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Legislative Strengthening Program (LSP)

## DESIGN AND SPECIFICATIONS OF AN IRAQI COUNCIL OF REPRESENTATIVES MODEL PROVINCIAL OFFICE

March 2011

Contract No. 263-I-03-06-00015-00 (REDI Task Order No. 3)

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# Legislative Strengthening Program

Contract No: 263-I-03-06-00015-00

REDI Task Order No. 3

USAID/Iraq Strategic Objective 10: Capacity of National Government Institutions Improved

## DESIGN AND SPECIFICATIONS OF A COUNCIL OF REPRESENTATIVES (COR) MODEL PROVINCIAL OFFICE

March 2011

**Submitted to:**

**Ms. Eileen Derby**

**Contracting Officer's Technical Representative (COTR)**

**Democracy and Governance Office, USAID/Iraq**

Submitted by:

**AECOM**

2101 Wilson Boulevard, Suite 700

Arlington, VA 22201, USA

T: +1.703.528.7444

[www.aecom.com](http://www.aecom.com)

In association with:

**Management Systems International**

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**IRAQ LEGISLATIVE STRENGTHENING PROGRAM  
MODEL PROVINCIAL OFFICE**

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## **Acronyms**

CMS	Content Management System
COR	Iraqi Council of Representatives
CSO	Civil Society Organization
DG	Director General
LSP	Legislative Strengthening Program
MP	Member of Parliament
MAPDC	Members' Affairs and Parliamentary Development Committee
NCCMS	Networked Constituent Casework Management System
PAD	Parliamentary Affairs Directorate
PO	Provincial Office
POD	Provincial Office Department
RGAC	Regions and Governorates Affairs Committee
ROP	Rules of Procedure
SG	Secretary General
US	United States
USAID	U.S. Agency for International Development

## **I. Introduction**

The Iraqi Council of Representatives (COR) established Provincial Offices (POs) under Article 151 of its bylaws, which were adopted on July 15, 2006. Article 151 states that the Parliament is to open offices to “secure communication between the members of the Council of Representatives and the people.” The Parliamentary Affairs Directorate (PAD) was tasked with developing the POs. It created an administrative unit under its structure, the Provincial Offices Department (POD), to carry out this task. On July 9, 2007, the COR began to employ the staff of its Provincial Offices. By August 2009, the POD had established Provincial Offices in 17 of Iraq’s 18 provinces. The POD established two POs in Baghdad because of the city’s large population.

Initially, the POs were called “complaints offices” and were conceived as an extension of the COR Complaints Committee in the provinces aimed at collecting citizens’ complaints. Today, the POs also support the MAPDC and the Regions and Governorates Affairs Committee. Consequently, the POs’ role has expanded beyond receiving citizens’ complaints and now embraces a general liaison role between the COR and the provinces. The POs facilitate constituent services, civic education, and parliamentary oversight.

The POs’ structure and management continue to evolve and develop as a result of political and administrative decisions made by the COR. Following the parliamentary elections on March 7, 2010, the Council of Representatives held its first session on June 14, 2010. After several months, parliamentary committees were formed. During this process, the COR eliminated the Complaints Committee. However, the COR is currently working to create an independent administrative unit that will manage citizens’ complaints and the staff of the POs’ Complaints Departments.

This document has been designed to assist COR PO stakeholders with practical suggestions to aid in the development of the POs. Additionally, this document will guide staff in utilizing technology to effectively aid members of Parliament (MPs) and their constituents. This document does not claim to provide solutions to all the problems faced by COR POs. Rather, this document identifies the most pressing obstacles faced by the COR POs and suggests possible solutions. The document also outlines the important strategies that the POs must formulate and implement to carry out their mandate.

## **II. Provincial Offices’ Vision, Mission, and Objectives**

The vision, message, and goals of the Iraqi Council of Representatives’ Provincial Offices were agreed on by the COR’s Provincial Offices Department, the Parliamentary Affairs Directorate, and COR Provincial Offices managers and deputy managers in July, 2009 during a training activity conducted by USAID’s Legislative Strengthening Program (LSP).

### **The Vision**

- To activate the representative and oversight roles of the Iraqi Council of Representatives

- To shorten the distance between the people and the COR while guaranteeing freedom of expression
- To enhance constituencies' civic education in an effort to build trust between MPs and constituents

**The Message**

- To facilitate communication between the constituencies and the Council of Representatives

**The Goals**

- To activate the representative and oversight roles of the COR
- To shorten the distance between constituents and the COR
- To strengthen the trust between the constituencies and MPs.

**III. Management of COR Provincial Offices**

The Provincial Offices are managed by a unit under the COR PAD, the POD. Each PO has a manager and secretary who are responsible for the office's overall administration and report to the POD. There are four departments within a PO: Administrative, Members' Affairs, Regional Affairs, and Complaints.

All COR PO staff report on administrative matters to the Office Director and Secretary, with the latter serving largely as a deputy director. On technical matters, each unit within the PO reports to the corresponding COR committee. The Members' Affairs PO staff report on technical matters to the Members Affairs and Parliamentary Development Committee (MAPDC) and is responsible for assisting MPs in organizing events, liaising with civil society, and the media. The Regional Affairs unit's staff report on technical matters to the Regions and Governorates Affairs Committee (RGAC) and is responsible for monitoring local development projects and assisting in organizing government oversight activities. The Complaints unit is responsible for addressing constituent inquiries and common casework. The Complaints unit's PO staff reported to the Complaints Committee in the past, but currently report to the PAD because the COR Complaints Committee was eliminated. In the future, there will be an independent COR unit under the PAD assigned to interface with the Complaints PO staff.



