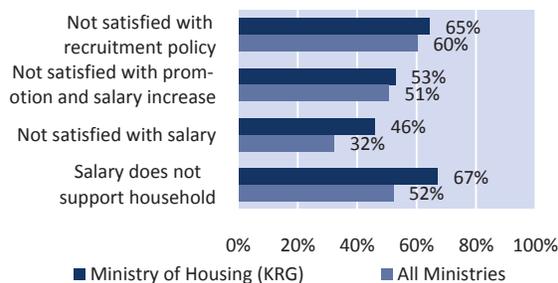
Percentage of staff who have received any type of training including specific anti-corruption training



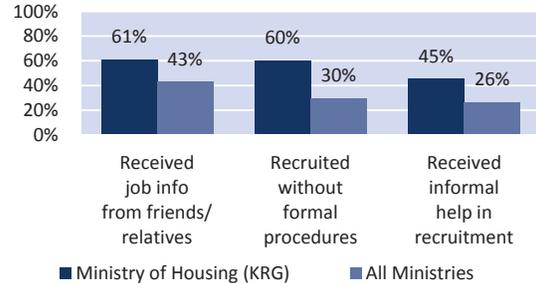
Percentage of staff reporting selected transparency measures as common



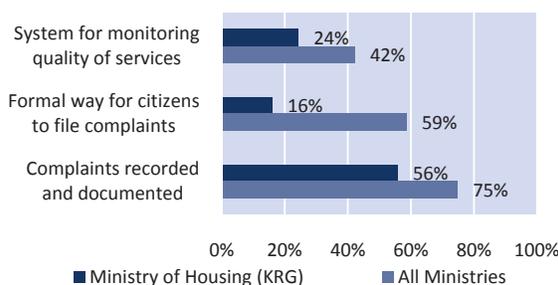
Percentage of staff not satisfied with various aspects of employment



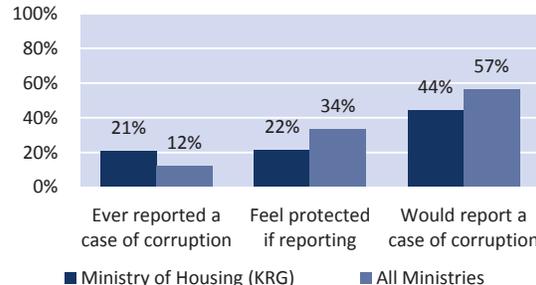
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Trade and Industry (Kurdistan Region)

Number of employees (2008): 5,265

Percentage of employees with regular contacts with citizens: 44.3%

Percentage of female employees: 36.3%

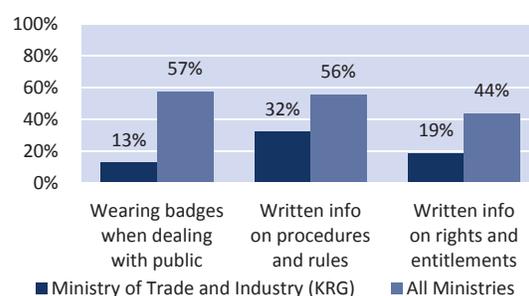
Percentage of employees offered a bribe in the past 12 months: 5.8%

Established in ?

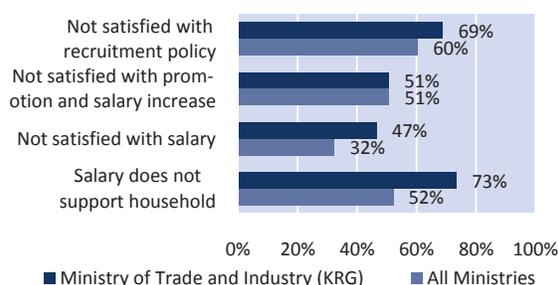
Percentage of staff who have received any type of training including specific anti-corruption training



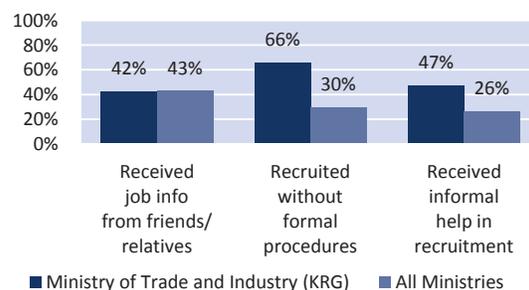
Percentage of staff reporting selected transparency measures as common



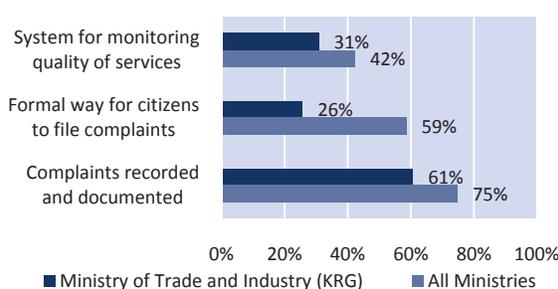
Percentage of staff not satisfied with various aspects of employment



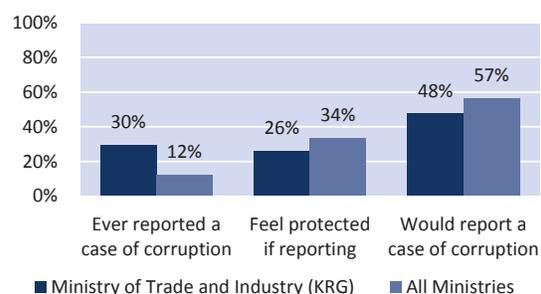
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



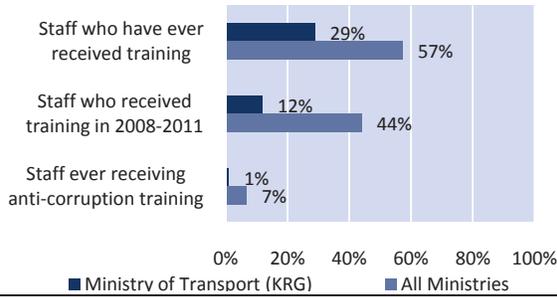
Percentage of staff reporting corrupt practices and percentage feeling protected



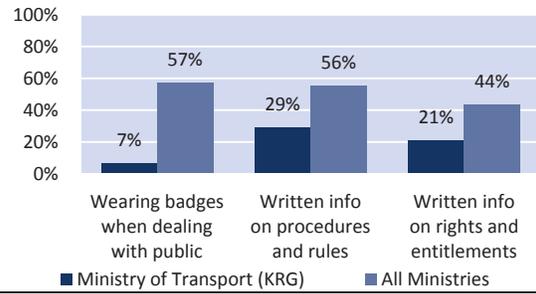
Ministry of Transport and Communications (Kurdistan Region)

Number of employees (2008): 4,980 Percentage of employees with regular contacts with citizens: 49.5%
 Percentage of female employees: 35.8% Percentage of employees offered a bribe in the past 12 months: 2.2%
 Established in ?

