

FUNDING FOR IRAQ RECONSTRUCTION

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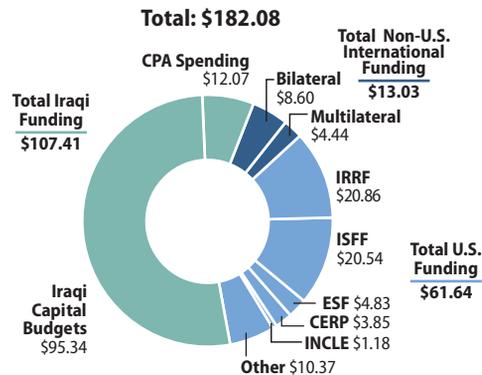
FUNDING OVERVIEW

As of June 30, 2011, \$182.08 billion had been made available for the relief and reconstruction of Iraq through three main sources:⁴⁸

- U.S. appropriations—\$61.64 billion
- Iraqi funds overseen by the Coalition Provisional Authority (CPA) and the Iraqi capital budget—\$107.41 billion
- International commitments of assistance and loans from non-U.S. sources—\$13.03 billion

See Figure 2.1 for an overview of these funding sources. See Figure 2.2 for an overview of budget execution by source. ♦

FIGURE 2.1
FUNDING SOURCES, 2003–2011
\$ Billions

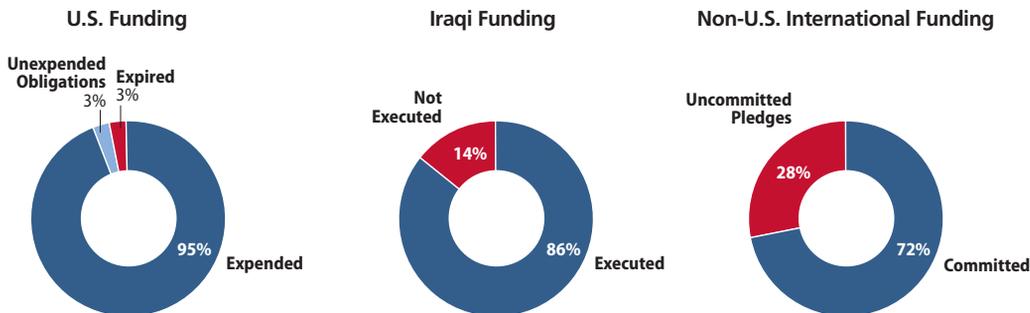


Note: Data not audited. Numbers affected by rounding.

Sources: See Figure 2.2.

FIGURE 2.2

EXECUTION OF FUNDING PROVIDED FOR IRAQ RECONSTRUCTION, BY FUNDING SOURCE



Note: Data not audited. Numbers affected by rounding. U.S. execution rate based on major appropriations (IRRF, ISFF, ESF, CERP, INCLE) that expired on or before 9/30/2010. GOI capital budget execution rate based on 2006–2010 capital budgets. International contributions based on net commitments and pledges (loans and grants) reported by NEA-I through 12/31/2010; some countries committed more than they pledged.

Sources: P.L. 108-7; P.L. 108-11; P.L. 108-106; P.L. 108-287; P.L. 109-13; P.L. 109-102; P.L. 109-148; P.L. 109-34; P.L. 109-289; P.L. 110-28; P.L. 110-92; P.L. 110-116; P.L. 110-137; P.L. 110-149; P.L. 110-161; P.L. 110-252; P.L. 111-32; P.L. 111-117; P.L. 111-118; P.L. 111-212; P.L. 112-10; ABO, responses to SIGIR data call, 7/14/2011 and 7/15/2011; DoS, response to SIGIR data call, 4/5/2007; INL, response to SIGIR data call, 7/15/2011; DoS, NEA-I, response to SIGIR data calls, 4/12/2011, 4/15/2011, 6/20/2011, 6/24/2011, and 6/27/2011; OUSD(C), responses to SIGIR data calls, 4/10/2009 and 7/15/2011; SIGIR Audit 11-007, "Iraq Relief and Reconstruction Fund 1: Report on Apportionments, Expenditures, and Cancelled Funds," 12/28/2010; U.S. Treasury, response to SIGIR data call, 4/2/2009; USACE, response to SIGIR data call, 7/5/2011; USAID, responses to SIGIR data calls, 7/8/2010 and 7/7/2011; USTDA, response to SIGIR data call, 4/2/2009; USACE, response to SIGIR data call, 10/6/2008; DoS, DRL, response to SIGIR data call, 4/12/2011; TFB50, response to SIGIR data call, 1/4/2011; USAID, "U.S. Overseas Loans and Grants [Greenbook]," 2008, gbk.eads.usaidallnet.gov/query/do?_program=eads/gbk/countryReport&unit=N, accessed 4/15/2010; DoJ, Justice Management Division, responses to SIGIR data call, 4/5/2011 and 4/11/2011; DoS, NEA-I, responses to SIGIR data calls, 10/4/2010, 10/6/2010, 4/5/2011, 4/15/2011 and 7/7/2011; DoS, ECA, response to SIGIR data call, 4/14/2010; OUSD(C), response to SIGIR data call, 10/14/2010; U.S. Treasury, OTA, "Office of Technical Assistance Overview," 12/30/2005, ustreas.gov/offices/internationalaffairs/assistance/, accessed 10/16/2009; DoS, PM, response to SIGIR data call, 7/6/2011; BBG, response to SIGIR data call, 3/7/2011; Congressional Budget Justification, Foreign Assistance Summary Tables, FY 2009–2011; USAID, responses to SIGIR data calls, 1/12/2009 and 4/8/2009; OMB, response to SIGIR data call, 6/21/2010; U.S. Embassy-Baghdad, response to SIGIR data call, 10/3/2009; GOI, CoR, "Federal Public Budget Law for the Fiscal Year 2011," 2/23/2011, Article 2; GOI, MOF, information provided to SIGIR, 6/27/2011; U.S. Treasury, responses to SIGIR data calls, 1/4/2008 and 4/9/2009; "GOI Budget" (as approved by TNA and written into law December 2005); GOI, Presidency of the Iraqi Interim National Assembly, "The State General Budget for 2005," 2005; GOI, "Budget Revenues and Expenses 2003, July–December," 2003; DoS, NEA-I, responses to SIGIR data calls, 4/5/2011, 4/7/2011, and 7/12/2011.

U.S. FUNDING

Since 2003, the United States has appropriated or otherwise made available \$61.64 billion for reconstruction efforts in Iraq, including the building of physical infrastructure, establishment of political and societal institutions, reconstitution of security forces, and the purchase of products and services for the benefit of the people of Iraq.⁴⁹

Since 2003, \$51.27 billion has been made available through five major funds:⁵⁰

- Iraq Relief and Reconstruction Fund (IRRF)—\$20.86 billion
- Iraq Security Forces Fund (ISFF)—\$20.54 billion
- Economic Support Fund (ESF)—\$4.83 billion

- Commander’s Emergency Response Program (CERP)—\$3.85 billion
- International Narcotics Control and Law Enforcement (INCLE)—\$1.18 billion

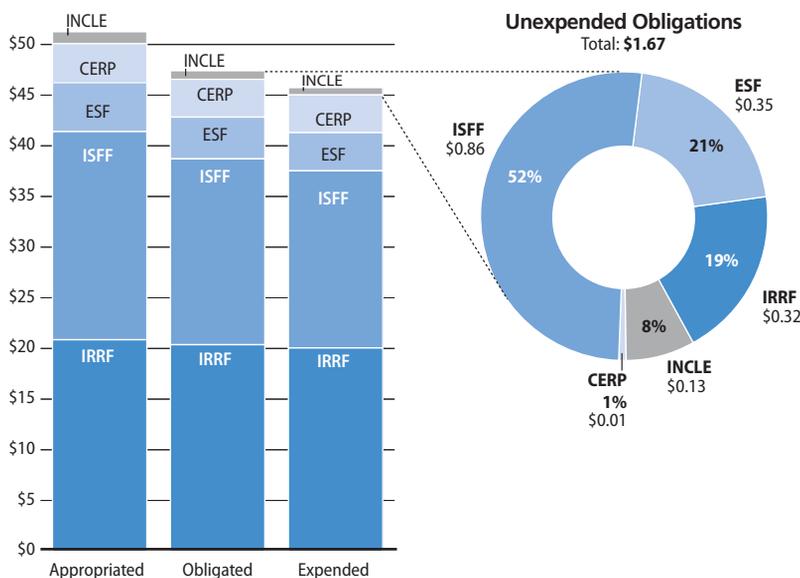
As of June 30, 2011, \$4.27 billion in available budget authority remained unexpended for the five major funds (\$3.86 billion in unobligated funds plus \$1.67 billion in unexpended obligations minus \$1.27 billion in expired funds).⁵¹

The IRRF has expired for new obligations, and quarterly expenditures from the fund now constitute only a small fraction of overall quarterly expenditures. Consequently, SIGIR will no longer discuss the IRRF in detail in the Quarterly Report.⁵²

The Congress also made \$10.37 billion available through several smaller funding streams.⁵³

For an overview of U.S. appropriations, obligations, and expenditures from the five major funds, see Figure 2.3. For details on appropriations and the status of all funds, see Table 2.1.

FIGURE 2.3
STATUS OF MAJOR U.S. FUNDS, AS OF 6/30/2011
\$ Billions



Note: Data not audited. Numbers affected by rounding.

Sources: P.L. 108-7; P.L. 108-11; P.L. 108-106; P.L. 108-287; P.L. 109-13; P.L. 109-102; P.L. 109-148; P.L. 109-34; P.L. 109-289; P.L. 110-28; P.L. 110-92; P.L. 110-116; P.L. 110-137; P.L. 110-149; P.L. 110-161; P.L. 110-252; P.L. 111-32; P.L. 111-117; P.L. 111-118; P.L. 111-212; P.L. 112-10; ABO, responses to SIGIR data call, 7/14/2011 and 7/15/2011; DoS, response to SIGIR data call, 4/5/2007; INL, response to SIGIR data call, 7/15/2011; NEA-I, response to SIGIR data calls, 4/12/2011, 4/15/2011, 6/20/2011, 6/24/2011, and 6/27/2011; OUSD(C), responses to SIGIR data calls, 4/10/2009 and 7/15/2011; SIGIR Audit 11-007, “Iraq Relief and Reconstruction Fund 1: Report on Apportionments, Expenditures, and Cancelled Funds,” 12/28/2010; U.S. Treasury, response to SIGIR data call, 4/2/2009; USACE, response to SIGIR data call, 7/5/2011; USAID, responses to SIGIR data calls, 7/8/2010 and 7/7/2011; USTDA, response to SIGIR data call, 4/2/2009.