#### **IV. A Shared Development and Outreach Strategy**

At present, communication and cooperation amongst POs' stakeholders is nonexistent and the management protocol, although agreed upon, is not reflected in practice. There are no regular management meetings or discussions between different management authorities. The POs operate in a strategic vacuum and their activities are overwhelmingly reactive. The absence of strategic direction has persisted largely because of the inactivity of COR committees, both during the 2010 post-election and during the 2010-2011 pre-committee-formation periods. Additionally, rivalries within the secretariat have generated confusion and competition between management authorities. This confusion and competition limits the POs' ability to grow in the right direction and effectively serve MPs, citizens and the institution of parliament. In addition, PO staff persons are expected to act on conflicting instructions, which emanate from their local office manager, the POD, and committees, all of which have differing priorities. The position of PO staff is further complicated by conflicts between the COR's administrative management and COR committees.

LSP recommends that all relevant stakeholders (the PAD, POD, the planned COR Complaints unit, MAPDC, RGAC, the Media Directorate, the COR Speaker's Office and the COR Secretary General's Office) create a strategic plan that provides a development plan for the COR POs, which will outline an outreach strategy, and devolves and delineates responsibilities. The strategic plan must also clarify the POs' management and reporting structure in relation with the COR. The strategic planning process will require stakeholders to agree on the allocation of resources, with particular emphasis on training resources for the POs.

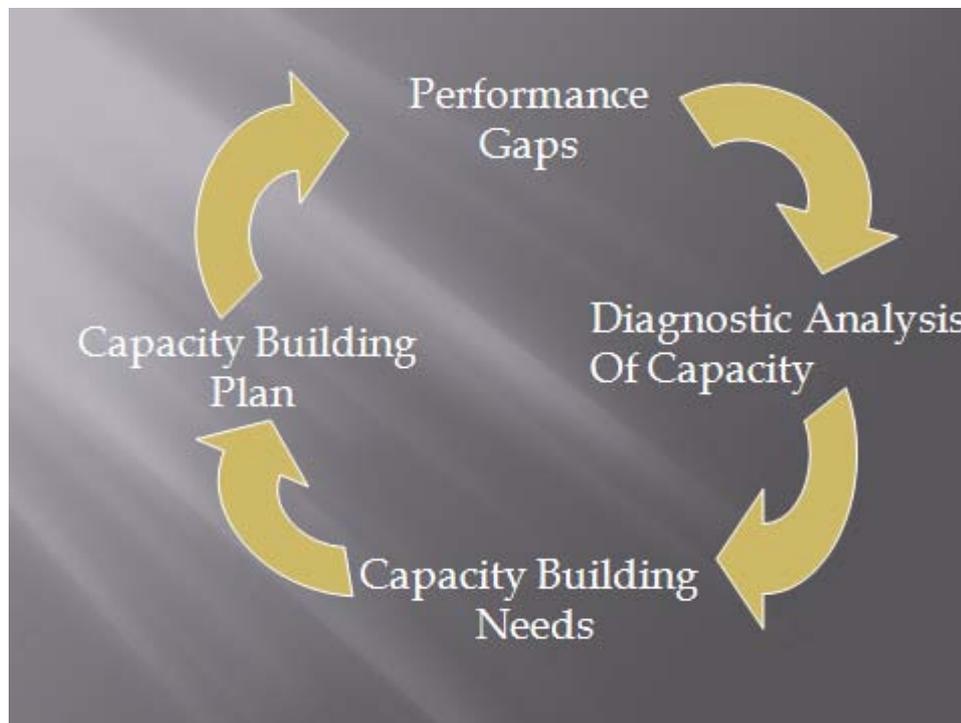
#### **Strategic Planning**

The implementation of a strategic management process for the COR POs' stakeholders will aid POs in realizing their mandate. A strategic plan shared by all of the POs' stakeholders will help them identify the immediate necessities of the POs. This process will assist POs' stakeholders in identifying appropriate and effective means of further developing the capacity of POs. The POs' stakeholders need to articulate goals, accompanied by a list of measurable targets and clearly defined activities, that will serve the POs' vision, set of values, and objectives. This process will increase the POs' effectiveness in serving Parliament, citizens and MPs.

The first stage of the strategic management process requires that COR POs' stakeholders identify strengths, weaknesses, opportunities, and obstructions. While conducting this exercise, the POs' stakeholders will identify best practices that can be shared and institutionalized. In addition, stakeholders will also be able to identify performance gaps and accurately analyze the POs' capacity in relation to their shared vision, set of values, objectives, targets and tasks. Only POs' stakeholders are able to make a sound evaluation of the POs' shortcomings and advantages. Therefore, all stakeholders must cooperate in this process. Only through cooperation will stakeholders be able to make effective strategic decisions.

The next step in the strategic management process is to proceed with selecting strategies to address capacity building needs. At this stage, PO stakeholders should determine the tools available within the COR (i.e. Media Directorate, POD, PAD, Research Directorate, the planned COR Complaints unit, RGAC, and MAPDC). Following this, PO stakeholders can agree on the activities, including training

activities for PO staff to be carried out. More important, the stakeholders must also agree on the resources that will be used to implement these activities. The goals set by PO stakeholders have to be realistic, measurable, and specific. In addition, stakeholders must be able to articulate how each activity supports the strategy. The identified activities will serve as the core of a capacity building plan that is agreed upon by all of the POs' stakeholders.