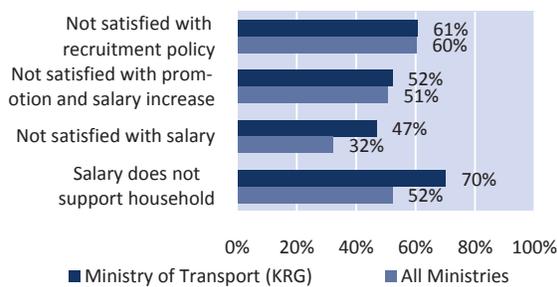
Percentage of staff who have received any type of training including specific anti-corruption training



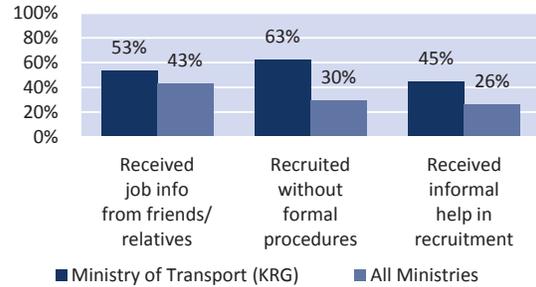
Percentage of staff reporting selected transparency measures as common



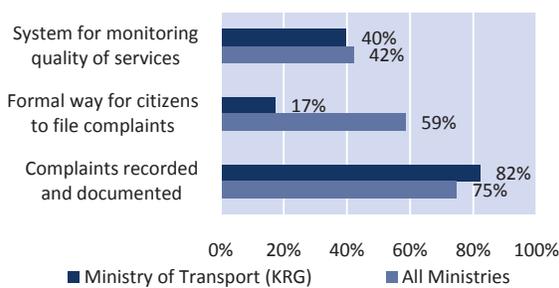
Percentage of staff not satisfied with various aspects of employment



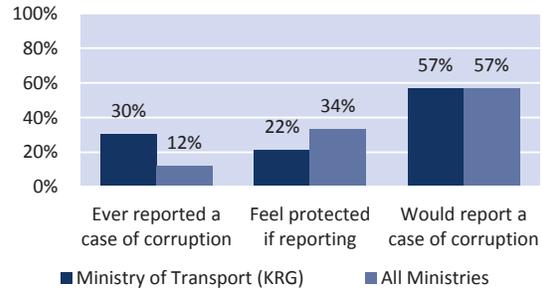
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



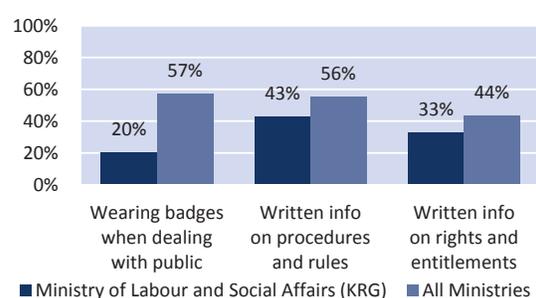
Ministry of Labour and Social Affairs (Kurdistan Region)

Number of employees (2008): 4,875 Percentage of employees with regular contacts with citizens: 46.0%
 Percentage of female employees: 45.1% Percentage of employees offered a bribe in the past 12 months: 3.0%
 Established in ?

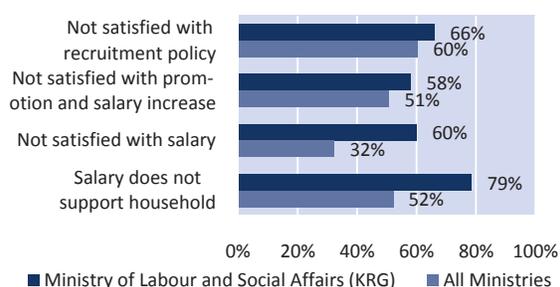
Percentage of staff who have received any type of training including specific anti-corruption training



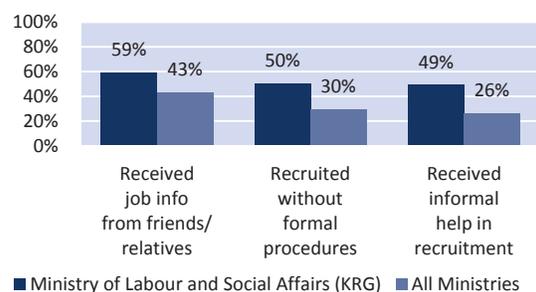
Percentage of staff reporting selected transparency measures as common



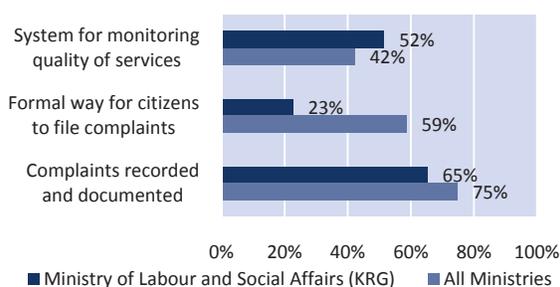
Percentage of staff not satisfied with various aspects of employment



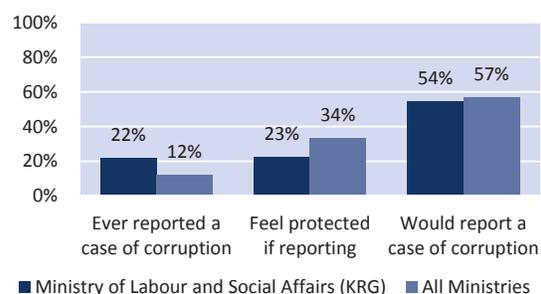
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



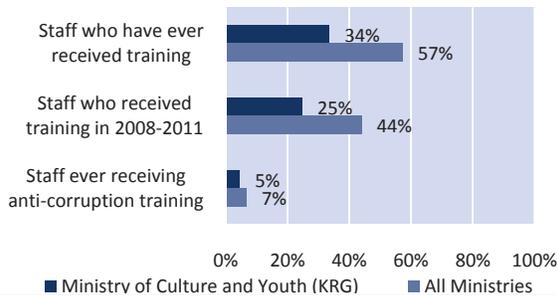
Percentage of staff reporting corrupt practices and percentage feeling protected



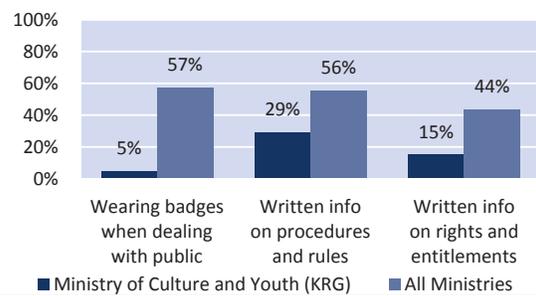
Ministry of Culture and Youth (Kurdistan Region)

Number of employees (2008): 4,287 Percentage of employees with regular contacts with citizens: 35.0%
 Percentage of female employees: 33.7% Percentage of employees offered a bribe in the past 12 months: NA*
 Established in ?