FY 2011–FY 2012 Appropriations

Full-year FY 2011 appropriations were enacted on April 15, 2011, following a series of seven continuing appropriations acts that provided temporary extensions of FY 2010 budget authority.⁵⁴ As of June 30, 2011, \$3.70 billion had been allocated to Iraq activities for FY 2011: \$2.34 billion in foreign assistance and \$1.36 billion for reconstruction-related operating expenses.⁵⁵ In the first three quarters of the fiscal year, just \$2.3 million combined was obligated from the ISFF, ESF, and INCLE—approximately one-tenth of 1% of the amount appropriated for FY 2011. In contrast, more than \$42 million was obligated from the CERP—64% of the amount appropriated for FY 2011.⁵⁶

In its budget request for FY 2012, the Administration requested nearly \$6.83 billion for foreign

FUNDING FOR IRAQ RECONSTRUCTION

APPROPRIATIONS BY FISCAL YEAR, FY 2003–FY 2009

TABLE 2.1

U.S. APPROPRIATED FUNDS

\$ Millions

	P.L. 108-7, P.L. 108-11	P.L. 108-106, P.L. 108-287	P.L. 109-13	P.L. 109-102, P.L. 109-148, P.L. 109-234	P.L. 109-289, P.L. 110-5, P.L. 110-28	P.L. 110-92, P.L. 110-116, P.L. 110-137, P.L. 110-149, P.L. 110-161, P.L. 110-252	P.L. 110-252, P.L. 111-32
	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
MAJOR FUNDS							
Iraq Relief and Reconstruction Fund (IRRF 1 and IRRF 2) ^a	2,475	18,389					
Iraq Security Forces Fund (ISFF)			5,490	3,007	5,542	3,000	1,000
Economic Support Fund (ESF) ^b				1,469	1,554	562	542
Commander's Emergency Response Program (CERP) ^c		140	718	605	743	956	355
International Narcotics Control and Law Enforcement (INCLE)				91	170	85	20
Subtotal	2,475	18,529	6,208	5,172	8,010	4,603	1,917
OTHER ASSISTANCE PROGRAMS							
Migration and Refugee Assistance (MRA) and Emergency Refugee & Migration Assistance (ERMA)	40				78	278	260
Natural Resources Risk Remediation Fund (NRRRF) ^d	801						
Iraq Freedom Fund (Other Reconstruction Activities) ^e	700						
P.L. 480 Food Aid (Title II and Non-Title II)	368		3			24	
International Disaster Assistance (IDA) and International Disaster and Famine Assistance (IDFA)	24		7		45	85	51
Democracy Fund (Democracy)					190	75	
Iraq Freedom Fund (TFBSO)					50	50	74
Nonproliferation, Anti-terrorism, Demining, and Related Programs (NADR) ^f					19	16	36
Department of Justice (DoJ)	37		2	11	23	25	7
Child Survival and Health Programs Fund (CSH)	90						
Education and Cultural Exchange Programs (ECA)				7	5	7	7
Overseas Humanitarian, Disaster and Civic Aid (OHDACA)	9	15	3				
International Affairs Technical Assistance				13	3		
U.S. Marshals Service		2		3	2	2	1
International Military Education and Training (IMET)					1	2	2
Alhurra-Iraq Broadcasting		5					
Subtotal	2,069	22	15	33	416	563	438
RECONSTRUCTION-RELATED OPERATING EXPENSES							
Diplomatic and Consular Programs ^g							
Coalition Provisional Authority (CPA) ^h		908					
Project and Contracting Office (PCO) ⁱ				200	630		
USAID Operating Expenses (USAID OE)	21		24	79	37	41	48
U.S. Contributions to International Organizations (CIO)						38	30
DoD OSC-I Support							
Iraq Freedom Fund (PRT Administrative Costs)					100		
Subtotal	21	908	24	279	767	79	78
RECONSTRUCTION OVERSIGHT							
Special Inspector General for Iraq Reconstruction (SIGIR)		75		24	35	3	44
Defense Contract Audit Agency (DCAA)					16	14	13
USAID Office of the Inspector General (USAID OIG)	4	2	3		3	7	4
DoS Office of the Inspector General (DoS OIG)				1	3	4	6
DoD Office of the Inspector General (DoD OIG)				5		21	
Subtotal	4	77	3	30	57	47	66
Total	4,569	19,536	6,250	5,515	9,251	5,293	2,499

^a The Congress initially appropriated \$18,649 million to IRRF 2, but earmarked \$210 million to be transferred to other accounts for programs in Jordan, Liberia, and Sudan. In FY 2006, the Congress transferred roughly \$10 million into the IRRF from the ESF. In FY 2008, P.L. 110-252 rescinded \$50 million.

^b P.L. 108-11 provided \$10 million for war crimes investigations and \$40 million to reimburse the ESF account for resources advanced to fund supplies, commodities, and services prior to the conflict in Iraq.

^c Generally, the Congress does not appropriate the CERP to a specific country, but rather to a fund for both Iraq and Afghanistan. SIGIR reports DoD's allocation to the CERP for Iraq as an appropriation.

^d Includes funds transferred from the Iraq Freedom Fund (IFF).

^e Includes funds appropriated to the IFF by P.L. 108-11, Title I, and transferred to reconstruction activities, with the exception of funds transferred to NRRRF, which are recorded under that fund.

^f The \$20 million reported for FY 2009 was appropriated by P.L. 111-8.

^g Diplomatic and Consular Programs includes FY 2010 supplemental funding to support U.S. Embassy-Baghdad in establishing an enduring provincial presence.

^h Excludes \$75 million for the Special Inspector General for Iraq Reconstruction under P.L. 108-106.

ⁱ Reconstruction support funding is provided for Project and Contracting Office (PCO) activities per the P.L. 109-234 and P.L. 110-28 conference reports.

	FY 2010			FY 2011		TOTAL APPROPRIATED	STATUS OF FUNDS		
	P.L. 111-117	P.L. 111-118	P.L. 111-212	P.L. 112-10	OBLIGATED		EXPENDED	EXPIRED	
	12/16/09	12/19/09	7/29/10	4/15/11					
MAJOR FUNDS									
Iraq Relief and Reconstruction Fund (IRRF 1 and IRRF 2)					20,864	20,369	20,048	495	
Iraq Security Forces Fund (ISFF)			1,000	1,500	20,539	18,342	17,479	509	
Economic Support Fund (ESF)	383				4,835	4,120	3,771	166	
Commander's Emergency Response Program (CERP)		263		67	3,846	3,726	3,718	96	
International Narcotics Control and Law Enforcement (INCLE)	52		650	115	1,183	850	718	0	
Subtotal	435	263	1,650	2,007	51,267	47,407	45,734	1,265	
OTHER ASSISTANCE PROGRAMS									
Migration and Refugee Assistance (MRA) and Emergency Refugee & Migration Assistance (ERMA)	300		16	280	1,252	955	915		
Natural Resources Risk Remediation Fund (NRRRF)					801	801	801		
Iraq Freedom Fund (Other Reconstruction Activities)					700	680	654		
P.L. 480 Food Aid (Title II and Non-Title II)					395	395	395		
International Disaster Assistance (IDA) and International Disaster and Famine Assistance (IDFA)	33		9	17	272	255	232		
Democracy Fund (Democracy)					265	265	245		
Iraq Freedom Fund (TFBSO)					174	86	65		
Nonproliferation, Anti-terrorism, Demining, and Related Programs (NADR)	30			30	131	62	62		
Department of Justice (DoJ)	13				118	111	107		
Child Survival and Health Programs Fund (CSH)					90	90	90		
Education and Cultural Exchange Programs (ECA)	7			7	40				
Overseas Humanitarian, Disaster and Civic Aid (OHDACA)					27	27	10		
International Affairs Technical Assistance					16	16	14		
U.S. Marshals Service					9	9	9		
International Military Education and Training (IMET)	2			2	9	9	6		
Alhurra-Iraq Broadcasting					5	5	5		
Subtotal	386		25	336	4,304	3,766	3,610		
RECONSTRUCTION-RELATED OPERATING EXPENSES									
Diplomatic and Consular Programs	1,122		1,030	1,119	3,271				
Coalition Provisional Authority (CPA)					908	832	799		
Project and Contracting Office (PCO)					830				
USAID Operating Expenses (USAID OE)	52			46	349				
U.S. Contributions to International Organizations (CIO)	33			31	132				
DoD OSC-I Support				129	129				
Iraq Freedom Fund (PRT Administrative Costs)					100				
Subtotal	1,207		1,030	1,326	5,720	832	799		
RECONSTRUCTION OVERSIGHT									
Special Inspector General for Iraq Reconstruction (SIGIR)	23			22	225	207	198		
Defense Contract Audit Agency (DCAA)					43				
USAID Office of the Inspector General (USAID OIG)	7				29				
DoS Office of the Inspector General (DoS OIG)	7			5	26				
DoD Office of the Inspector General (DoD OIG)					26				
Subtotal	37			27	348	207	198		
Total	2,064	263	2,705	3,695	61,639	52,212	50,341	1,265	

Sources: ABO, responses to SIGIR data call, 7/14/2011 and 7/15/2011; BBG, response to SIGIR data call, 3/7/2011; Congressional Budget Justification, Foreign Assistance Summary Tables, FY 2009–2011; DCAA, response to SIGIR data call, 7/15/2011; DoS DRL, response to SIGIR data call, 4/12/2011; DoS ECA, response to SIGIR data call, 4/14/2010; DoS PM, response to SIGIR data call, 7/6/2011; INL, response to SIGIR data call, 7/15/2011; Justice Management Division, responses to SIGIR data call, 4/5/2011 and 4/11/2011; NEA-I, responses to SIGIR data calls, 10/4/2010, 10/6/2010, 4/5/2011, 4/12/2011, 4/15/2011, 6/20/2011, 6/24/2011, 6/27/2011, and 7/7/2011; OUSD(C), responses to SIGIR data calls, 10/14/2010 and 7/5/2011; SIGIR Audit 11-007, "Iraq Relief and Reconstruction Fund 1: Report on Apportionments, Expenditures, and Cancelled Funds," 12/28/2010; TFBSO, response to SIGIR data call, 1/4/2011; OMB, response to SIGIR data call, 6/21/2010; U.S. Treasury, OTA, "Office of Technical Assistance Overview," 12/30/2005, ustreas.gov/offices/international-affairs/assistance/, accessed 10/16/2009; U.S. Embassy-Baghdad, response to SIGIR data call, 10/3/2009; USACE, responses to SIGIR data calls, 10/6/2008 and 7/5/2011; USAID, responses to SIGIR data calls, 1/12/2009, 4/8/2009, and 7/7/2011; USAID, "U.S. Overseas Loans and Grants [Greenbook]," 2008, gbk.eads.usaidallnet.gov/query/do?_program=eads/gbk/countryReport&unit=N, accessed 4/15/2010.

FUNDING FOR IRAQ RECONSTRUCTION

TABLE 2.2
U.S. APPROPRIATIONS, FY 2011–FY 2012
\$ Millions

		FY 2011 REQUEST AND APPROPRIATIONS			FY 2012 REQUEST		
		FUND	REQUEST	APPROPRIATION	BASE	OVERSEAS CONTINGENCY OPERATIONS	TOTAL
Foreign Assistance	Defense	ISFF	2,000.0	1,500.0			0.0
		CERP	200.0	66.5		25.0	25.0
		Subtotal	2,200.0	1,566.5		25.0	25.0
	Foreign Operations	INCLE	315.0	114.6		1,000.0	1,000.0
		FMF				1,000.0	1,000.0
		ESF	383.0	325.7	325.7		325.7
		MRA/ERMA	n/a	280.0			n/a
		NADR	29.8	29.8	32.4		32.4
		IDA	n/a	17.3			n/a
		IMET	2.0	2.0	2.0		2.0
Subtotal		729.8	769.4	360.1	2,000.0	2,360.1	
Subtotal	2,929.8	2,335.9	360.1	2,025.0	2,385.1		
Operating Expenses	DoD	OSC-I Support	245.0	129.1		524.0	524.0
		Subtotal	245.0	129.1		524.0	524.0
	DoS	D&CP	1,787.1	1,119.4	495.9	3,229.5	3,725.4
		CIO		31.0	44.3		44.3
		ECSM			37.0		37.0
		ECA		6.9	7.0		7.0
		Subtotal	1,787.1	1,157.3	584.2	3,229.5	3,813.7
	Other Civilian	USAID	62.8	46.3	75.4		75.4
		SIGIR	22.0	22.0		18.5	18.5
		DoS OIG		4.9	9.2		9.2
Subtotal		84.8	73.2	84.6	18.5	103.1	
Subtotal	2,116.9	1,359.6	668.8	3,772.0	4,440.8		
Total		5,046.7	3,695.5	1,028.9	5,797.0	6,825.9	

Note: Data not audited. Numbers affected by rounding. DoD Operating Expenses include only those funds requested to support the Office of Security Cooperation-Iraq; in FY 2010–FY 2012, an additional \$119 billion was appropriated or requested for Operations Iraqi Freedom and New Dawn (\$62 billion in FY 2010, \$46 billion in FY 2011, and \$11 billion in FY 2012). DoS and USAID Operating Expenses include funds for operations (including diplomacy for DoS), security, construction, and all other purposes other than foreign assistance.