The next stage of the strategic management process is the implementation of the capacity building plan. The POs' stakeholders must communicate the strategies and goals within the capacity building plan to the members of their respective staffs and ensure that practical and real steps are taken to implement the plan. If the POs' stakeholders fail to perform well during this stage, they will undermine the entire strategic management process. Therefore, once the POs' stakeholders agree on a capacity building plan, they must remain committed to it and each must make its successful implementation a top priority.

The last stage of the strategic management process is the assessment of the process' achievements and results. Further strategic planning will be contingent on the effective monitoring and evaluation. Unless the POs' stakeholders can distinguish between effective and ineffective activities, they will not be able to correctly identify solutions to future problems.

### **Parliamentary Outreach**

A model provincial office should be integrated in a wider COR outreach strategy that aims to improve the image of Parliament across Iraq and foster trust between citizens and the COR. The Parliament is the single most important democratic institution in Iraq. Healthy democratic systems pay great attention to parliamentary outreach. Consequently, it is important that a model PO is able to provide comprehensive civic educational activities and products. COR POs can produce civic education materials on parliamentary work, democracy, federalism, the legislative

process, and state institutions. POs can also produce special briefs explaining important legislation that is pertinent to their province.

Most importantly, POs must make these materials available to the public. A monthly newsletter and a regularly updated website for each PO, describing the COR's activities, would be useful tools to informing citizens and foster a close relationship between the COR and Iraqi citizens.

Regularly interacting with educational institutions, local media, and civil society organizations can also strengthen the COR POs' outreach efforts. Popular venues for educating the public on the COR and democracy are schools, social and business clubs, and other open organizations. Additionally, involving youth, through such initiatives as a PO internship program, can provide POs with the needed manpower to produce educational materials. Such initiatives also educate the young people involved, who "learn by doing." In addition involving Iraqi youth in democratic governance will deepen the cultural integration of democratic institutions and contribute to the sustainability of the country's new political system. The most passionate and capable participants will likely emerge as the next generation's democratic leaders.

It is important to first have an outreach strategy that serves the strategic goals of the COR POs' stakeholders. It is useful to first analyze what the COR has already attempted and achieved in terms of parliamentary outreach.

- Which outreach efforts (activities, civic education products and communication strategies) have been carried out so far?
- Which audiences have been targeted by these efforts?
- What has worked?
- What has not worked?
- Which partnerships have been created within and outside the COR to implement these efforts?

#### Identify outreach goals

Asking these questions will allow stakeholders to learn from the past. These lessons should inform stakeholders as they identify realistic goals for their outreach strategy. Stakeholders must consider:

- *What are the challenges that must be met by a new outreach campaign?* Examples of such challenges include the need to: hire qualified staff to carry out the campaign; promote creative and inventive activities in a specific field or with a specific target group; increase the use of civil society organizations, student organizations and interns in civic education activities; combat the lack of awareness about the benefits of civic education; increase understanding of how all media portals (print, broadcast, and internet) can assist in civic education; master the technical expertise needed to utilize online media.
- *How do these challenges relate to the broader goals of the organization and/or the national government?* The answer to this question can help identify the challenges that should receive priority attention and funding. These priority challenges, in turn, will help define the goals for the outreach campaign.

A good outreach campaign influences constituents' attitudes or behavior. For example, a COR outreach campaign could be aimed at increasing public trust in Parliament. In this case, the main goal of a COR outreach campaign should be simply to promote the active engagement of citizens and citizen groups in the practice of democracy. Do not conflate means with ends. Educating constituents may play a role in eventually changing their attitude towards parliament but the education is not itself the aim of the campaign. The final aims of a successful outreach campaign should be a behavioral change, such as increased voting, involvement in civil society organizations, interaction with MPs and so on.

#### Establish clear long-term and short-term objectives

Objectives can be expressed in terms of raising target audiences' level of awareness and/or education in order to change their perceptions and attitudes towards Parliament. These changes in perceptions and attitudes open the way for the ultimate goal of changing behavior as described above.

Such objectives could be wide ranging, for example: (a) to educate young people about the legislative process; (b) to raise awareness about democratic institutions in Iraq; (c) to raise awareness about a pending bill that is important to a community and how citizens can lobby Parliament, especially their local MP, either for or against it; (d) to inform citizens of constituency complaint procedures.

#### Research

Research is essential at each stage of the development of a communication plan. In the planning and implementing stages, research helps to identify the target audiences' concerns and to choose the best messages and tools with which to reach these audiences. For example, if research indicates that a certain province's citizens suffer from a high rate of unjustified arrests and police brutality, then the PO of that province could prepare briefs on existing and draft legislation on this issue. A group of MPs or a COR committee could also decide to conduct oversight visits, or hold a public hearing, or arrange for a town hall meeting on the subject and those activities can also be part of the communications plan for that province. Research will serve both the COR as a whole and individual MPs in conducting effective constituent outreach.

The data derived from the complaints unit within a PO can reveal the common problems faced by residents of that province. The process automating constituent complaints managed by the COR POs' is currently being developed by the COR and LSP and is being implemented through a Networked Constituent Casework Management System (NCCMS) (see Attachment A). The NCCMS intends to link 19 COR Provincial Offices with the COR Provincial Offices Department, Parliamentary Affairs Directorate, COR Committees, and eventually government ministries. The NCCMS will categorize all constituent complaints and track the resolution lifecycle.

Another method of research that will help both COR and MP outreach is formalized scientific polling. This can be conducted directly by PO staff or contracted to a local firm. Since all MPs within a province share one provincial office, this kind of public opinion research, which is an essential part of public policy making, will greatly assist them in performing their representative function. There are two basic types of public opinion research: qualitative and quantitative. A quantitative survey involves interviewing a large number of individuals who most often must answer "yes" or "no" to the questions. The advantages of such a survey are that it is fairly easy to design and analyze, while providing the ability to calculate percentages from the answers

collected. On the other hand, qualitative surveys are conducted through focus groups and interviews and allow for more in-depth examination of constituents' opinions.