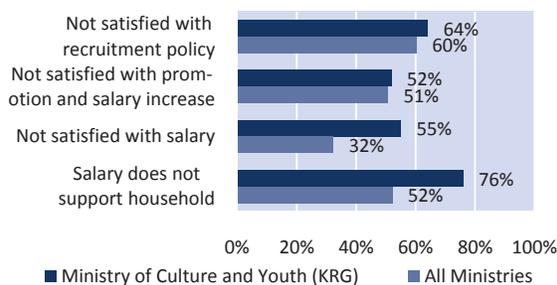
Percentage of staff who have received any type of training including specific anti-corruption training



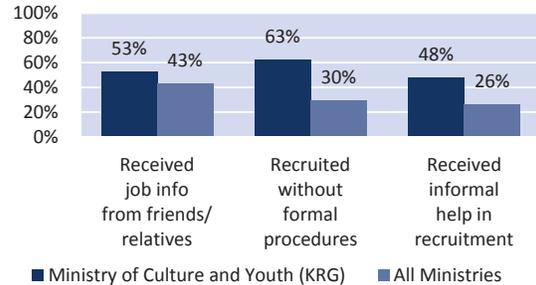
Percentage of staff reporting selected transparency measures as common



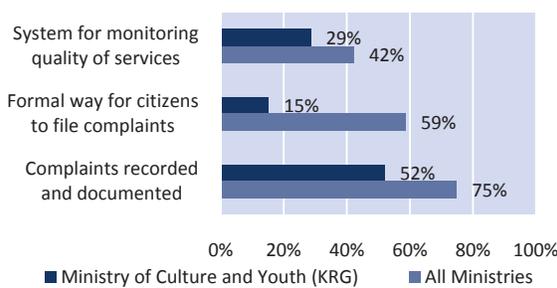
Percentage of staff not satisfied with various aspects of employment



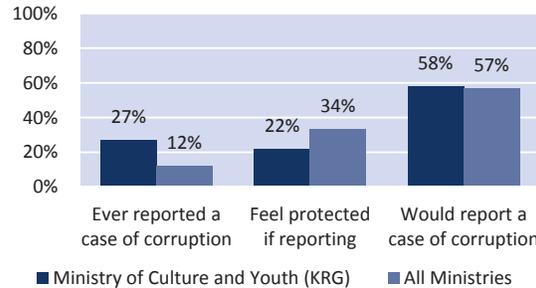
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected

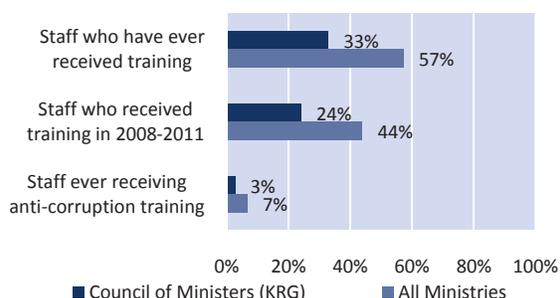


* A statistically significant estimate can not be produced due to the limited number of cases.

Council of Ministers (Kurdistan Region)

Number of employees (2008): 3,293 Percentage of employees with regular contacts with citizens: 36.6%
 Percentage of female employees: 31.7% Percentage of employees offered a bribe in the past 12 months: 3.4%
 Established in ?

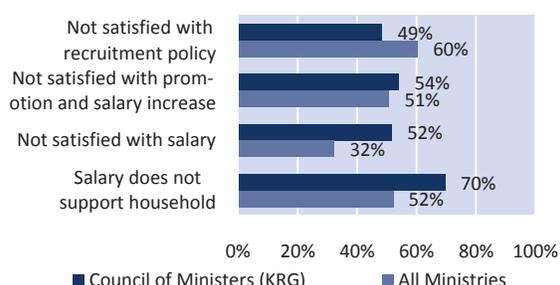
Percentage of staff who have received any type of training including specific anti-corruption training



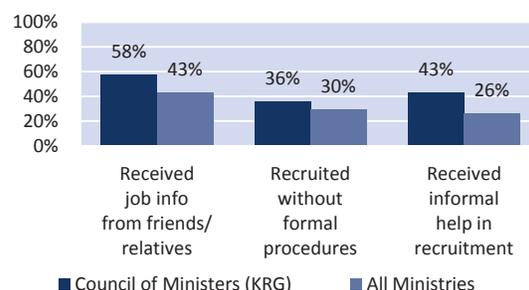
Percentage of staff reporting selected transparency measures as common



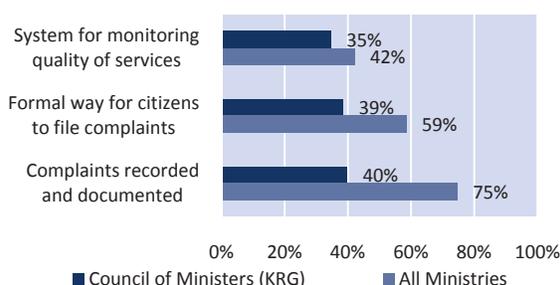
Percentage of staff not satisfied with various aspects of employment



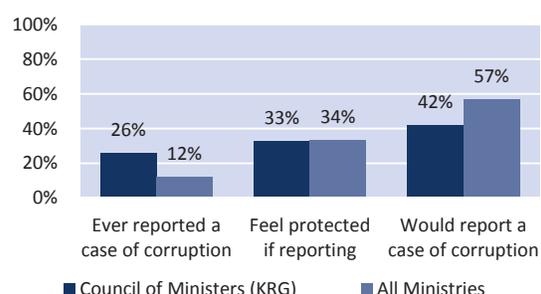
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Justice (Kurdistan Region)

Number of employees (2008): 2,802

Percentage of employees with regular contacts with citizens: 73.9%

Percentage of female employees: 44.0%

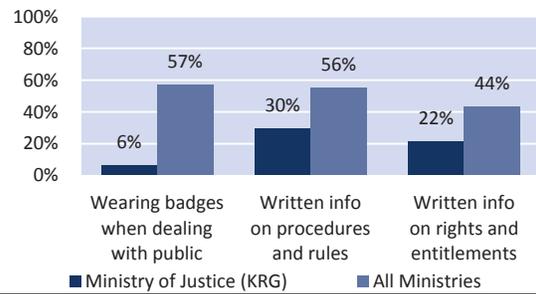
Percentage of employees offered a bribe in the past 12 months: 2.5%

Established in ?