Sources: P.L. 111-212; DoS, “Congressional Budget Justification, Volume 1: Department of State Operations, FY 2012,” 2/14/2011, p. 779; DoS, “Executive Budget Summary: Function 150 & Other International Programs, FY 2012,” 2/14/2011, pp. 155, 162, 167, 171, 776, “Congressional Budget Justification: Foreign Assistance Summary Tables, FY 2011,” p. 88, and “Congressional Budget Justification: Foreign Assistance Summary Tables, FY 2012,” p. 101; DoD, “Fiscal Year 2012 Budget Request: Overview,” 2/2011, Chapter 6, p. 6; DoS, NEA-I, response to SIGIR data call, 7/7/2011; USAID, response to SIGIR data call, 7/7/2011.

assistance and operating expenses for Iraq—nearly twice as much as was appropriated for FY 2011. The anticipated growth is driven primarily by a \$3.73 billion request for the U.S. Embassy-Baghdad in the Diplomatic and Consular Programs account.⁵⁷

For details on FY 2011 appropriations and the Administration’s FY 2012 appropriations request, see Table 2.2.

Iraq Security Forces Fund

Since 2005, the Congress has appropriated \$20.54 billion to the ISFF to enable the U.S. Forces-Iraq (USF-I)

and its predecessor, the Multi-National Force-Iraq, to support Iraq’s Ministry of Defense (MOD) and Ministry of Interior (MOI) in developing the Iraqi Security Forces (ISF) and increasing ministerial capacity. This includes \$1.50 billion provided by P.L. 112-10, which will remain available for obligation until September 30, 2012.⁵⁸ The Administration did not request any ISFF funding for FY 2012. Instead, the Administration requested \$1.00 billion in Foreign Military Financing (FMF) and \$1.00 billion in INCLE to support the ISF as part of its “Overseas Contingency Operations” request.⁵⁹

As of June 30, 2011, \$863 million of obligated ISFF funds had not been expended. An additional

The Administration requested \$1.00 billion in FMF and \$1.00 billion in INCLE to support the ISF as part of its “Overseas Contingency Operations” request.

TABLE 2.3
ISFF: STATUS OF FUNDS, BY MINISTRY AND SUB-ACTIVITY GROUP,
AS OF 6/30/2011
\$ Millions

MINISTRY	SUB-ACTIVITY GROUP	STATUS OF FUNDS		QUARTERLY CHANGE	
		OBLIGATED	EXPENDED	OBLIGATED	EXPENDED
Defense	Equipment	4,866.9	4,753.3	8.0	4.7
	Infrastructure	3,074.7	2,971.9		
	Sustainment	2,347.2	2,177.2	82.3	15.5
	Training	610.0	527.2	10.0	0.9
	Subtotal	10,898.8	10,429.7	100.3	21.2
Interior	Training	2,659.0	2,564.5	-1.3	-3.7
	Equipment	1,951.8	1,835.0	30.3	28.9
	Infrastructure	1,346.9	1,259.9		
	Sustainment	629.0	568.2	0.6	2.0
	Subtotal	6,586.7	6,227.5	29.6	27.2
Varies	Related Activities	856.6	821.5		0.5
Total		18,342.2	17,478.7	129.9	48.9

Note: Data not audited. Numbers affected by rounding.

Sources: OUSD(C), responses to SIGIR data calls, 4/18/2011 and 7/15/2011.

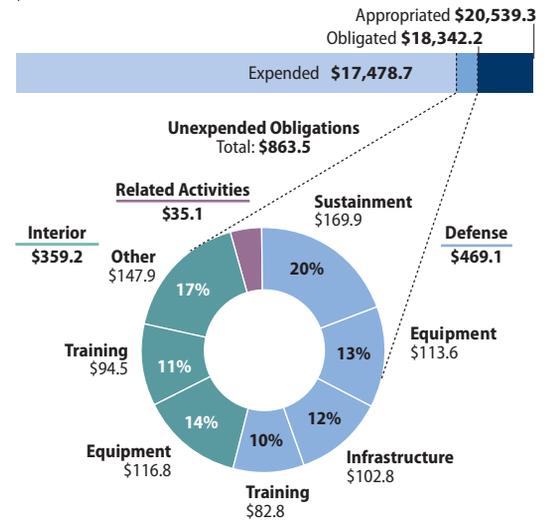
TABLE 2.4
FY 2011 ISFF SPEND PLAN THROUGH 9/30/2011
\$ Millions

MINISTRY	SUB-ACTIVITY GROUP	PROJECT DETAILS	ALLOCATION
Defense	Sustainment	Warfighter Sustainment	80.7
		JBW Supplemental (parts)	60.0
		Scan Eagle	5.0
		Subtotal	145.7
	Equipment	Corps Headquarters	95.3
		ISOF Academy	30.0
		Subtotal	125.3
Subtotal	271.0		
Interior	Sustainment	Logistics Professional Military Education & Resource Mgt Training	18.0
		Subtotal	18.0
	Equipment	Federal Police Equipment	95.0
		Subtotal	95.0
Subtotal	113.0		
Varies	Related Activities	Quick Response Fund	5.0
		Subtotal	5.0
Total Allocated		389.0	
Unallocated Funds		1,111.0	
Total Appropriated		1,500.0	

Note: Data not audited. Numbers affected by rounding. The FY 2011 ISFF expires on 9/30/2012. Allocations current as of 3/31/2011.

Source: OUSD(C), response to SIGIR data call, 7/5/2011.

FIGURE 2.4
ISFF: STATUS OF FUNDS, AS OF 6/30/2011
\$ Millions



Note: Data not audited. Numbers affected by rounding.

Sources: P.L. 109-13; P.L. 109-102; P.L. 109-234; P.L. 110-28; P.L. 110-92; P.L. 110-116; P.L. 110-137; P.L. 110-149; P.L. 110-161; P.L. 110-252; P.L. 111-32; P.L. 111-212; P.L. 112-10; OUSD(C), response to SIGIR data call, 7/15/2011.

\$2.20 billion had not been obligated, but \$509 million of this amount has expired. This leaves \$1.69 billion available for obligation to new projects: \$190 million from P.L. 111-212, which expires on September 30, 2011, and nearly the full \$1.50 billion from P.L. 112-10, which expires on September 30, 2012. In total, \$2.55 billion in available budget authority remained unexpended for the ISFF.⁶⁰

For the status of the ISFF, including a breakdown of unexpended obligations, see Figure 2.4. For the status and quarterly change of ISFF obligations and expenditures, by ministry and sub-activity group, see Table 2.3.

FY 2011 ISFF Spend Plan

The projects outlined in USF-I's FY 2011 ISFF spend plan are intended to "enable USF-I to continue its mission to sustain, equip, [and] train the ISF Defense and Interior Forces [to] reach Minimum Essential Capabilities (MEC) by the end of mission on 31 December 2011." The spend plan was most recently updated in February 2011 and reflects

funding available at that time through the fourth FY 2011 continuing appropriation (P.L. 111-322).⁶¹ Since then, the Congress passed three additional continuing appropriations, as well as a full-year appropriation.⁶² The full-year appropriation (P.L. 112-10), enacted on April 15, 2011, provides \$1.5 billion to be obligated by September 30, 2012.⁶³ According to the DoD Office of the Under Secretary of Defense (Comptroller) (OUSD(C)), the full-year spend plan is being prepared and will be provided to SIGIR when approved.⁶⁴ For available details, see Table 2.4.

Economic Support Fund

Since 2003, the Congress has appropriated more than \$4.83 billion to the ESF to improve infrastructure and community security, promote democracy and civil society, and support capacity building and economic development.⁶⁵ This includes nearly \$326 million provided by P.L. 112-10, which will remain available for obligation until September 30, 2012.⁶⁶ The Congress is currently considering the Administration's FY 2012 ESF request of \$326 million.⁶⁷

As of June 30, 2011, \$348 million of obligated ESF funds had not been expended. An additional \$715 million had not been obligated, but \$166 million of this amount has expired. This leaves \$549 million available for obligation to new projects. In total, \$897 million in available budget authority remained unexpended for the ESF.⁶⁸

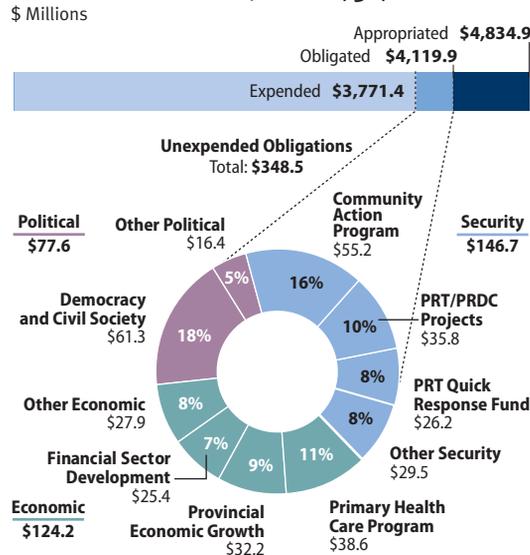
For the status of the ESF, including a breakdown of unexpended obligations, see Figure 2.5. For the status and quarterly change of the ESF, by "track" and program, see Table 2.5.

ESF Requests and Appropriations

Since 2006, the Administration has requested \$6.89 billion for the ESF in Iraq, and the Congress has appropriated \$4.83 billion. The size of requests and appropriations have declined significantly since FY 2006–FY 2007, when the ESF served as follow-on funding for the Community Stabilization Program and other programs originally funded

FIGURE 2.5

ESF: STATUS OF FUNDS, AS OF 6/30/2011



Note: Data not audited. Numbers affected by rounding.

Sources: P.L. 109-102; P.L. 109-234; P.L. 110-28; P.L. 110-92; P.L. 110-137; P.L. 110-149; P.L. 110-161; P.L. 110-252; P.L. 111-32; P.L. 111-117; P.L. 112-10; USAID, response to SIGIR data call, 7/7/2011; USACE, response to SIGIR data call, 7/5/2011; NEA-I, responses to SIGIR data calls, 4/12/2011, 4/15/2011, 6/24/2011, 6/27/2011, and 7/7/2011.

by the IRRF. Appropriations averaged \$1.51 billion per year in FY 2006–FY 2007, \$552 million per year in FY 2008–FY 2009, and \$354 million in FY 2010–FY 2011. The majority of the ESF in Iraq has been requested and appropriated as supplemental funding, and the Congress has provided a much greater share of supplemental requests than regular requests.⁶⁹

For details on requests and appropriations, see Figure 2.6 and Table 2.6.