#### Identify target groups

Different audiences have different wants and needs and must therefore be approached in different ways. Defining target audiences is crucial to making sure that the right message will be sent to the right audience. Segmentation facilitates the process of tailoring messages and communication tools according to the needs and wants of the target audience. For example, certain outreach activities can be effective when targeting university students, but will not influence trade union members.

In choosing target audiences, it helps to think about the behavior that will be promoted in the campaign and the people who are most directly involved in, or affected by, that behavior. In a get-out-the-vote campaign, for example, it might be helpful to ask a local celebrity, such as an athlete to help in the outreach efforts.

#### Identify potential partners

Partners are important in the development of outreach strategies because they can help reduce costs and increase impact. Each partner can bring a unique and valuable contribution (technical expertise, access to audience, etc.) to make the campaign more effective. Civil society organizations, educational institutions, and youth are ideal partners in conducting outreach activities.

#### Develop and execute a communications plan

A communications plan must be based on goals and objectives informed by research of the targeted audience. Among the most important decisions to be made in a communications plan is the choice of the correct message and medium to reach the target audience.

### **V. Human Resources**

While the Manager and the Secretary of the POs are permanent employees of the COR, the rest of the staff are not 'permanent' employees and are employed under temporary contracts. Such temporary contracts provide fewer benefits and entitlements than those granted by permanent COR contracts, which can cause resentment within the POs. Moreover, an inherent lack of job security, combined with fewer benefits, has resulted in higher-than-normal turnover for supposedly safe government jobs. Furthermore, new openings are unappealing for highly qualified Iraqis, which forces POs to draw from a pool of under qualified applicants.

Hiring practices based on political patronage by MPs and influential government officials have also contributed to the hiring of unqualified PO employees. Due to this practice, official distinctions between staff areas of expertise are not grounded in reality. Skilled employees within a PO often work across technical units to cover gaps in capacity.

Taken together, these human resource deficiencies render POs unable to serve their mandate. Furthermore, qualified staff within COR POs are demoralized and frustrated by their workload in most cases. The cumulative effect of is a problem of staff retention resulting in a further brain-drain within the POs. LSP recommends that POs clearly define the human capital needed to realize their mandate. The POD, in coordination with stakeholders, should draft job descriptions for the positions required, evaluate the skills of the current cadre of employees, issue permanent contracts for those who qualify for those positions, and then recruit additional employees for the positions not filled by the existing temporary employees. No employee or potential employee should receive less favorable treatment or consideration during recruitment and selection because of his or her tribal origin, religious belief, gender, maternity/pregnancy, age, or disability that cannot be justified as necessary on operational and/or technical grounds.

LSP's change management initiative and human resource experts have a multitude of resources on this subject that can help guide the COR in this process.

## **VI. Ensuring Provincial Office Accessibility**

A model provincial office should be visible and accessible to the public. While the site may not always be in the center of a city or on the busiest road in the provincial capital, the PO should try to ensure that constituents are aware of its presence and mission. Obviously, there are great security risks and opening a PO to the public can endanger the staff.

The visibility of a provincial office can be increased by preparing flyers with directions and contact information and placing them in public places such as local government offices, post offices, or even in marketplaces such as bazaars or shopping centers. It is best if these flyers or advertisements articulate the mission of the office and include a list of the core services, such as complaint management.

It is important that the office be accessible to all citizens, particularly physically disabled persons and people from communities that, for various reasons, may not be able to access the office.

The design and construction of some buildings make visits by disabled persons impossible. In some cases, POs may be able to remediate this obstacle with minor and inexpensive repairs. If the building is on a floor that requires several stairs, then the PO should consider locating at least one office on the ground floor where it can host the occasional disabled visitor.

Finally, there are some communities that are split between various ethnic, religious, or sectarian factions or local rulers that make travel for various citizens dangerous. Until then, the PO should be aware of any challenges that their locations may present to particular members of their communities.

In order to make a PO accessible, it can consider opening remote offices in certain locations. This remedy can be as simple as sending out a complaints employee to an affected community on a weekly basis and also using the same community to advertise this service. These are sometimes referred to as traveling offices. Remember, it is from these sorts of challenges that creative solutions flow.

Regardless of these physical challenges, a model office should seek to make itself accessible to all citizens regardless of disability, background, or any other inhibiting factor.

## **VII. Provincial Office IT Recommendations**

### **Goals and objectives of the IT component**

The proposed PO automation plan will, at the outset, provide a versatile foundation design for a model PO capable of increasing the flow of information to and from the COR and to the general population. The PO is envisioned to be the conduit of information in support of the Media Directorate's planned broad-based dissemination model for rapid repurposing of major legislative content. The PO will leverage the Media Directorate's new Content Management System (CMS) and web services to facilitate this referenced, rapid repurposing. In this manner, the proposed CMS and web services will become the basis for broader citizen awareness, thereby strengthening the COR's outreach capability. Finally, the content captured and disseminated in this fashion will serve as valuable information for MPs seeking to interact effectively with their constituents. .