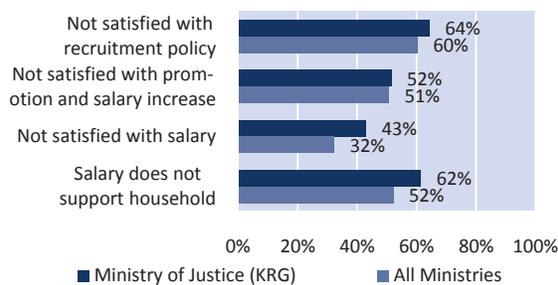
Percentage of staff who have received any type of training including specific anti-corruption training



Percentage of staff reporting selected transparency measures as common



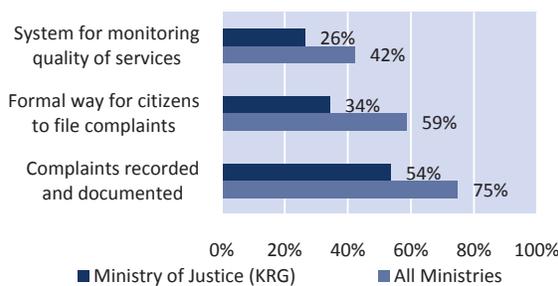
Percentage of staff not satisfied with various aspects of employment



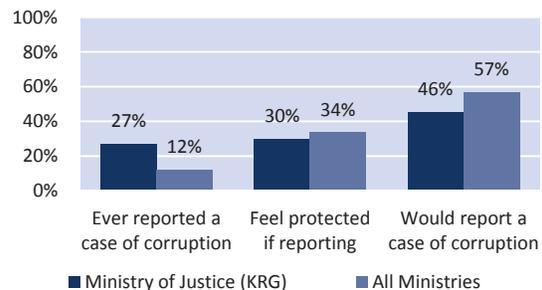
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



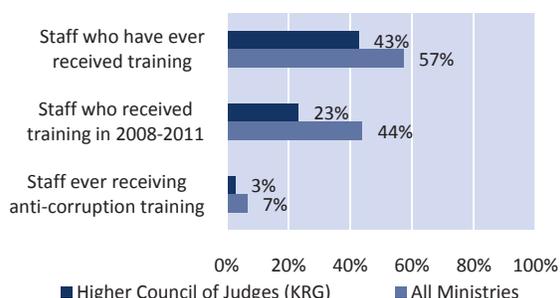
Percentage of staff reporting corrupt practices and percentage feeling protected



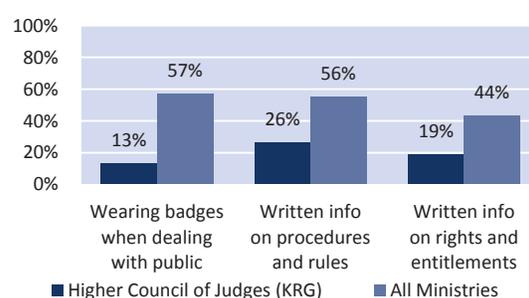
Higher Council of Judges (Kurdistan Region)

Number of employees (2008): 2,448 Percentage of employees with regular contacts with citizens: 64.7%
 Percentage of female employees: 40.0% Percentage of employees offered a bribe in the past 12 months: 7.4%
 Established in ?

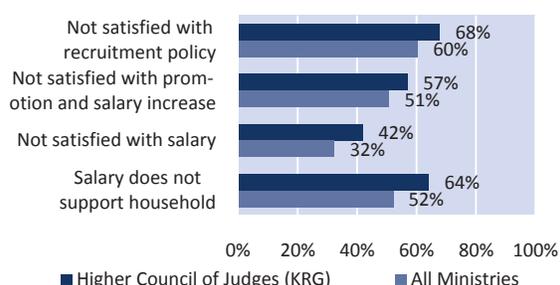
Percentage of staff who have received any type of training including specific anti-corruption training



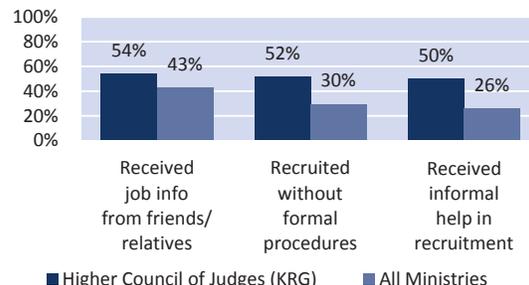
Percentage of staff reporting selected transparency measures as common



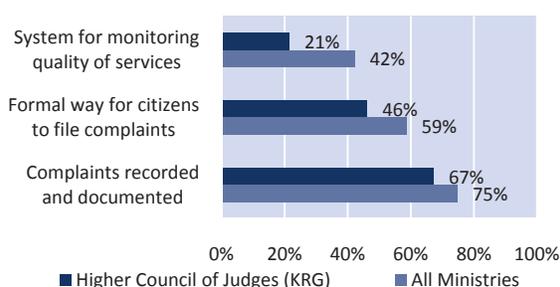
Percentage of staff not satisfied with various aspects of employment



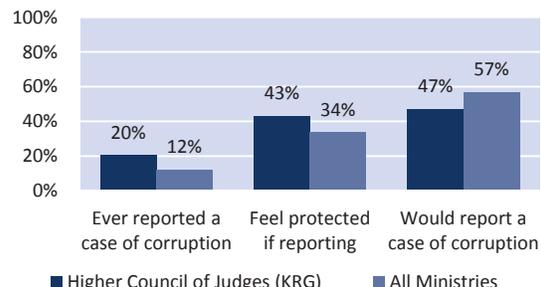
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Natural Resources (Kurdistan Region)

Number of employees (2008): 2,399

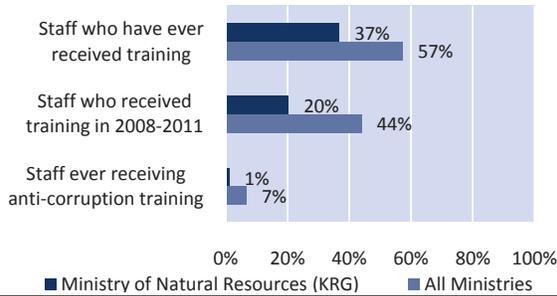
Percentage of employees with regular contacts with citizens: 58.2%

Percentage of female employees: 20.8%

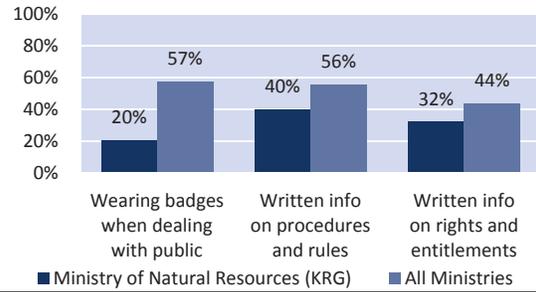
Percentage of employees offered a bribe in the past 12 months: NA*

Established in ?