ESF Programming, Obligations, and Expenditures

The larger supplemental appropriations in FY 2006–FY 2007 were obligated more quickly than appropriations in later years. At the peak, in the fourth quarter of FY 2007 (before the FY 2006 appropriations expired), U.S. agencies in Iraq were obligating nearly \$15.7 million each day on average. Overall, obligations in the fourth quarter of any given fiscal year were significantly higher than

In the fourth quarter of FY 2007, U.S. agencies in Iraq were obligating nearly \$15.7 million each day on average.

TABLE 2.5
ESF: STATUS OF FUNDS, BY TRACK AND PROGRAM, AS OF 6/30/2011
 \$ Millions

TRACK	PROGRAM	STATUS OF FUNDS		QUARTERLY CHANGE	
		OBLIGATED	EXPENDED	OBLIGATED	EXPENDED
Security	Community Stabilization Program	619.3	608.6		
	PRT/PRDC Projects	594.7	558.9	8.4	24.4
	Local Governance Program	440.5	422.2	5.0	12.7
	Community Action Program	394.3	339.1	10.0	14.6
	PRT Quick Response Fund	276.2	250.0	2.4	16.9
	Infrastructure Security Protection	194.2	193.7	-0.5	4.2
	Subtotal	2,519.2	2,372.6	25.2	72.7
Political	Tatweer National Capacity Development	309.4	304.1		4.7
	Democracy and Civil Society	260.6	199.3		15.8
	Iraqi Refugees	95.0	94.5		1.2
	Economic Gov. II, Policy and Reg. Reforms	85.0	83.9		
	Ministerial Capacity Development	37.6	35.5		
	Regime Crimes Liaison	28.5	28.4		
	Elections Support	13.9	13.8		
	Monitoring and Eval.	13.4	6.4	5.0	1.0
	Subtotal	843.6	765.9	5.0	22.8
Economic	O&M Sustainment	275.2	274.0		0.3
	Inma Agribusiness Development	149.8	133.9	5.0	5.0
	Tijara Provincial Economic Growth	117.8	85.5		8.6
	Targeted Development Program	60.4	50.3		4.4
	Plant-Level Capacity Dev. & Tech. Training	50.4	50.3		0.2
	Primary Health Care Program	39.1	0.5		0.5
	Izdihar Private Sector Development	32.8	32.2		
	Financial Sector Development	31.6	6.2		2.9
	Subtotal	757.1	633.0	5.0	21.9
Total		4,119.9	3,771.4	35.2	117.4

Note: Data not audited. Numbers affected by rounding.

Sources: NEA-I, responses to SIGIR data calls, 3/25/2011, 3/28/2011, 4/5/2011, 4/12/2011, 4/15/2011, 6/24/2011, and 6/27/2011; USAID, response to SIGIR data call, 7/7/2011; USACE, responses to SIGIR data calls, 4/5/2011 and 7/5/2011.

in the three preceding quarters, suggesting a “rush to obligate” before funds expired at the end of the fiscal year.⁷⁰ Expenditures peaked at an average \$6.7 million per day during the fourth quarter of FY 2008, as obligations of the FY 2006–FY 2007 appropriations were liquidated. However, there was no apparent annual pattern to expenditures similar to that observed for obligations.⁷¹

The ESF has supported projects implemented by the U.S. Agency for International Development (USAID); the Gulf Region Division (GRD) and successor offices of the U.S. Army Corps of Engineers (USACE); the DoS Bureaus of Democracy, Human Rights, and Labor (DRL) and Population, Refugees, and Migration (PRM); and—at the U.S. Embassy-Baghdad—the Office of the Chief of Mission (COM), the Office of Provincial Affairs (OPA), the Iraq Strategic Partnership Office (ISPO) and its predecessors, and the Regime Crimes Liaison Office (RCLO).⁷²

For details on obligations and expenditures, see Figure 2.6. For details on program obligations, see Table 2.7.

U.S. Agency for International Development

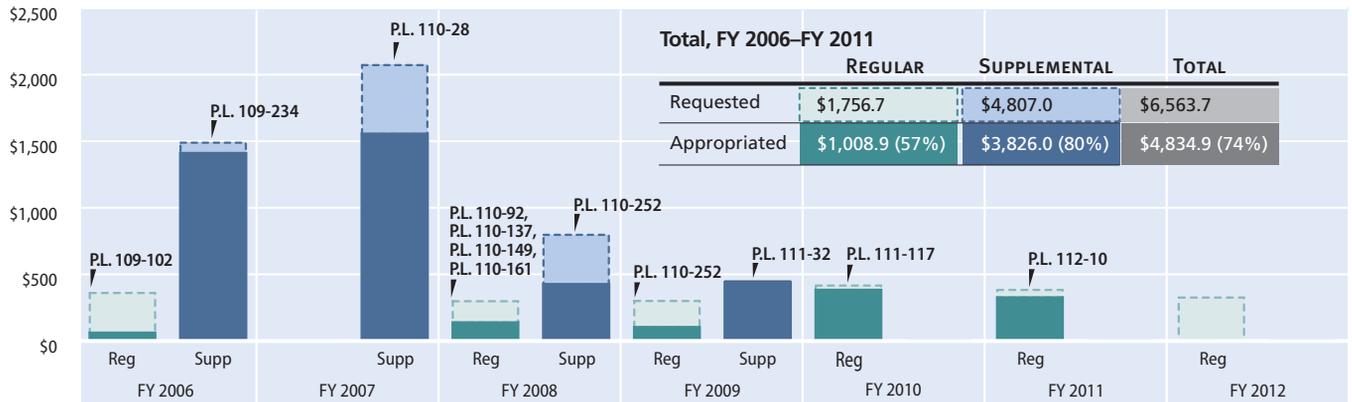
As of June 30, 2011, USAID had obligated \$2.50 billion (61%) of the ESF in Iraq. USAID’s largest ESF-funded programs were the Community Stabilization Program (CSP), the Local Governance Program, the Community Action Program, and the *Tatweer* National Capacity Development program—all of which had obligated in excess of \$300 million.⁷³ The latter three are capacity-development programs and are detailed in the Governance section of this Quarterly Report.

CSP was a three-year “non-lethal counterinsurgency program.” Launched in May 2006, it was designed to complement the U.S. military surge by reducing incentives for violence by at-risk youth, ages 17–35.⁷⁴ The program focused on generating employment, rehabilitating infrastructure, sponsoring youth programs, assisting municipal governments, and mitigating conflict in “strategic” cities affected by insurgent action. Initial activities were limited to Baghdad, but the program subsequently spread

FUNDING FOR IRAQ RECONSTRUCTION

FIGURE 2.6
ESF: APPROPRIATIONS, OBLIGATIONS, AND EXPENDITURES, 2006–2012
 \$ Millions

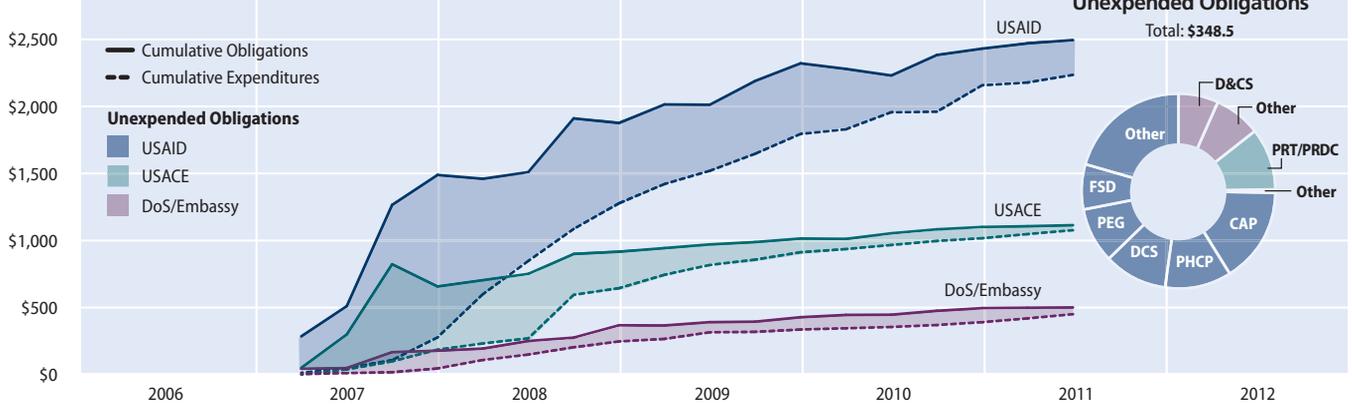
Regular and Supplemental Appropriations



Unobligated Appropriations



Cumulative Obligations and Expenditures



Note: Data not audited. Numbers affected by rounding.

Sources: P.L. 109-102; House Report 109-265, to accompany H.R. 3057, 11/2/2005, p. 86; P.L. 109-234; House Report 109-494, to accompany H.R. 4939, 6/8/2006, pp. 95–96; P.L. 110-28; House Report 110-107, to accompany H.R. 1591, 4/24/2007, pp. 202–204; P.L. 110-92; P.L. 110-137; P.L. 110-149; P.L. 110-161; House Appropriations Committee, “Consolidated Appropriations Act, 2008, Committee Print: Division J—Department of State, Foreign Operations, and Related Programs Act, 2008,” 1/30/2008, pp. 2177–2178, 2208; P.L. 110-252; Senate Explanatory Statement, to accompany H.R. 2642, 6/26/2008; P.L. 111-32; Conference Report 111-151, to accompany H.R. 2346, 6/12/2009, pp. 127–129; P.L. 111-117; Conference Report 111-366, to accompany H.R. 3288, 12/8/2009, pp. 1466, 1470; DoS, “Foreign Operations Congressional Budget Justification, FY 2006,” p. 448; House Document 109-90, “Request for FY 2006 Budget Amendments,” 2/28/2006, p. 26; DoS, “Foreign Operations Congressional Budget Justification, FY 2008,” pp. 48, 128–129, 138, 490; DoS and USAID, “Supplemental Appropriations Justification, FY 2008,” p. 38; DoS, “Foreign Operations Congressional Budget Justification, FY 2009,” pp. 542–544; DoS and USAID, “Supplemental Justification, FY 2009,” pp. 40–43; DoS, “Foreign Operations Congressional Budget Justification, Annex: Regional Perspectives, FY 2010,” pp. 421–426; DoS, “Foreign Operations Congressional Budget Justification, Annex: Regional Perspectives, FY 2011,” pp. 471–477; DoS, “Foreign Operations Congressional Budget Justification, Annex: Regional Perspectives, FY 2012,” pp. 522–528; USAID, response to SIGIR data call, 7/7/2011; USACE, response to SIGIR data call, 7/5/2011; DoS, NEA-I, responses to SIGIR data calls, 4/12/2011, 4/15/2011, 6/24/2011, 6/27/2011, 7/7/2011, and 7/8/2011; SIGIR Audit 07-005, “Fact Sheet on Sources and Uses of U.S. Funding Provided in Fiscal Year 2006 for Iraq Relief and Reconstruction,” 7/27/2007, p. 13.