### **Summary of IT needs assessment**

LSP conducted an assessment to identify the POs' IT shortfalls. Based upon a review of current legislative information management methods used by the PO, LSP concluded that there is a clear and present need to deploy hardware and software capable of leveraging the internet and capable of providing the POs with an e-government IT infrastructure. Such an infrastructure will be capable of accommodating the extension of new systems being deployed by the COR for legislative management and CMS. Current operations within the POs have limited automated systems supporting the dissemination of parliamentary content. Worldwide, parliaments, through their representative offices, have implemented a wide array of automated systems as a means of improving the dialog with the citizenry while concurrently assuring greater transparency and citizen awareness. The access to reliable, timely information is essential to the proper functioning of any democratic society. This proposal is based on the recommendations of the most economically practical definition of PO IT infrastructure available.

The overall governing technology based legislative applications can be defined as the overarching knowledge management strategy for legislative strengthening. Such application implementations will have the twofold purpose of facilitating information gathering by legislators and their constituents for meaningful participation in the legislative process, as well as the sharing of knowledge and lessons learned with local professionals and development practitioners. This approach is based on the understanding that formalized dissemination of legislative session activity and records frame the basis for open and accessible sessions leading to a higher level of representation. A formal public record of the legislature's session activity provides the basis for future orderly reference and research in support of future legislative introductions.

In their legislative role, legislators and key staff need information as they monitor issues, develop policy solutions, predict consequences, and influence government decision-

making. In their role of overseeing the executive, they need information in order to monitor the success of ongoing programs and to identify areas of weakness. MPs' constituencies should also have access to the same information available to MPs through the POs so they can be a part of the legislative debate.

The recommendations contained herein are presented with the understanding of the variety of companion foundation applications that are being implemented concurrently or are being considered for implementation over the long term to assure improved legislation and further transparency for the future legislative processing in Iraq as follows:

1. Bill Tracking/Bill Status – **In process under a separate procurement**
2. Legislative Calendars & Agenda Preparation— **In process under a separate procurement**
3. Committee Report Management— **In process under a separate procurement**
4. Legislative Minutes preparation – **In process under a separate procurement**
5. Chamber Automation /Electronic Voting System/Chamber Transcription System
6. Legislative Workflow – **In process under a separate procurement**
7. Member Management & Committee Assignment – **In process under a separate procurement**
8. Legislative Document Portfolio Management **In process under a separate procurement**
9. Legislative Drafting (Bills, Resolutions, Amendments)
10. Legislative Content Management System (CMS) and Web Services – **In process under a separate procurement**

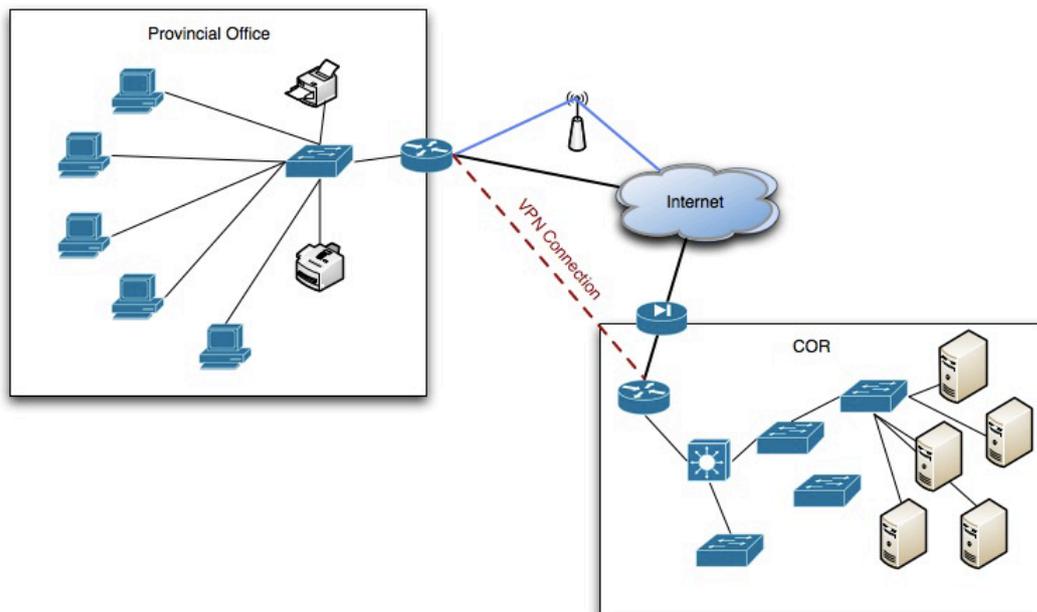
Added to this list above are several more advanced applications to be considered over the long term:

11. Boards and Commission Assignment and Management
12. Advanced Constituent Services Support
13. Codification
14. Statutory Retrieval and Research
15. Fiscal Analysis/Fiscal Impact
16. Legislative Impact Analysis

In support of the IT infrastructure definition of the COR POs, a model office needs to make effective use of technology to facilitate efficiency and services to MPs and citizens. State of the art POs are projected to house a staff population of 15-20 employees, where at least 2 IT staff specialists need to be assigned in support of the unique IT needs of the POs. The following list details the minimal required equipment and facilities to satisfy IT needs of each office:

## Network infrastructure

- To provide reliable and secure IT infrastructure within the Provincial Offices, all the network cabling should be done using UTP CAT5e cabling in plastic trunks and using dual point keystones.
- All rooms should be connected to the 6U (or bigger) network rack located in a secure area of the office that is equipped with CAT5 patch panels, 100MBps or higher speed Cisco switches, 1000vA APC UPS and a 28XX series or higher-performance Cisco Router supporting VPN.
- To assure secure and reliable connection to the COR network and COR services, each Provincial Office should have an internet connection with a minimal speed of 1Mbit downstream/upstream and preferably a backup connection with a speed of at least 256Kbps downstream/upstream to the COR using a Fiber Optical connection, AirMax stations, or VSAT.
- All connection to the COR should be established using encrypted VPN channel.