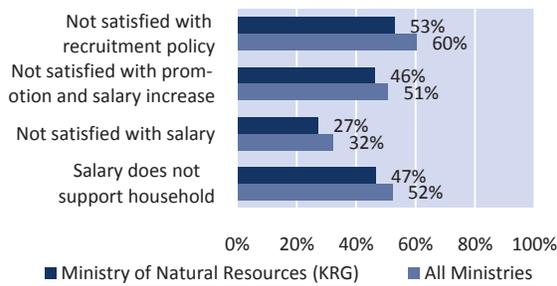
Percentage of staff who have received any type of training including specific anti-corruption training



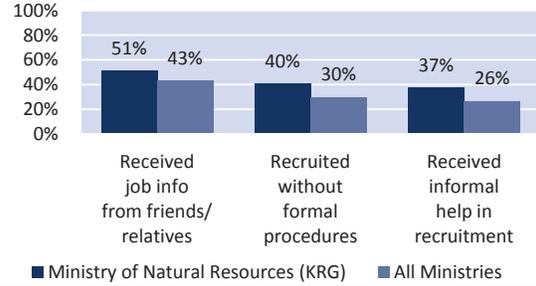
Percentage of staff reporting selected transparency measures as common



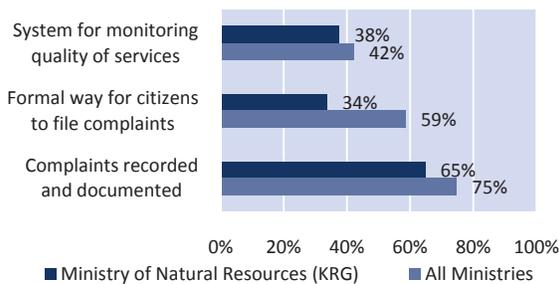
Percentage of staff not satisfied with various aspects of employment



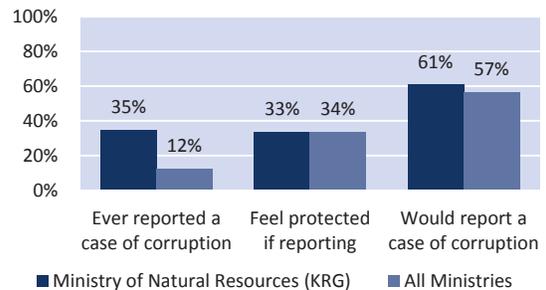
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected

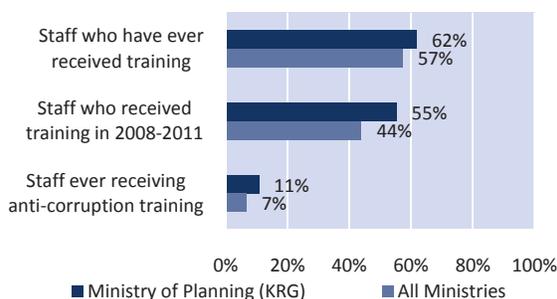


* A statistically significant estimate can not be produced due to the limited number of cases.

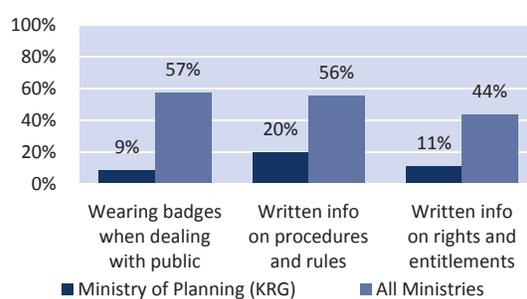
Ministry of Planning (Kurdistan Region)

Number of employees (2008): 1,068 Percentage of employees with regular contacts with citizens: 17.5%
 Percentage of female employees: 33.6% Percentage of employees offered a bribe in the past 12 months: NA*
 Established in ?

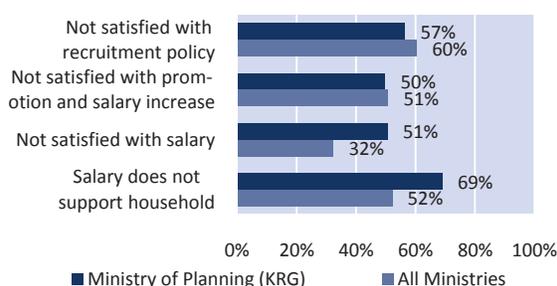
Percentage of staff who have received any type of training including specific anti-corruption training



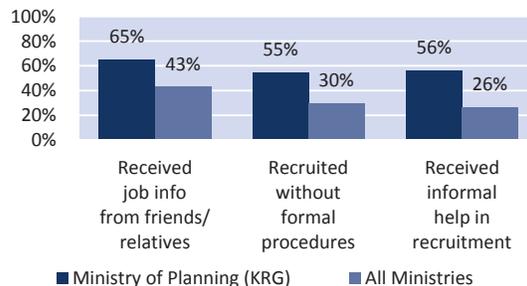
Percentage of staff reporting selected transparency measures as common



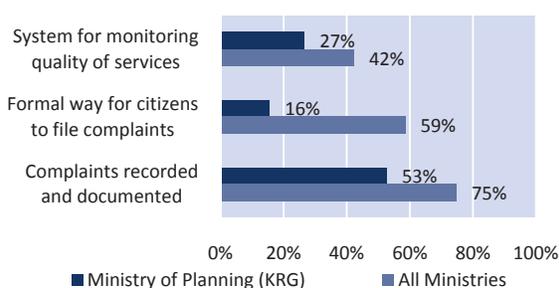
Percentage of staff not satisfied with various aspects of employment



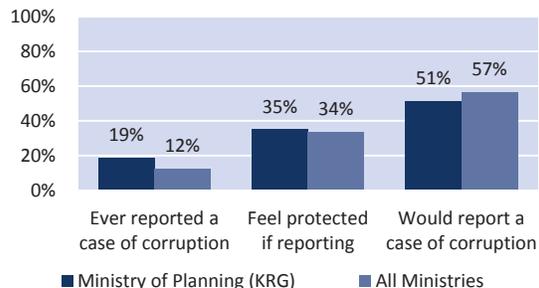
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



* A statistically significant estimate can not be produced due to the limited number of cases.

Ministry of Martyrs and Anfal Affairs (Kurdistan Region)

Number of employees (2008): 975

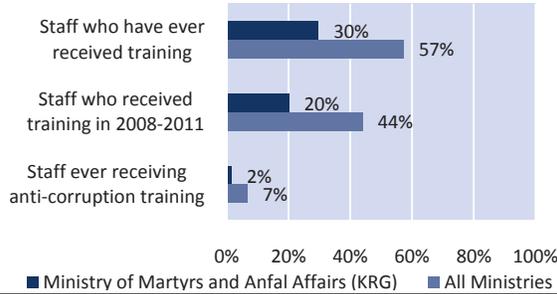
Percentage of employees with regular contacts with citizens: 75.4%

Percentage of female employees: 46.9%

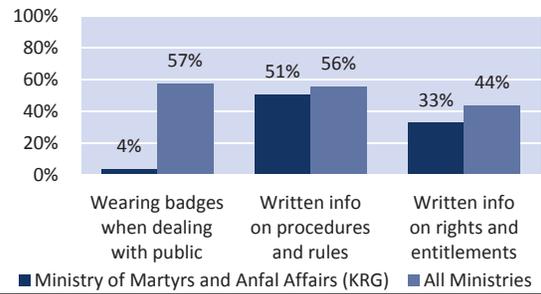
Percentage of employees offered a bribe in the past 12 months: 4.2%

Established in ?