TABLE 2.6

ESF: REQUESTS, JUSTIFICATIONS, APPROPRIATIONS, AND EARMARKS, FY 2006–FY 2012

\$ Millions

REQUEST	ADMINISTRATION'S BUDGET JUSTIFICATION	APPROPRIATION	CONGRESSIONAL EARMARKS AND RESTRICTIONS
FY 2006 Regular \$360	Develop economic governance programs and new training; enhance employment centers; continue work in legal, fiscal, institutional, and regulatory frameworks for private sector; continue agriculture and water resources programs.	P.L. 109-102 \$60 Exp. 9/30/2007	Not less than \$56 shall be made available for democracy, governance and rule-of-law programs in Iraq; Conference Report provided \$28 for IRI and \$28 for NDI; \$5 to be transferred to the IRRF to support the Marla Ruzicka Iraqi War Victims Fund.
FY 2006 Supplemental \$1,489	\$675 for PRTs to improve local government capacity, enhance security, and promote development; \$287 to secure infrastructure; \$355 to sustain U.S.-funded projects; \$125 to increase MOF and CBI capacity, transparency, and accountability; \$37 for RCLC; \$10 for democracy promotion.	P.L. 109-234 \$1,409 Exp. 9/30/2007	\$50 for CAP (of which \$5 to be transferred to the Marla Fund); \$50 to promote democracy, rule of law, and reconciliation (including \$10 for IRI, \$10 for NDI, and \$10 for the International Foundation for Electoral Systems). \$1,485 was appropriated; P.L.110-161 later rescinded \$76.
FY 2007 Supplemental \$2,072	Reform key sectors of the economy, including agriculture; increase commercial lending and microfinance; provide business development services; help ministries execute budgets; support GOI in improving economic governance; engage political parties, civil society organizations, and national political institutions; support independent media, national reconciliation, and women's and human rights.	P.L. 110-28 \$1,554 Exp. 9/30/2008	Funds conditional on certification that Iraq was meeting benchmarks, including legislation related to de-Ba'athification, hydrocarbons, and semi-autonomous regions, as well as a constitutional review, reduced sectarian violence, improved ISF, and implementation of the Baghdad Security Plan; Conference Report allocations include: PRTs (\$620), CSP (\$354), CAP (\$95, of which \$5 was for the Marla Fund), LGP (\$90), and the COM fund (\$57).
FY 2008 Regular \$298	Stabilize strategic Iraqi cities through rehabilitation of community infrastructure, job training and vocational education, youth programs, and microloans; improve local and provincial governance through PRT projects directed, while continuing governance reforms at the national level.	P.L. 110-92, P.L. 110-137, P.L. 110-149 \$123 Exp. 12/31/2007	Series of Continuing Appropriations extended FY 2007 budget authority through 11/16/2007 (P.L. 110-92), 12/14/2007 (P.L. 110-137), and ultimately 12/31/2007 (P.L. 110-149).
		P.L. 110-161 \$15 Exp. 9/30/2008	Provided \$10 through the Middle East Partnership Initiative to rescue scholars in Iraq and \$5 to the Marla Fund.
FY 2008 Supplemental \$797	Support PRTs; secure infrastructure; generate employment and finance business; improve Iraqi ability to sustain projects and execute budgets; fund democracy and governance programs ahead of elections and Kirkuk referendum; reform GOI economic policies; establish business capital fund.	P.L. 110-252 \$424 Exp. 9/30/2009	Made funds for most programs conditional on GOI dollar-for-dollar matching; prohibited funds for prison construction; made PRT funding conditional on submission of a DoS report detailing plans to wind down and close out PRTs, anticipated costs for PRT programming and security, and anticipated placement and costs for future consulates. FY 2009 regular appropriations—referred to as bridge funding—became available on 10/1/2008.
FY 2009 Regular \$300	Train local leaders in good governance, project implementation, and conflict resolution; build ministry capacity in financial management, budgeting, and procurement; support political parties and CoR functions; foster civil society and independent media; promote macroeconomic reforms, agriculture, and microfinance.	P.L. 110-252 \$103 Exp. 9/30/2009	
FY 2009 Supplemental \$449	Support elections, civil society, independent media, and political institutions (\$112); fund LGP (\$55) and CAP (\$35) to strengthen local governments; support ministerial capacity development (\$60), Marla Fund (\$3.5), and Iraqi widows (\$5); promote policy, legal, and regulatory reforms (\$50); fund PEG (\$27.5) to support business development; support agriculture (\$43).	P.L. 111-32 \$439 Exp. 9/30/2010	Funds conditional on GOI matching; Conference Report allocations included allocations to CAP (\$50), Democracy and Civil Society (\$118), Iraq Cultural Antiquities (\$2), Marla Fund (\$10), the COM's discretionary fund (\$15), and Widows' Assistance (\$5); conferees directed greater clarification of democracy and governance programs and expressed concern for women and minorities.
FY 2010 Regular \$416	Support ministerial capacity (<i>Tatweer</i>) and local government capacity (PRTs and CAP); foster civil society and independent media; reintegrate Iraqi refugees and IDPs; provide anticorruption and election support; promote sustainable, diversified economic growth; pursue economic, legal, and regulatory reforms; build the capacity of economic institutions.	P.L. 111-117 \$383 Exp. 9/30/2011	Conference Report allocations included: Democracy and Civil Society (\$126), CSP (\$50), MCD (\$50), Iraqi Minorities (\$10), and Marla Fund (\$5); conferees expressed belief that the GOI should fund future ministerial capacity development and directed DoS and USAID to consult with the Congress on the process for assessing the benefits versus security costs of work in Iraq.
FY 2011 Regular \$383	Promote conflict mitigation (QRF); assist in legislative drafting, budget analysis and execution, and constituent relations; support community groups in promoting stability, providing assistance, and generating employment; provide technical assistance to the health care, education, and social services sectors; support agriculture, microcredit, and public financial management; promote sound macroeconomic and monetary policies.	P.L. 112-10 \$326 Exp. 9/30/2012	The full-year continuing appropriation for Foreign Operations was made late in the fiscal year and was not accompanied by a committee report; according to DoS, the FY 2011 allocation was the same as its FY 2012 request: \$326; DoS submitted a spend plan to the Congress on 7/5/2011.
FY 2012 Regular \$326	Institutionalize electoral systems that meet international standards; improve professionalism, outreach, and responsiveness of political parties, CoR, and provincial councils; clarify role of federal government; increase capacity and effectiveness of civil society, media, and anticorruption institutions; pursue community conflict prevention and reconciliation; improve rule of law and promote human rights; provide technical assistance to health and education sectors; support the Marla Fund; promote economic growth and job creation.		The Congress is currently considering the Administration's FY 2012 request.
\$6,889		\$4,835	

Note/Source: See Figure 2.6.

FUNDING FOR IRAQ RECONSTRUCTION

TABLE 2.7

ESF OBLIGATIONS, BY IMPLEMENTING AGENCY, PROGRAM, AND FISCAL-YEAR APPROPRIATION, AS OF 6/30/2011

\$ Millions

IMPLEMENTING AGENCY	PROGRAM	OBLIGATIONS					TOTAL	UNEXPENDED OBLIGATIONS
		FY 2006	FY 2007	FY 2008	FY 2009	FY 2010		
USAID	Community Stabilization Program	135.0	379.0	100.0	5.3	0.0	619.3	10.7
	Local Governance Program	160.0	99.5	101.0	55.0	25.0	440.5	18.3
	Community Action Program	59.3	100.0	85.0	95.0	55.0	394.3	55.2
	Tatweer National Capacity Development	60.0	144.5	64.8	40.1	0.0	309.4	5.4
	PRT Quick Response Fund	0.0	130.0	8.0	35.0	0.0	173.0	12.3
	Inma Agribusiness Development	0.0	97.5	0.0	52.3	0.0	149.8	15.9
	Tijara Provincial Economic Growth	0.0	35.8	25.0	37.0	20.0	117.8	32.2
	Economic Gov. II, Policy and Reg. Reforms	20.0	65.0	0.0	0.0	0.0	85.0	1.1
	Democracy and Civil Society	0.0	29.6	0.0	36.5	18.0	84.1	37.3
	Primary Health Care Program	3.7	6.0	0.0	29.5	0.0	39.1	38.6
	Izdihar Private Sector Development	9.0	23.8	0.0	0.0	0.0	32.8	0.6
	Financial Sector Development	0.0	0.0	0.0	21.6	10.0	31.6	25.4
	Elections Support	11.4	2.6	0.0	0.0	0.0	13.9	0.1
	Monitoring and Evaluation	0.0	0.0	0.2	8.0	5.3	13.4	7.1
Subtotal		458.4	1,113.2	384.0	415.3	133.3	2,504.1	260.2
USACE/GRD	PRT/PRDC Projects	261.5	333.2	0.0	0.0	0.0	594.7	35.8
	O&M Sustainment	275.2	0.0	0.0	0.0	0.0	275.2	1.2
	Infrastructure Security Protection	194.2	0.0	0.0	0.0	0.0	194.2	0.6
	Plant-Level Capacity Dev. & Tech. Training	50.4	0.0	0.0	0.0	0.0	50.4	0.1
	Subtotal		781.4	333.2	0.0	0.0	0.0	1,114.5
DoS/ Embassy	DRL Democracy and Civil Society	85.0	15.0	0.0	76.5	0.0	176.5	23.9
	OPA PRT Quick Response Fund	0.0	36.0	25.0	16.2	26.0	103.2	13.9
	PRM Iraqi Refugees	50.0	0.0	45.0	0.0	0.0	95.0	0.5
	COM Targeted Development Program	0.0	57.4	0.0	3.0	0.0	60.4	10.1
	ISPO Ministerial Capacity Development	32.6	0.0	5.0	0.0	0.0	37.6	2.1
	RCLO Regime Crimes Liaison Office	28.5	0.0	0.0	0.0	0.0	28.5	0.1
	Subtotal		196.1	108.4	75.0	95.7	26.0	501.2
Total		1,435.9	1,554.7	459.0	511.0	159.3	4,119.9	348.5

■ >150+ ■ >75-150 ■ >30-75 ■ >0-30 □ 0 ■ >75+ ■ >30-75 ■ >15-30 ■ >0-15 □ 0

Note: Data not audited. Numbers affected by rounding. Iraq Strategic Partnership Office (ISPO) includes obligations made by predecessor agencies.

Sources: USAID, response to SIGIR data call, 7/7/2011; USACE, response to SIGIR data call, 7/5/2011; DoS, NEA-I, responses to SIGIR data calls, 4/12/2011, 4/15/2011, 6/24/2011, and 6/27/2011; SIGIR, *Quarterly and Semiannual Reports to the United States Congress*, 4/2007-4/2011.

to 18 locations across Iraq.⁷⁵ According to a USAID evaluation released in 2009, CSP was successful when program elements were coordinated internally (for example, by matching competent vocational training with business grants) and integrated with other U.S. programs (such as the CERP). However, both coordination and integration depended more on personalities than on institutionalized procedures.⁷⁶ According to the evaluation, the program was generally considered successful by participants and observers. For example, a greater percentage

of program participants than non-participants felt their community was safer in 2009 than in 2006. However, the evaluation said that confounding variables, including the effect of similar programs like the CERP, made it impossible to conclude a causative relationship between CSP and a reduction in violence.⁷⁷

In a 2008 audit of CSP, the USAID Office of Inspector General (USAID OIG) acknowledged a positive trend in citizens' perception of local government effectiveness. However, USAID

The evaluation said that confounding variables made it impossible to conclude a causative relationship between CSP and a reduction in violence.

USAID OIG was presented with evidence suggesting that potentially millions of dollars in CSP funds had been diverted to insurgents.