## Conference room

- The conference room should be equipped with a desk- or ceiling-mounted multimedia projector and a folding or wall-mounted projection screen. The conference room should be equipped with dark window blinds, providing the ability to block outside ambient light.
- Each Provincial Office should have the ability to have video conferences with the COR, other Provincial Offices, or other government entities. Each conference room should be equipped with video conferencing equipment compatible with the systems installed in the COR and other provincial offices.

## Press Room

- Each Provincial Office should be equipped with a state of the art press room designed to accommodate MPs' presentations of prepared press releases and to accommodate any public hearings held at the PO. Where possible, the POs should leverage the equipment model that is currently being used by the Media Directorate at the COR. Each of these press/hearing rooms should be equipped with an extension of the COR's new Legislative Management System, developed to facilitate the automated preparation of agendas and minutes, to help organize the schedules of MPs and visiting COR committees.

## Office equipment

- Each Provincial Office should have at least one high-volume copy machine or multifunctional printer/copier/scanner, two networked laser black and white printer and two networked colour laser printers.
- Each PO should have a minimum of 20-25 computers for staff and a computer lab for visitors (with enough computers to accommodate the number of MPs within a PO's province).
  - ✓ Computers  
HP, DELL, ASUS, ACER or similar brand computer with at least Intel core2duo 2.0Ghz CPU, 2GB RAM, 160GB HDD and 17inch monitor.
  - ✓ Software:  
Microsoft Windows XP/Vista/7 with  
Internet explorer 7.0 or higher  
Microsoft office 2003/2007/2010  
Antivirus software  
Adobe acrobat reader
  - ✓ Printers:  
2-HP Color LaserJet 5550  
2-HP LaserJet 4250
  - ✓ Scanners:  
5 HP or Cannon flat Bed scanner
  - ✓ Copier:  
Cannon IR 3245n series
  - ✓ Projectors:  
3M or Sony VPLEW7
  - ✓ Video Conferencing:  
Polycom or Cisco
  - ✓ Switch  
Cisco 2960, 2950 or similar
  - ✓ Router  
Cisco 28xx or 29xx series

## **VIII. Conclusion**

Since 2006, the COR has increased the responsibilities of the POs. The POs are now mandated to facilitate constituent services, civic education, and parliamentary oversight. Unfortunately, the POs have undergone this development in a reactionary matter. Additionally, POs are handicapped by inadequate human resources management practices, a lack of strategic management or planning, and an insufficient access to key technologies. Significantly, the POs still operate without reference to an overarching COR outreach strategy.

USAID's LSP offers recommendations to COR PO stakeholders and makes practical suggestions for the development of POs. LSP also recommends regular cooperation amongst PO stakeholders in order to promote the effective utilization of COR resources. Additionally, LSP offers recommendation on the use of technology that will facilitate the POs' work. LSP's recommendations do not claim to provide solutions to all of the problems faced by COR POs; rather, LSP identifies the most pressing obstacles faced by the COR POs and suggests possible solutions.

## Appendix A :



### Legislative Strengthening Program (LSP)

## FEASIBILITY STUDY FOR A COMPUTARIZED AND NETWORKED CONSTITUENT CASE WORK MANAGEMENT SYSTEM

March 2011

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**Submitted to:**

**Ms. Eileen Derby**

**Contracting Officer's Technical Representative (COTR)**

**Democracy and Governance Office, USAID/Iraq**

Submitted by:

**AECOM**

2101 Wilson Boulevard, Suite 700

Arlington, VA 22201, USA

T: +1.703.528.7444

[www.aecom.com](http://www.aecom.com)

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**IRAQ LEGISLATIVE STRENGTHENING PROGRAM**  
**Feasibility Study for a Networked Constituent Casework Management System**

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## ACRONYMS

NCCMS	Networked Constituent Casework Management System
CoR	Iraqi Council of Representatives
CRL	Complaint Resolution Lifecycle
CRM	Customer (Contact) Relationship Manager
DG	Director General
IT	Information Technology
LSP	Legislative Strengthening Program
WSS	Windows SharePoint Services
PAD	Parliamentary Affairs Directorate
PoC	Point of Contact
POs	Provincial Offices
POD	Provincial Offices Department
USAID	United States Agency for International Development

## I. INTRODUCTION

The Legislative Strengthening Program (LSP), funded by the United States Agency for International Development (USAID) and implemented by AECOM, is promoting a new era of political stability in Iraq. LSP provides a range of support to strengthen Iraq's parliament, the Council of Representatives (CoR). LSP is guiding the CoR along a more sustainable democratic path, promoting greater transparency and accountability.

LSP's team of international and local specialists are building the capacity of the members and staff of Parliament to debate laws in a formal constructive environment, form and run parliamentary committees, analyze and properly consider proposed legislation, improve the functioning of the CoR's Presidency Council, improve the ability of Parliament to oversee the executive branch, review and analyze the national budget, and bring the national government closer to constituents in the provinces.

AECOM works with the Parliament to connect it to the people of Iraq by developing the ability of provincial parliamentary offices to foster better outreach. It is assisting the CoR to better direct constituent concerns to the appropriate government agency and increase the representation by parliamentarians of their constituents. In addition to improving governance in Iraq, increasing the responsiveness of the CoR will enhance its perceived legitimacy, thereby cementing the country's democratic transition.