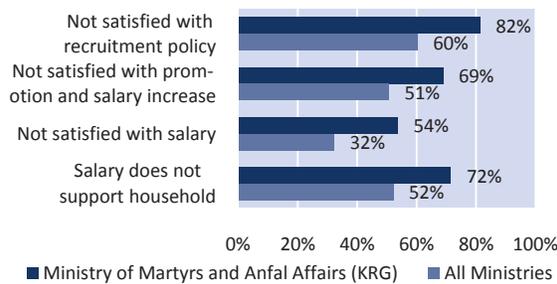
Percentage of staff who have received any type of training including specific anti-corruption training



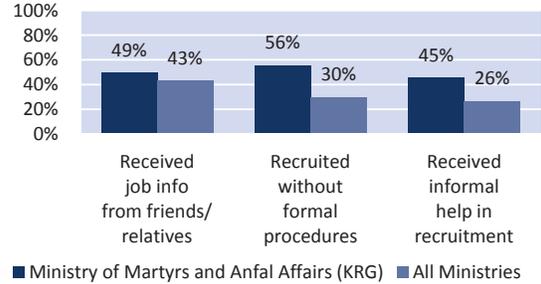
Percentage of staff reporting selected transparency measures as common



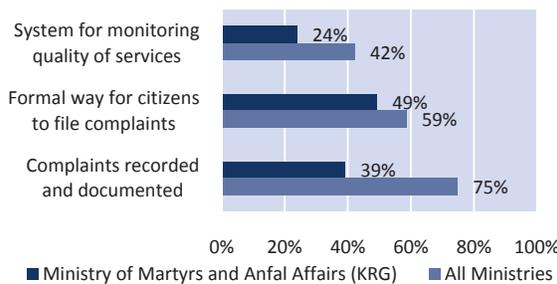
Percentage of staff not satisfied with various aspects of employment



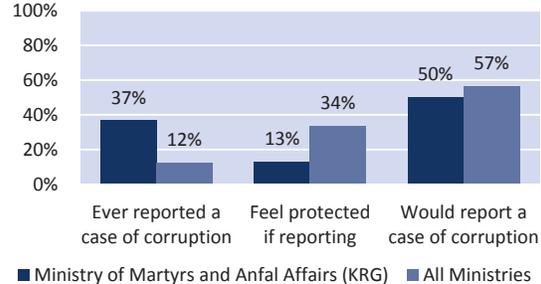
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Ministry of Environment (Kurdistan Region)

Number of employees (2008): 479

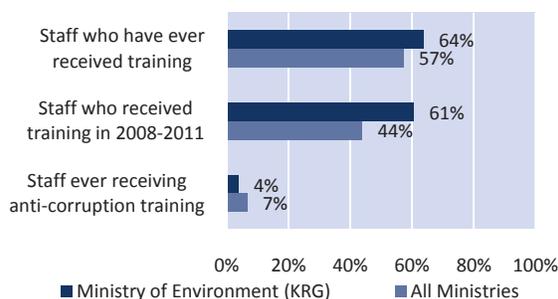
Percentage of employees with regular contacts with citizens: 31.9%

Percentage of female employees: 39.0%

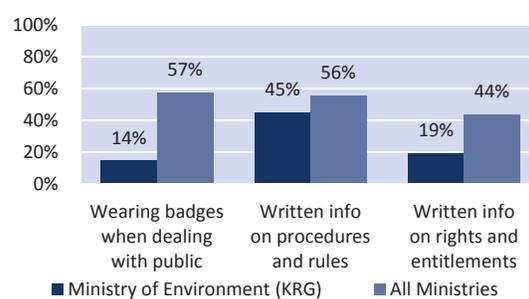
Percentage of employees offered a bribe in the past 12 months: 4.2%

Established in ?

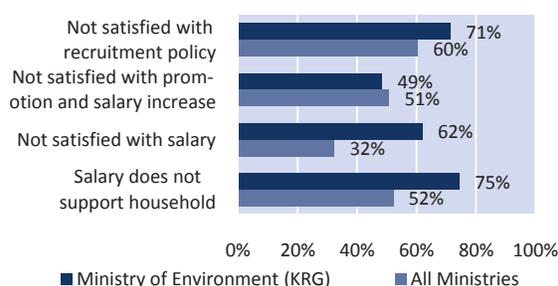
Percentage of staff who have received any type of training including specific anti-corruption training



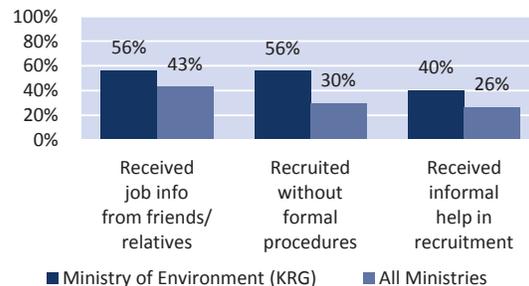
Percentage of staff reporting selected transparency measures as common



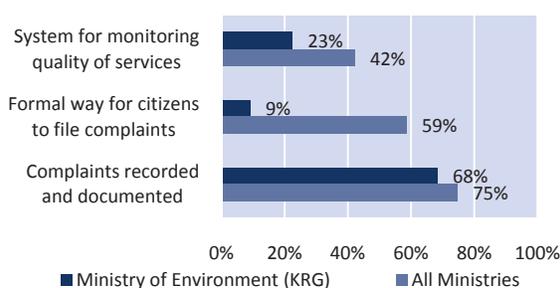
Percentage of staff not satisfied with various aspects of employment



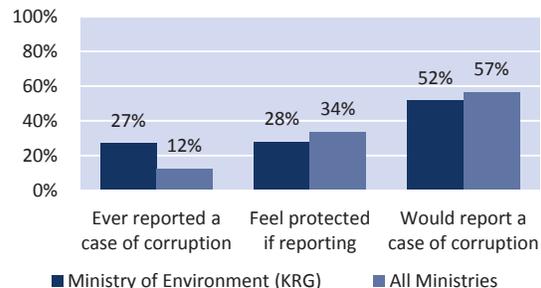
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



Finance Monitoring Office (Kurdistan Region)