OIG could not determine whether CSP achieved its intended results with regard to community infrastructure or essential services and could not substantiate claims made about employment generation. In addition, USAID OIG's audit found evidence of fraud within certain CSP projects. In Baghdad, for example, USAID OIG was presented with evidence suggesting that potentially millions of dollars in CSP funds had been diverted to insurgents.⁷⁸

As of June 30, 2011, five USAID-administered ESF programs had greater than \$25 million remaining in unexpended obligations: the Community Action Program, Primary Health Care Program, Democracy and Civil Society, Provincial Economic Growth, and Financial Sector Development.⁷⁹ For more details on most of these programs, see the Governance and Economy sections of this Quarterly Report.

U.S. Army Corps of Engineers

As of June 30, 2011, USACE had obligated \$1.11 billion (27%) of the ESF in Iraq. The majority of USACE's ESF funding went to Provincial Reconstruction Team/Provincial Reconstruction Development Council (PRT/PRDC) Projects.⁸⁰ The program enabled local development teams to identify, prioritize, and manage "small, immediate-impact projects" targeted at Iraqi priorities.⁸¹ USACE also implemented infrastructure security, sustainment, and capacity-building projects. All ESF funding for USACE work came from the FY 2006–FY 2007 appropriations, with the agency receiving most of the FY 2006 appropriation. As of June 30, 2011, nearly \$38 million in unexpended obligations remained for USACE programs, the great majority for PRT/PRDC Projects.⁸²

DoS and U.S. Embassy-Baghdad

As of June 30, 2011, the six entities under the umbrella of DoS and U.S. Embassy-Baghdad had obligated \$501 million (12%) of the ESF in Iraq. Together, DRL and PRM—standing bureaus in DoS—obligated more than half to promote democracy and civil society and provide humanitarian

assistance to refugees and internally displaced persons.⁸³ In addition, more than \$103 million was obligated through the PRT Quick Response Fund, which like PRT/PRDC Projects supports small-scale local initiatives.⁸⁴ As of June 30, 2011, the largest ongoing program was DRL's portion of Democracy and Civil Society.⁸⁵

ESF Expired Funds

The budget authority for FY 2006–FY 2009 ESF appropriations has expired. Agencies cannot obligate funds from these appropriations to new projects, but can adjust existing obligations and expend funds for a period of five years after their respective expiration dates.⁸⁶ If funds were obligated before they expired and were then subsequently deobligated, they can be obligated to new projects for a period of four years past their original expiration date—effectively extending the period of obligation for new projects.⁸⁷ Both means of repurposing ESF funds have been used extensively in Iraq. For example, the Primary Health Care Program, which was first reported to SIGIR last quarter, is funded by ESF appropriations from FY 2006, FY 2007, and FY 2009—all of which would have previously expired under normal circumstances and would have been unavailable to support the new program. As of June 30, 2011, \$39.1 million had been obligated to the program and approximately \$500,000 had been expended.⁸⁸

Since FY 2006, additional obligations (positive adjustments) to ongoing ESF-funded projects in Iraq have been more common (or had larger dollar amounts) than deobligations (negative adjustments). Consequently, for any given fiscal-year appropriation, the net amount of expired funds decreased between its respective expiration date and June 30, 2011.⁸⁹

As of June 30, 2011, nearly 3.4% of appropriated ESF had expired, more than INCLE (0.0%), IRRF (2.4%), ISFF (2.5%), and CERP (2.5%).⁹⁰ The \$325.7 million FY 2011 ESF appropriation, which was only recently apportioned for use in Iraq because of delayed appropriation, will expire on September 30, 2012. As of June 30, 2011, none of the funds from the

FY 2011 appropriation had been obligated.⁹¹ According to the Bureau of Near Eastern Affairs-Iraq, DoS submitted its FY 2011 ESF spend plan to the Congress on July 5, 2011.⁹²

For details on expired funds, see Figure 2.6.

Commander's Emergency Response Program

Since 2004, the Congress has provided \$3.85 billion to the CERP in Iraq for the purpose of enabling military commanders to respond to urgent humanitarian relief and urgent reconstruction requirements within their areas of responsibility.⁹³ Under P.L. 112-10, the Congress appropriated up to \$100 million for CERP in Iraq in FY 2011. U.S. Army Central provided a partial allocation of \$75 million to USF-I. USF-I subsequently determined it would not need all \$75 million and returned \$8.5 million. Thus, USF-I's CERP budget for FY 2011 became \$66.5 million, \$33.5 million less than originally authorized by the Congress.⁹⁴ These funds will remain available for obligation until September 30, 2011.⁹⁵ The Congress is currently considering the Administration's request for \$25 million for FY 2012.⁹⁶

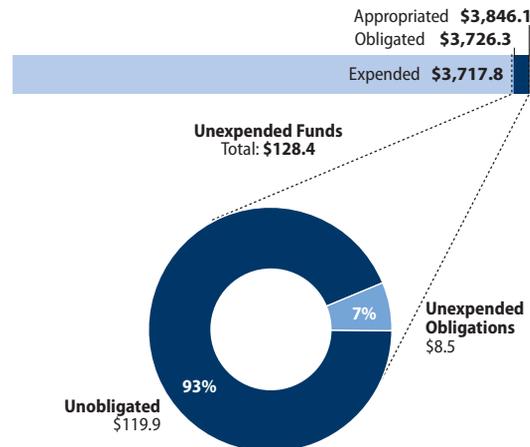
As of June 30, 2011, \$8 million of obligated CERP funds had not been expended. An additional \$120 million had not been obligated, but \$96 million of this amount has expired. This leaves \$24 million available for obligation to new projects. In total, \$33 million in available budget authority remained unexpended for the CERP.⁹⁷

For the status of the CERP, including a breakdown of unexpended funds, see Figure 2.7. For the status and quarterly change of the CERP, by project category, as of June 30, 2011, see Table 2.8.

CERP Data Gap

USF-I does not report on CERP projects during the five-year reporting and outlay phase that follows each appropriation's period of obligation. USF-I's CERP Project Tracker—the only systemic source of CERP project descriptions and categories—is

FIGURE 2.7
CERP: STATUS OF FUNDS, AS OF 6/30/2011
\$ Millions



Note: Data not audited. Numbers affected by rounding.

Sources: ABO, responses to SIGIR data call, 7/14/2011 and 7/15/2011.

updated only through the end of the fiscal year in which the funds are appropriated. This lack of reporting creates a data gap on which SIGIR has reported extensively in past Quarterly Reports and which is evidenced in the difference between ABO financial data and USF-I CERP Project Tracker data shown in Table 2.8.⁹⁸

USF-I J8 officials previously informed SIGIR that this problem had been corrected and that USF-I would track and report on FY 2010 CERP projects that continued into FY 2011.⁹⁹ For this Quarterly Report, USF-I did provide updated data on a subset of FY 2010 CERP projects, and this data answers at least some of SIGIR's questions about the status of those projects.¹⁰⁰

According to the information provided for this Report, USF-I had 12 open FY 2010 CERP projects as of June 30, 2011, with combined obligations of \$7.6 million. Of these 12 projects, 6 were initially valued at more than \$500,000.¹⁰¹

SIGIR will continue trying to get a better understanding of the status of FY 2010 CERP projects. SIGIR is unaware if USF-I has identified a means of correcting records for FY 2004–FY 2009 CERP appropriations.

USF-I's CERP budget for FY 2011 became \$66.5 million, \$33.5 million less than originally authorized.

TABLE 2.8
CERP: STATUS OF FUNDS, BY PROJECT CATEGORY, AS OF 6/30/2011
 \$ Millions

	PROJECT CATEGORY/FISCAL YEAR	STATUS OF FUNDS		QUARTERLY CHANGE		
		OBLIGATED	EXPENDED	OBLIGATED	EXPENDED	
Status of Funds, by Project Category, According to the USF-I CERP Project Tracker	Water & Sanitation	673.9	224.5	0.1	5.1	
	Protective Measures	490.3	267.9	0.2	0.4	
	Electricity	444.6	132.8	0.1	1.1	
	Education	429.2	179.0	0.9	1.5	
	Transportation	386.2	149.3	0.3	1.2	
	Civic Cleanup Activities	240.9	116.9	0.4	0.4	
	Other Urgent Humanitarian or Reconstruction Projects	224.2	84.1	-0.1	0.5	
	Agriculture	208.4	74.9		0.6	
	Economic, Financial, and Management Improvements	184.3	77.6	1.4	1.3	
	Health Care	152.4	60.7	0.4	0.3	
	Rule of Law & Governance	113.4	44.7	1.2		
	Civic Infrastructure Repair	67.5	23.9			
	Repair of Civic & Cultural Facilities	63.1	27.4		0.3	
	Civic Support Vehicles	58.5	32.3		1.5	
	Condolence Payments	50.7	35.4			
	Telecommunications	39.6	10.2			
	Temporary Contract Guards for Critical Infrastructure	35.6	35.3			
	Battle Damage Repair	23.8	18.0	0.1	0.1	
	Food Production & Distribution	21.2	8.2	0.1	0.1	
	Non-FMR	5.8	0.0			
	Detainee Payments	1.0	0.6			
	Iraqi Hero Payments	0.7	0.7			
	Subtotal		3,915.2	1,604.1	4.9	14.4
	Difference between ABO Financial Data and USF-I CERP Project Tracker, by Fiscal Year	FY 2004	-5.8	133.6		
		FY 2005	-49.2	404.4		
FY 2006		136.7	499.8			
FY 2007		-181.5	324.2	-1.0	0.2	
FY 2008		-91.9	513.2	-0.5	-0.5	
FY 2009		-9.3	116.4		0.4	
FY 2010		14.4	115.3	-1.7	21.3	
FY 2011		-2.4	6.8	-2.4	6.8	
Subtotal		-189.0	2,113.6	-5.7	28.1	
Total, According to ABO Financial Data			3,726.3	3,717.8	-0.7	42.5

Note: Data not audited. Numbers affected by rounding. Table compares project category totals from the USF-I CERP Project Tracker with financial data from ABO, by fiscal year. Project Categories reported in the USF-I CERP Project Tracker were inconsistent across fiscal years, but most aberrations could be matched with a Project Category provided for in the DoD FMR. Project Categories reported by USF-I that could not be matched to a Project Category provided for in the DoD FMR were classified as "Non-FMR" in this table.

Sources: ABO, responses to SIGIR data calls, 10/4/2010, 10/8/2010, 12/6/2010, 12/22/2010, 4/5/2011, 4/18/2011, 7/5/2011, and 7/14/2011.

Strategic Oversight

In response to congressional concerns about the CERP's management, approval thresholds, and interagency coordination, DoD in May 2010 established a two-tiered structure for strategic oversight, comprising the CERP Steering Committee (CSC) and the CERP Management Cell (CMC).¹⁰² A third

component—the CERP Working Group (CWG)—was subsequently added.¹⁰³ According to DoD, the “oversight structure continues the important balance between headquarters-level visibility, accountability, oversight, and strategic guidance and field-level management, flexibility, responsiveness, and tactical counterinsurgency efforts.”¹⁰⁴

CSC/CMC focus has shifted from Iraq to Afghanistan to reflect the shift in financial resources as the Iraq commitment draws down. However, according to DoD, CSC and CMC continue to evaluate and adjust broad CERP strategy and implementation methodology as they relate to both countries. On average, approximately 30% of the CMC workload is devoted to Iraq.¹⁰⁵

CERP Steering Committee

CSC is co-chaired by the Under Secretary of Defense (Policy) (USD(P)), the Under Secretary of Defense (Comptroller) (USD(C)), and the Vice-Chairman of the Joint Chiefs of Staff. It reports directly to the Deputy Secretary of Defense.¹⁰⁶ CSC provides senior-level oversight of the CERP and is responsible for the integration, coordination, and resolution of all CERP issues within DoD and for engaging with the Congress, U.S. government agencies, and other relevant organizations. The full CSC has formally met once since its inception, but according to DoD, CSC leadership engages regularly on CERP issues, including through small group meetings and “frequent virtual communications.”¹⁰⁷

According to DoD, CSC has issued numerous recommendations since its inception related to funding allocations, project oversight, and inter-agency coordination, “all” of which “have been coordinated and implemented by the proper CERP stakeholder.”¹⁰⁸ This quarter, CSC recommended the transfer of \$33.5 million of unobligated FY 2011 CERP-Iraq funds to Afghanistan, which was submitted for congressional approval in June 2011.¹⁰⁹ CSC made no recommendations related to Iraq last quarter.¹¹⁰ Specific examples of CSC recommendations from prior quarters were not provided.