Parliamentarians in any given form of a democratic government serve three main fundamental functions: representative, legislative, and government oversight. Effective constituent case management, although part of a parliamentarian's constituency outreach efforts, significantly contributes to each of these vital functions of a democratic government. When Members of Parliament are able to identify their constituents' concerns and aid them in resolving them they become better informed of their constituencies needs. Doing so enhances their ability to effectively formulate policy options, legislate laws that address the needs of their constituency, and assess the effectiveness of implementation of legislation.

The CoR established Provincial Offices (POs) under article 151 of its bylaws, which were adopted on July 15, 2006, and states that the Iraqi Parliament is to open offices to "secure communication between the Members of the Council of Representatives and the people". The Parliamentary Affairs Directorate (PAD) was tasked with developing the POs and in turn created an administrative unit under its structure, the Provincial Offices Department (POD), to carry out this task. On July 9, 2007, the CoR began to employ the staff of its Provincial Offices. By August 2009, the expansion of the Provincial Offices to 17 of 18 provinces, with two offices in Baghdad, was completed.

The POs started as satellite offices of the Complaints Committee in the provinces and later grew to encompass a Regional Affairs Department and a Members Affairs Departments within them. The role of the POs expanded beyond receiving citizens' complaints to serve a larger liaison role between Baghdad and the provinces and to give the CoR greater presence across

Iraq. The POs became a place to facilitate constituent services, civic education and parliamentary oversight.

## **1.1 GENERAL INFORMATION**

### **1.11 Purpose**

This Feasibility Study addresses the viability of developing a computerized Networked Constituent Case Management System (NCCMS) to link Provincial Offices with the Iraqi Council of Representatives and addresses the basic and foundation needs related to the System. The proposed solution is intended to collect all related constituent concerns at a specific Provincial Office and effectively convey those concerns to the target audience through an administrative focal point. The Study defines the best possible implementation strategy for the proposed computerized NCCMS, including specific recommended phases of implementation, as well as, supplemental technologies that will most favorably deliver a comprehensive computerized constituency complaint resolution service in a cost-effective and expedient manner.

The Complaints Department within the POs reported on technical matters directly to the Complaints Committee in the CoR. The Complaints Committee was tasked with serving as a central point for receiving citizen's complaints and referring them to the appropriate party. However, the CoR recently decided to eliminate the Complaints Committee from the CoR's list of standing committees. Nevertheless, the CoR is committed to collecting and resolving constituents' complaints, the Complaints Departments within the POs still have the same mandate, and the CoR is in the process of forming a complaints unit within the PAD as a focal point of receiving constituents' complaints from the POs and referring them to the relevant CoR committee.

The NCCMS will link all relevant parties involved in resolving a citizen's complaint and prompt a speedy resolution process. Citizens will receive a response on the complaint resolution and actions taken by the relevant CoR Committee and/or Government Ministry. Effective implementation of the proposed System will foster trust between Iraqi Citizens and their elected representatives/ Iraqi Government, which will in turn aid in strengthening Iraq's volatile democracy.

## **II. CURRENT ANALYSIS**

### **2.1 Points of Contact (PoC)**

1. CoR Speaker's Office.
2. Director General (DG) of Parliamentary Affairs Directorate of the CoR.
3. Director of the CoR Provincial Offices Department.
4. Director of the CoR Committees Affairs Department.
5. Director General of the CoR IT Directorate.

6. LSP Provincial Offices and Donor Coordination Specialist.
7. LSP Microsoft Office SharePoint Specialist.
8. LSP Legislative Document Management Systems Specialist

## **2.2 Current Functional Procedures**

The Complaint Resolution Lifecycle (CRL) initiated at the CoR Provincial Offices is currently being managed in a random and unorganized manner. In the recent past and in the absence of a sitting parliament for a prolonged period of time, Complaints Committee staff took it upon themselves to directly correspond with Iraqi Government Ministries and follow-up on citizens complaints after receiving a complaint from a CoR PO. Complaints Units within the POs submitted complaints in an inconsistent and informal manner, such as via phone calls and simple emails. Following Iraq's parliamentary elections on March 7, 2010, the Council of Representatives did not sit until June 14, 2010 and even then, it took months of political negotiations to form a government, legislative business, and form parliamentary committees. When CoR Committees were formed the CoR decided that Complaints Committee would be eliminated from the list of standing committees. An administrative complaints unit is in the process of being formed within the PAD that will serve the same mandate of the former Complaints Committee, which is to receive citizens complaints and follow-up on them. Until this unit is established, CoR POs do not have a structured work-flow model for managing citizens complaints.

The Complaints Department within a CoR PO consists of three employees and there is a minimum of one individual within each PO that is assigned to collect citizens complaints. There are no current records of the volume associated with the collection of complaints. The skill sets required to support the current process are clerical skill sets. The current system does not afford an easy categorization of complaints filed by constituents.

## **III. REQUIREMENTS**

### **3.1 Purpose**

The proposed solution will manage the collection of constituent concerns through the nineteen CoR provincial offices across Iraq and effectively convey them to government ministries through the complaints unit to be setup under the PAD.