Number of employees (2008): 447

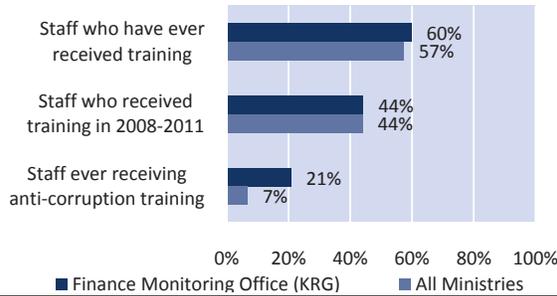
Percentage of employees with regular contacts with citizens: 9.2%

Percentage of female employees: 41.5%

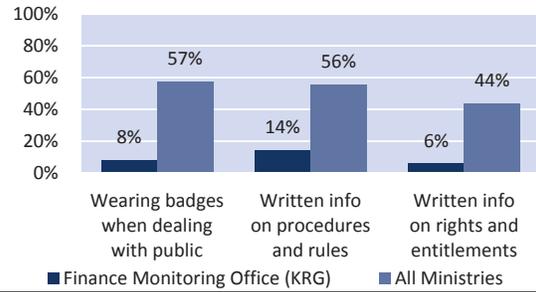
Percentage of employees offered a bribe in the past 12 months: NA*

Established in ?

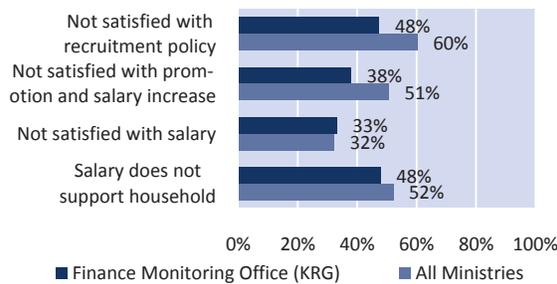
Percentage of staff who have received any type of training including specific anti-corruption training



Percentage of staff reporting selected transparency measures as common



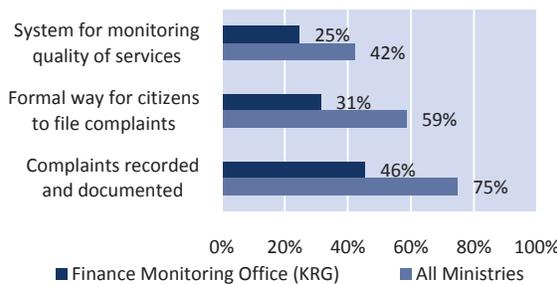
Percentage of staff not satisfied with various aspects of employment



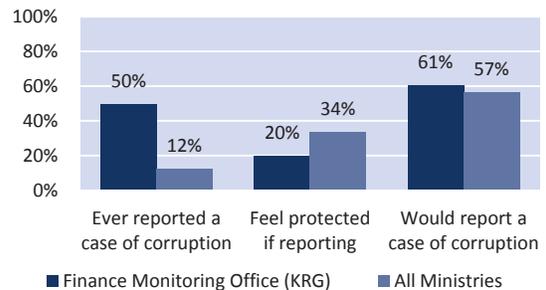
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



* A statistically significant estimate can not be produced due to the limited number of cases.

Ministry of Human Rights (Kurdistan Region)

Number of employees (2008): 361

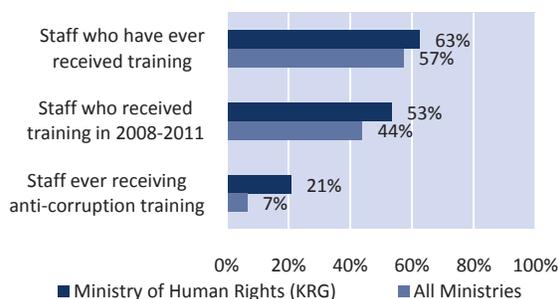
Percentage of employees with regular contacts with citizens: 19.7%

Percentage of female employees: 47.0%

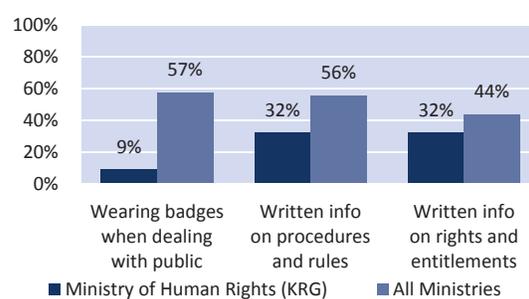
Percentage of employees offered a bribe in the past 12 months: NA*

Established in ?

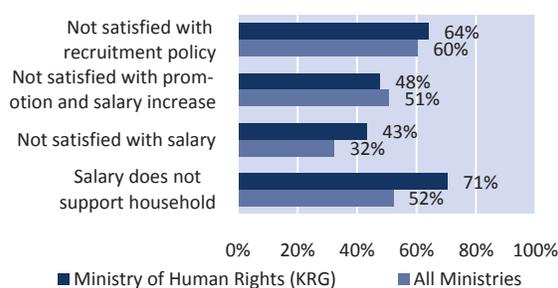
Percentage of staff who have received any type of training including specific anti-corruption training



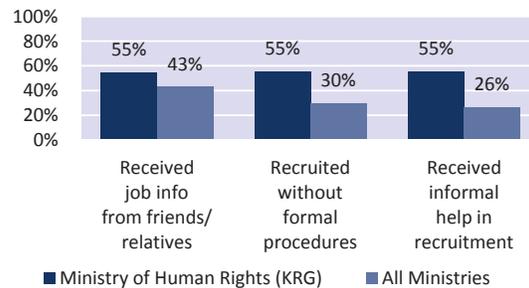
Percentage of staff reporting selected transparency measures as common



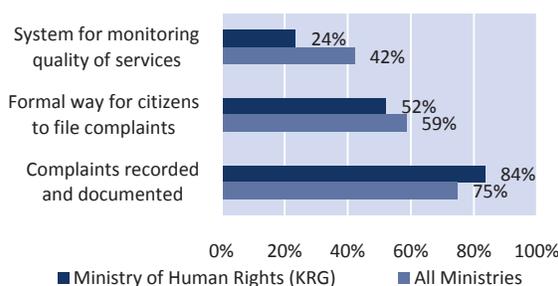
Percentage of staff not satisfied with various aspects of employment



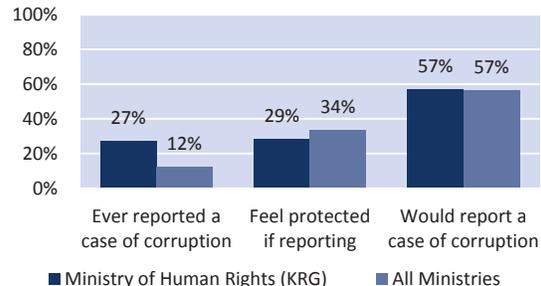
Percentage of staff hired without formal procedures and percentage receiving help in recruitment in 2004-2011



Percentage of staff reporting existence of monitoring and complaints mechanisms in their workplace



Percentage of staff reporting corrupt practices and percentage feeling protected



* A statistically significant estimate can not be produced due to the limited number of cases.