Since CSC was established, changes to the *Money as a Weapon System (MAAWS)* standard operating procedures manual, which regulates the use of the CERP, include removing “Sons and Daughters of Iraq” as an eligible CERP project category; clarifying requirements for coordination with PRTs and USAID at all projects values;

adding a requirement to obtain approval from the Senior Contracting Official-Iraq on projects with a total cost of more than \$500,000 that extended beyond May 31, 2011; changing the project management database from the Iraq Reconstruction Management System (IRMS) to the Combined Information Data Network Exchange (CIDNE); and clarifying that a brigade commander could be delegated approval authority for projects estimated to cost between \$200,000 and \$500,000.¹¹¹

The DoD Financial Management Regulation (FMR) chapter related to the CERP, which is the other primary source of CERP guidance, has not been updated since January 2009—before CSC and CMC were established.¹¹² According to the CMC, the FMR is the responsibility of OUSD(C) and has been undergoing revision since the spring of 2010 to incorporate recommended changes from the field and CMC, congressional guidance, and new legislative provisions. The revised chapter is “in coordination.”¹¹³

In addition, according to DoD, CSC has reviewed and recommended the approval of several high-value projects that require approval by the Secretary of Defense (or Deputy Secretary if delegated).¹¹⁴ According to the MAAWS, the Secretary of Defense is required to approve all CERP projects with a total cost of more than \$1 million.¹¹⁵ In FY 2010, no CERP projects in Iraq fit this criterion.¹¹⁶ CSC does not approve or make recommendations for projects with a total cost of less than \$1 million “unless brought to the Committee’s attention through other oversight mechanisms.”¹¹⁷

In FY 2010, there were five projects with total costs in excess of \$900,000—that is, just under the threshold requiring approval by the Secretary of Defense (or delegate). The largest FY 2010 CERP project in Iraq, only \$1,480 shy of the review threshold, was intended to transfer raw sewage to the Habbaniya Bio Lagoon, operate and maintain the aeration system, and supply a generator and an air compressor. According to DoD, the project would mitigate part of Anbar province’s inadequate sanitation and water treatment problems.

CSC/CMC focus has shifted from Iraq to Afghanistan to reflect the shift in financial resources as the Iraq commitment draws down.

This project is one of the 12 funded by the FY 2010 appropriation that had not been completed as of June 30, 2011. There have been no reported FY 2011 CERP projects in Iraq with total costs in excess of \$500,000.¹¹⁸

CERP Management Cell

According to DoD, CMC provides a focal point for CERP management and “promotes a holistic, integrated approach.”¹¹⁹ The office is led by a full-time Director of SES rank, appointed by the USD(P) with the concurrence of the USD(C) and staffed by one civilian deputy (GS-15) and one analyst (contractor).¹²⁰ CMC is responsible for ensuring that CSC recommendations are coordinated and implemented by the proper CERP stakeholders.¹²¹ The CMC Director reports to the CSC co-chairs and directs the activities of CWG, including convening meetings; vetting, assigning, and tracking of CERP issues and tasks across all of DoD; and promulgating CERP decisions and direction.¹²²

According to DoD, specific issues considered by CMC in its management capacity include CERP requirements, planning, program controls, program coordination, review of criteria for high-value project approval, and standards for pre-deployment and in-theater training.¹²³ To track progress, the CMC uses numerous performance metrics, including: funding obligation rates, project approval-to-completion time, individual project merit, completeness of recorded data, the number of coordinated CERP actions, and response time to and from internal and external stakeholders.¹²⁴

CERP Working Group

CWG comprises more than 30 representatives from DoD entities involved with the CERP.¹²⁵ According to DoD, CWG meets weekly “to ensure an integrated approach to CERP management,” although CERP is a part-time duty for most of the members.¹²⁶ Among its significant outputs, DoD counts drafting pre-deployment and in-theater training standards, preparing mobile CERP training teams and additional training modules

for non-acquisition personnel, reviewing and recommending approval of large-scale projects (Afghanistan-specific), responding to media and congressional inquiries, drafting quarterly reports and coordinating high-value project notifications to the Congress, improving CERP accountability and transparency through timely input to internal and external audits, and recommending revisions to the CERP section of DoD’s FMR.¹²⁷ Also, according to DoD, an interim CERP data management system has been developed that will lead to an integrated interagency data management system to improve data integration for project data in Afghanistan.¹²⁸

SIGIR Audit of the CERP

In an audit this quarter, SIGIR questioned DoD’s use of FY 2011 CERP funds for primarily civil capacity-development projects given the program’s goal of meeting counterinsurgency-based objectives. Many of the civil capacity-development projects undertaken do not appear related to DoD’s counterinsurgency mission, and SIGIR did not find any guidance or directives that explain how civil capacity development supports a larger counterinsurgency strategy. SIGIR noted that PRTs are deeply involved in identifying, planning, and implementing CERP projects. DoS representatives at the PRTs stated that USF-I relies on them, in part, because of frequent military deployment rotations, reduced troop presence, limited subject-matter expertise, and little experience in the management of capacity development-type projects. While SIGIR supports the involvement of DoS in coordinating projects, this heavy DoS involvement raises questions about whether the projects undertaken support DoD’s military objectives or whether the CERP has evolved into another U.S. development program, similar to those run by USAID and DoS. Finally, SIGIR found that some of the performance metrics used to evaluate CERP projects lack support and therefore cannot provide meaningful information to assess the program’s impact.¹²⁹

SIGIR did not find any guidance or directives that explain how civil capacity development supports a larger counterinsurgency strategy.

International Narcotics Control and Law Enforcement

Since 2006, the Congress has appropriated \$1.18 billion to the INCLE in Iraq to support rule-of-law activities.¹³⁰ This includes roughly \$115 million provided by P.L. 112-10, which expires on September 30, 2012, and \$650 million that was “forward-funded” by P.L. 111-212 (the FY 2010 supplemental appropriation), which also expires on September 30, 2012.¹³¹

As of June 30, 2011, \$132 million of obligated INCLE funds had not been expended. An additional \$333 million had not been obligated, nearly all of which is available for new projects. In total, \$465 million in available budget authority remained unexpended for the INCLE.¹³²

For the status of the INCLE, including a breakdown of unexpended obligations, see Figure 2.8. For the status and quarterly change of the INCLE, by sector and program, see Table 2.9.

Smaller Funds

The Congress has appropriated or otherwise made available nearly \$10.37 billion in smaller funding streams for Iraq reconstruction. SIGIR has classified them into three categories:¹³³

- Other Assistance Programs—\$4.30 billion
- Reconstruction-related Operating Expenses—\$5.72 billion
- Reconstruction Oversight—\$348 million

As of June 30, 2011, at least \$4.80 billion (46%) of these funds had been obligated, and at least \$4.61 billion (44%) had been expended.¹³⁴

However, agency reporting is inconsistent for the smaller funds, and these values likely understate actual obligations and expenditures through these funding streams. For details on the status of funds, see Table 2.1. ♦

TABLE 2.9

INCLE: STATUS OF FUNDS, BY SECTOR AND PROGRAM, AS OF 6/30/2011
\$ Millions

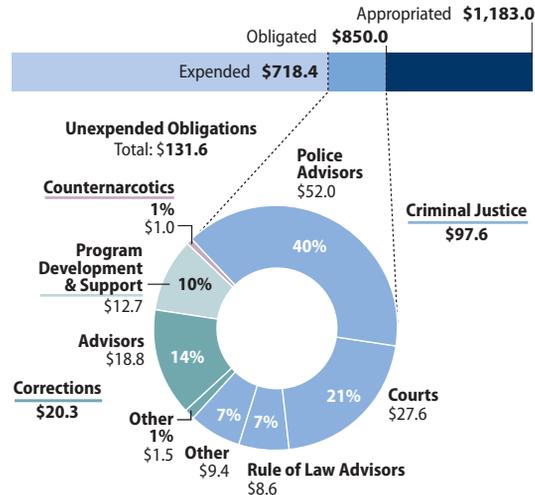
SECTOR	PROGRAM	STATUS OF FUNDS		QUARTERLY CHANGE	
		OBLIGATED	EXPENDED	OBLIGATED	EXPENDED
Criminal Justice	Police Advisors	457.6	405.6	25.2	8.8
	Courts	104.5	76.9	0.1	8.6
	Public Integrity	29.7	23.7	-4.0	-3.4
	Rule of Law Advisors	26.0	17.4		1.2
	Major Crimes Task Force	13.1	10.4		1.3
	Justice Integration	6.8	6.1		0.6
	Legal Framework	2.5	2.5		
	Subtotal		640.2	542.5	21.2
Corrections	Advisors	90.6	71.7	2.6	7.2
	Construction	83.7	82.2		
	Subtotal	174.3	154.0	2.6	7.2
Program Development and Support		34.5	21.9	4.4	4.4
Counternarcotics		1.0	0.0		
Total		850.0	718.4	28.2	28.7

Note: Data not audited. Numbers affected by rounding.

Sources: INL, responses to SIGIR data calls, 4/6/2011 and 7/15/2011.

FIGURE 2.8

INCLE: STATUS OF FUNDS, AS OF 6/30/2011
\$ Millions



Note: Data not audited. Numbers affected by rounding.

Sources: P.L. 109-234; P.L. 110-5; P.L. 110-28; P.L. 110-161; P.L. 110-252; P.L. 111-32; P.L. 111-117; P.L. 111-212; P.L. 112-10; INL, response to SIGIR data call, 7/15/2011.

IRAQI FUNDING

As of June 30, 2011, Iraq had provided \$107.41 billion for relief and reconstruction through CPA spending of Iraqi funds in 2003–2004 (\$12.07 billion) and annual GOI capital budgets in 2003–2011 (\$95.34 billion).¹³⁵ This total includes \$25.70 billion

for Iraq’s fiscal year 2011 capital budget, which runs concurrently with the calendar year.¹³⁶

CoR-approved 2011 GOI Budget Allocations

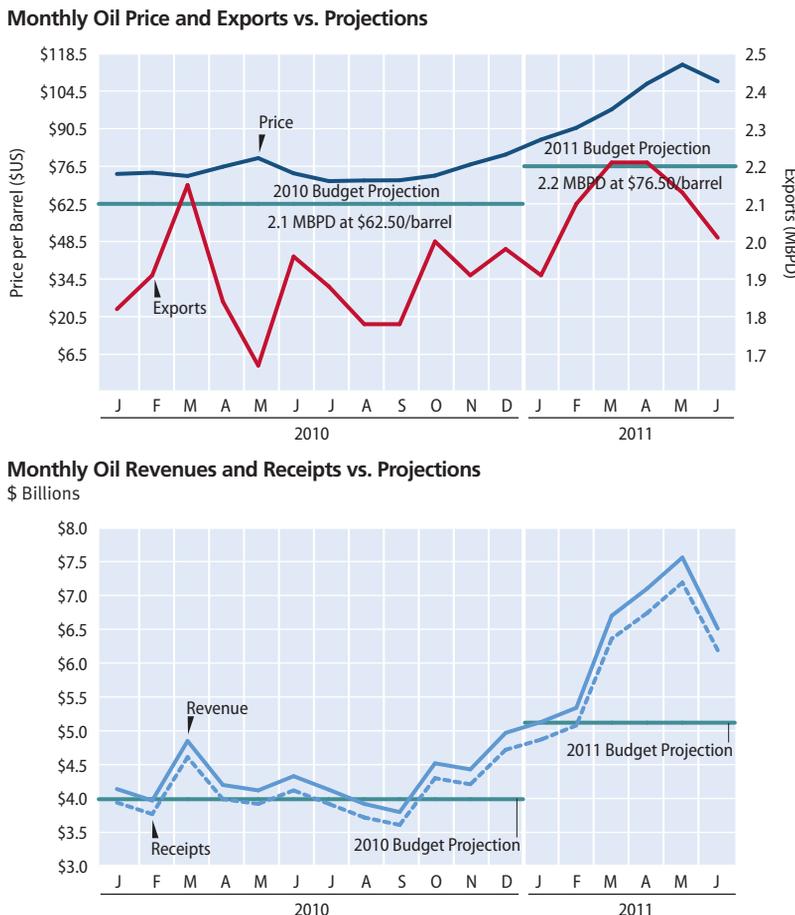
The GOI’s 2011 budget projects \$69.18 billion in revenue and \$82.62 billion in expenditures, leaving a projected deficit of \$13.44 billion.¹³⁷ The budget broadly categorizes expenditures as those related to operations (\$56.92 billion) and capital investment (\$25.70 billion).¹³⁸ This quarter, the GOI made available the budget allocations approved by the Council of Representatives (CoR) for government ministries and agencies.¹³⁹ For details, see Table 2.10.

GOI Budget and Revenue

During the first half of 2011, the GOI received \$36.42 billion in oil receipts, 50% more than the \$24.35 billion received during the first half of 2010, and 19% more than the \$30.71 billion projected for the first six months of 2011 in the GOI budget.¹⁴⁰ Iraq is on pace for record-high annual oil receipts, exceeding even the peak of \$58.79 billion in 2008.¹⁴¹ Overall, the 2011 GOI budget estimated that 89% of annual revenue would come from oil exports.¹⁴²

Performance on both price and export volumes compares favorably to 2010. During the first half of 2011, Iraq has received an average of \$101.08 per barrel of oil exported, well above the price of \$76.50 used to project Iraqi oil revenues for 2011. The country’s oil export volume was 5% less than projected, but still improved over last year.¹⁴³ For details, see Figure 2.9.

FIGURE 2.9
MONTHLY OIL PRICE, EXPORTS, AND REVENUE VS. GOI BUDGET PROJECTIONS



Note: Data not audited. Numbers affected by rounding. Not all oil export revenue accrues to the GOI; 5% is paid in war reparations to Kuwait, which accounts for the difference between the Receipts and Revenue lines in this chart. Monthly price per barrel is derived by dividing monthly revenue by monthly exports. Crude oil production and export figures calculated by NEA-I and U.S. Treasury frequently differ because of different methodologies.

Sources: U.S. Treasury, response to SIGIR data call, 7/5/2011; GOI, CoR, “Federal Public Budget Law for the Fiscal Year 2010,” 1/27/2010, and “Federal Public Budget Law for the Fiscal Year 2011,” 2/23/2011.

GOI Revenue Account

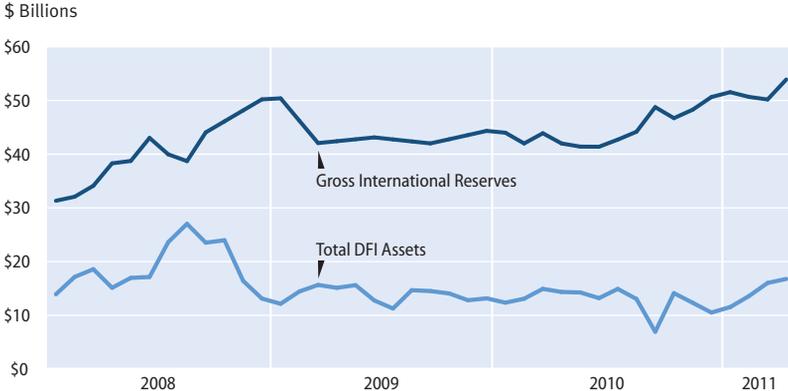
Pursuant to United Nations Security Council Resolution (UNSCR) 1956, Iraq took control over its oil wealth on July 1, 2011. In April, 2011, the GOI informed the Security Council it planned to open a new account at the Federal Reserve Bank of New York to replace the Development Fund for Iraq (DFI) account. The UN established the DFI in 2003 as a repository for Iraq’s petroleum export revenues as well as balances from the UN Oil for Food Programme and other frozen Iraqi funds. Under the terms of UNSCR 1956, the package of arrangements governing the use and international oversight of the DFI ended on June 30.¹⁴⁴ For a comparison of international reserves to DFI assets, see Figure 2.10.

The package of arrangements governing the use and international oversight of the DFI ended on June 30.

In addition to the new account, the GOI said it would continue to operate a second account, known as the Oil Proceeds Receipts Account, held in the name of the Central Bank of Iraq (CBI), also at the Federal Reserve Bank of New York. The end of a requirement for Iraq to deposit all proceeds from petroleum export sales into accounts linked to the DFI constituted a significant step toward closing most remaining UN sanctions imposed on Iraq after Saddam Hussein’s August 1990 invasion of Kuwait. However, UNSCR 1956 extends Iraq’s obligation to pay 5% of its oil revenues into a compensation fund to pay victims of Saddam’s aggression.¹⁴⁵

The GOI’s Committee of Financial Experts, headed by the President of Iraq’s Board of Supreme Audit, assumed audit oversight responsibilities for the oil revenue accounts from the UN-created International Advisory and Monitoring Board (IAMB). The IAMB’s mandate will end once an external auditor submits a preliminary report of the DFI through June 30, 2011.¹⁴⁶ UNSCR 1956 also ends the immunity protection of Iraq’s oil revenues against creditor claims first afforded under an earlier UN resolution.¹⁴⁷ A long-standing Presidential Executive Order will provide a more limited protection to GOI accounts at the Federal Reserve Bank of New York. On May 17, 2011, President Obama extended that order for one year.¹⁴⁸ ♦

FIGURE 2.10
IRAQ’S INTERNATIONAL RESERVES AND TOTAL DFI ASSETS, 1/2008–4/2011



Note: Data not audited.

Source: IMF, Country Report No. 11/75, “Iraq: Second Review Under the Stand-By Arrangement, Requests for Waiver of Applicability, Extension of the Arrangement, and Rephasing of Access—Staff Report; Press Release on the Executive Board Discussion; and Statement by the Executive Director for Iraq,” 3/2011, p. 4.

INTERNATIONAL SUPPORT

According to the DoS Bureau of Near Eastern Affairs-Iraq, there was no change this quarter in the status of international support. As of June 30, 2011, international (non-U.S.) donors had committed \$13.03 billion for the relief and reconstruction of Iraq: \$6.51 billion in grant assistance

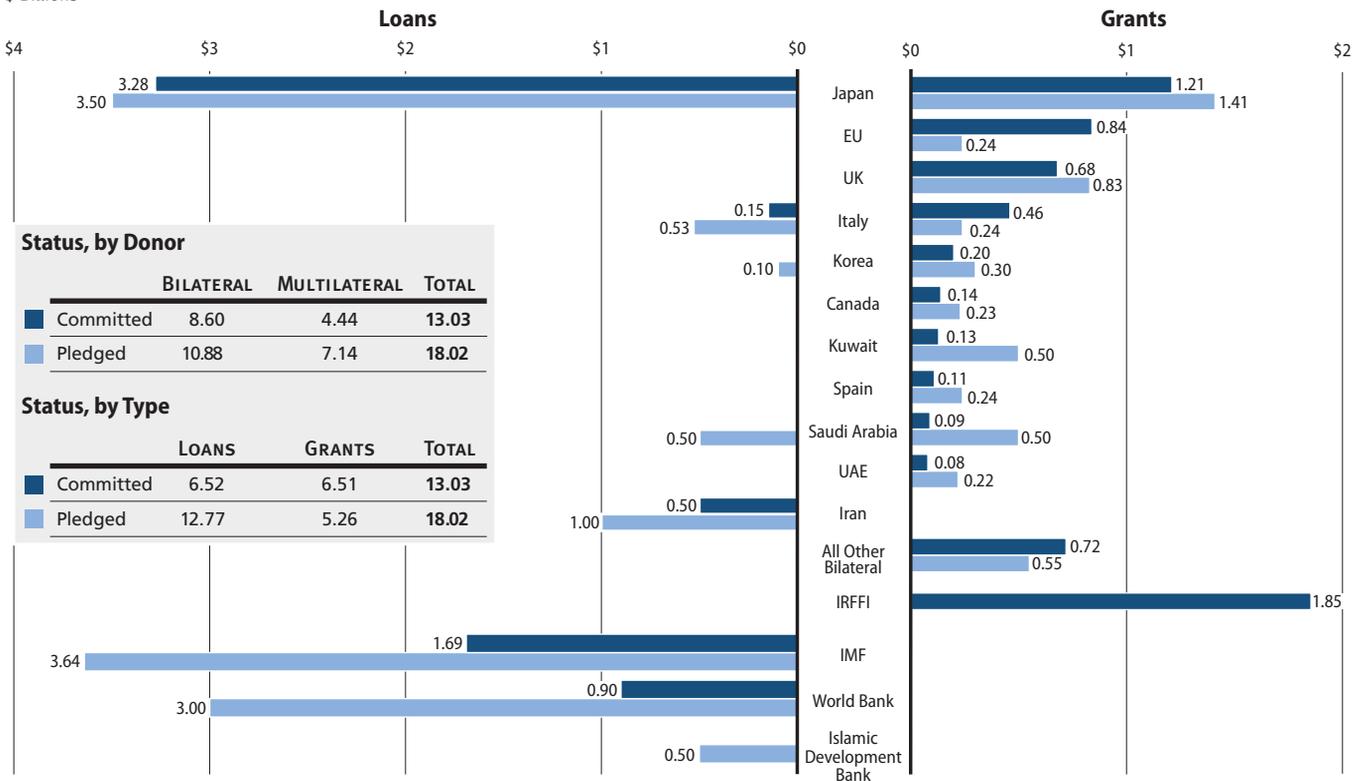
and \$6.52 billion in loans. International donors had pledged \$18.02 billion: \$5.26 billion in grant assistance and \$12.77 billion in loans.¹⁴⁹

For a breakdown of pledges and commitments, by type of assistance and donor, see Figure 2.11. ♦

FIGURE 2.11

INTERNATIONAL GRANTS AND LOANS, BY TYPE OF ASSISTANCE, STATUS, AND DONOR, AS OF 6/30/2011

\$ Billions



Note: Data not audited. Numbers affected by rounding. Bilateral commitments exclude IRFFI deposits. Amounts may differ from prior quarters due to changes in foreign exchange rates.

Sources: NEA-I, responses to SIGIR data calls, 4/5/2011, 4/7/2011, and 7/12/2011.