Chapter 7

Methodological Annex

7. Methodological annex

7.1. The statistical indicators

In this report four main indicators are used to assess the experience of bribery. Information used to compute indicators 1a, 1b, 2 and 3 is collected from the general population (IKN Household Survey), while information for indicator 4 is gathered from civil servants.

- 1.a **Prevalence of bribery** (p) is calculated as the number of citizens who gave a public official some money, a gift or counter favour on at least one occasion in the 12 months prior to the survey (b), as a percentage of citizens who had at least one contact with a public official in the same period (c).

$$p = \frac{b}{c}$$

- 1.b **Prevalence of bribery by type of public official** (p_o) is calculated as the number of citizens who gave some money, a gift or counter favour to a particular type of public official, on at least one occasion in the 12 months prior to the survey (b_o), as a percentage of citizens who had at least one contact with this particular type of public official in the same period (c_o).

$$p_o = \frac{b_o}{c_o}$$

- 2. **Exposure to bribery** (e) takes into account that bribes are often paid by one person on behalf a member of his/her household. It is calculated as the number of citizens who gave a public official some money, a gift or counter favour on at least one occasion in the 12 months prior to the survey (b) plus the number of citizens who did not do so but reported that another member of their household gave a public official some money, a gift or counter favour on at least one occasion in the 12 months prior to the survey (hb), as a percentage of all citizens of Iraq (N).

$$e = \frac{b + hb}{N}$$

- 3. **Frequency of bribes** (f) is calculated as the average number of times bribe payers actually paid a bribe in the 12 months prior to the survey.

$$f = \frac{1}{b} \sum_{i=1}^b x_i$$

- 4. **Percentage of civil servants who were offered bribes** (o) in the last 12 months is calculated as the percentage of those civil servants receiving a bribery offer (s) over all civil servants (N).

$$o = \frac{s}{N}$$

7.2. The sources of data

7.2.1. Survey on working conditions and integrity of civil servants of Iraq (2011)

The survey was conducted as part of the “Joint UNDP/UNODC program to assist the Government of Iraq to Combat Corruption through Policy Support and Compliance with the United Nations Convention Against Corruption (UNCAC)”. The survey has been implemented in all ministries and institutions (with the exception of the military and the police as well as some smaller government institutions)¹ and in all Governorates of Iraq. It was implemented by CSO and KRSO, with UNODC and UNDP support, and the fieldwork took place from July 2011 to August 2011.

The sampling frame consisted of 1,870,183 civil servants from all selected ministries and institutions. This frame covers 33 ministries and institutions in the Federal Government (FG; a total of 1,530,147 employees) and 22 ministries and institutions in the Kurdistan Region Government (KRG; a total of 340,036 employees). The sampling frame was provided by CSO’s central database for civil servants and by KRSO, with the most recent data available for 2010.

In the sampling design, each ministry/institution participating in the survey was treated as a domain. An initial sample size calculation for each domain based on simple random sampling was made on the basis of achieving a desired margin of error of $\pm e$, with a confidence level of 95% according to:

$$n = \frac{z^2 p(1-p)}{e^2}$$

where z is the standard score ($z = 1.96$ for a 95% confidence level) and p is an estimate of key indicators to be calculated from the survey. The desired margin of error (e) was $\pm 2.5\%$, except for domains with a population higher than 100,000 employees where the margin of error was set to $\pm 1.5\%$.

The initial sample size, n , was adjusted for the size of the population within each domain according to:

$$n^* = n \frac{N}{N+n}$$

where N is the population size (total number of civil servants) in each domain.

The sample size was further adjusted for possible non-response, but based on the experiences of the pilot survey this was expected to be very small (the response rate was 99% for the pilot survey).

Respondents were selected using simple random sampling. In the FG, 1,049 initially selected respondents were absent or could not be located due to the inaccuracy of the sampling frame and were replaced. Replacements were selected from the same stratum as those initially selected (same

1- The survey did not cover the Ministry of Defence, the Ministry of Interior, the Electoral Commission, the Commission for Resolution of Real Property Disputes and the Stock Exchange in the FG and the Ministry of Interior, Peshmerga, Parliament and Presidency in the KRG.

governorate, department, sex and grade). In total, the survey comprised of 32,284 randomly selected civil servants (20,174 in the FG and 12,110 in the KRG). A total of 31,253 (96.8%) responded to the questionnaire. A small number of civil servants (1,031, or 3.2% of the sample) refused to be interviewed. In such cases no replacement was made.

The survey questionnaire was jointly developed by UNODC, CSO and KRSO, in close consultation with the Commission of Integrity and Inspectors General of the concerned ministries. The questionnaire was divided into eight sections: Demographics and work experience; Position within the organization; Recruitment and selection; Training; Work environment and organization factors; Motivation and job satisfaction; Quality of service delivery; and Perceptions of integrity.

The questionnaire was self compiled by each sampled civil servants and strict procedures were followed in order to ensure confidentiality of replies to the questionnaire.

To aggregate survey results beyond the level of individual ministries and institutions (for example, to determine a national estimate) weights were applied to the domain estimates corresponding to their proportion of total civil servants.

7.2.2. Iraqi Knowledge Network Household Survey (2011)

The Iraq Knowledge Network survey (IKN), conducted throughout 2011, is a multi-purpose household survey carried out by the Central Statistical Office (CSO) and the Kurdistan Region Statistical Office (KRSO). A total of 28,875 households from all 18 governorates of Iraq were sampled to obtain information on Iraq's labour force, essential services, food security and the public distribution system, as well as topics related to governance and corruption. The response rate to the IKN survey was 96.6%.

IKN is the result of a collaborative process between CSO, KRSO, the Special Representative of the United Nations Secretary-General and Resident & Humanitarian Coordinator for Iraq, the Inter-Agency Information and Analysis Unit (IAU), the United Nations Population Fund (UNFPA), the World Food Programme (WFP), the United Nations Development Programme (UNDP), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United States Agency for International Development (USAID), the World Health Organization (WHO), the international non-governmental organization Mercy Corps, and the United Nations Office on Drugs and Crime (UNODC). UNODC was responsible for most of the content of the IKN Governance Module used in this report. The 'Governance Module' was designed to provide critical data on the prevalence and forms of bribery faced by the population throughout Iraq.

7.2.3. Commission of Integrity database

Administrative data on the criminal justice process relating to corruption cases have been collected from the Iraqi Commission of Integrity (COI), the leading anti-corruption body in Iraq. The COI keeps records of all corruption cases under its responsibility, the number of cases and persons re-

ferred to court and the final outcome of these legal proceedings.¹ Data were collected and analyzed by UNODC and were discussed in two working group meetings with senior staff of the COI in Amman, Jordan, in December 2011 and in further consultations and working group meetings at the technical level with staff of COI in Baghdad, Iraq, in January 2012.

1- See also the Annual Report of the COI, available at: <http://www.nazaha.iq/>