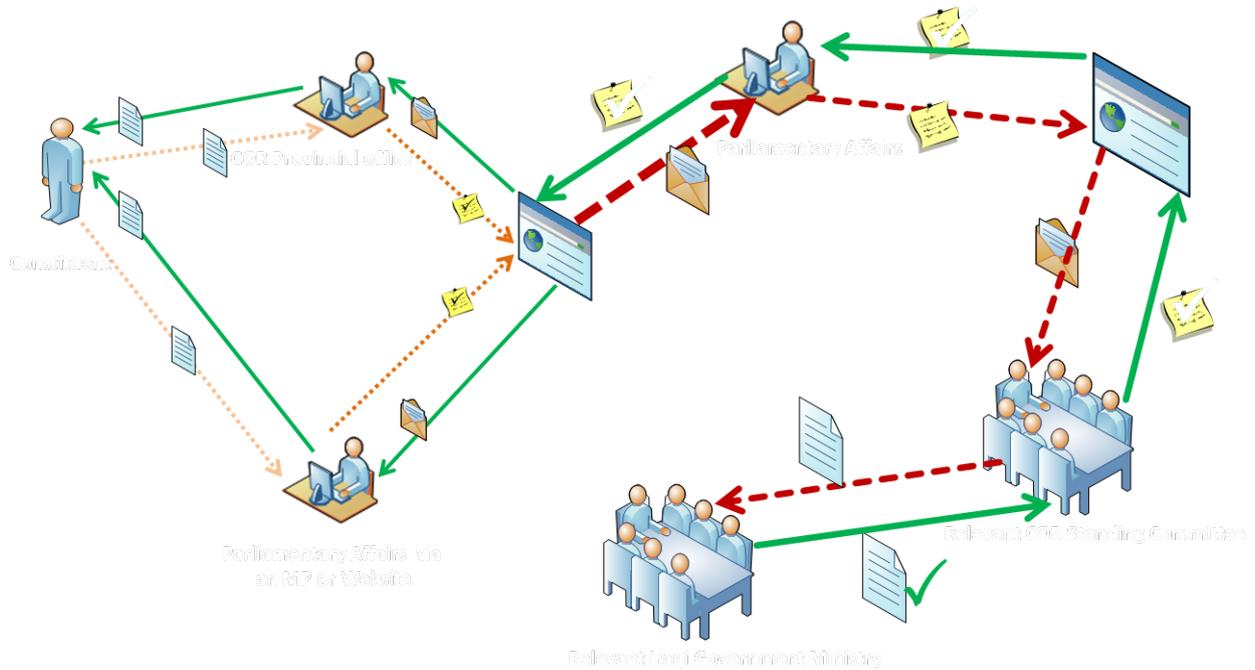
### 3.2 System Overview

LSP worked with the POD, PAD, the former Complaints Committee, the Regional Affairs Committee, the CoR Speaker's Office, and directly with POs staff to establish a work-flow process of receiving and referring constituents' complaints. This work-flow is outlined below. LSP aims to work during this coming year with the CoR Presidency, PO staff, Members of Parliament, the POD, the PAD, and CoR Committees to help streamline work-flow processes and implement the NCCMS.

This process has been determined to operate as follows:

1. A constituent fills out a complaint form and submits it, along with any supporting documents, to a Provincial Office Complaints Clerk (see attachment A). Alternatively, a complaint form can also be submitted directly through the CoR's website or through a Member of Parliament.
2. The Complaint Form is reviewed to determine validity of the complaints and either entered into the NCCMS or rejected. (i.e. a complaint is not valid if the citizen has initiated legal action or can be resolved by a court of law).
3. A resolution is investigated and offered through the CoR Provincial Offices if possible. Concurrently, if the complaint is received directly by the CoR and can be resolved by a CoR PO, then it is referred to the PO for action.
4. If no viable resolution is possible locally, the complaint form is sent by the PO to the complaints unit within the PAD at the CoR via the NCCMS and the complaints unit is sent an email notification.
5. The complaints unit refers the complaint form to the relevant CoR Committee. The referral package, including all attachments, is sent by the complaints unit and the relevant CoR committee receives an email notification.
6. The relevant CoR committee then issues a letter to the relevant Iraqi ministry, if need be, and continues to follow-up on the complaint until it receives a response and sends it back through the NCCMS' work-flow to the citizen.
7. A resolution or actions taken with respect to the citizen's complaint is communicated through the NCCMS by the relevant CoR Committee to the Complaints Unit and then to the relevant Provincial Office who in turn writes to the citizen to update them on the action taken on their complaint.

The following graphic demonstrates the work-flow of CRL suggested by the NCCMS and based on consultations with all relevant stakeholders:



Based on the above stated purpose the following details are a general overview of the proposed NCCMS' implementation. Additionally, this section summarizes business related aspects of the project as follows:

This project is being developed by LSP on behalf of USAID for the benefit of the Iraqi Council of Representatives and specifically, in support of the Iraqi Citizens' CRL process mandated to be collected and referred by the CoR's complaints unit through the CoR's Provincial Offices.

The key function of the proposed NCCMS includes:

1. Effective data and content capture, and comprehensive categorization.
2. Provision of multiple views and renderings of the underlying data and content, based on defined security and authority.
3. Automatic launching of alerts and triggers necessary to define the logical flow of information.
4. Clear definition of roles and responsibilities associated with various users of the proposed NCCMS

The NCCMS is intended to be deployed at the CoR's Complaints Unit under the PAD and in each of the 19 Provincial Offices across Iraq. Additionally, specific views of the system, data and content are intended to be accessible at the CoR Complaints Unit, CoR Provincial Offices Department, and Parliamentary Affairs Directorate. Members of Parliament and key staff may also be authorized access based on ongoing consultations with the CoR.

### **3.3 Environment**

#### **3.3.1 Input/output**

The proposed NCCMS will collect complaint details through an e-form design based on a paper form that is an output of previous LSP training for Provincial Offices Complaints staff (see Attachment A). The collected information form will be centralized in the system and different views will be re-rendered based on security authorities and work-flow definitions. The organization of the collected content will also provide a foundation framework for a starting point for data mining by key authorized CoR staff.

### **3.4 Functional Objectives**

The proposed NCCMS will automate the CRL for the CoR and will make the process more efficient and promote greater transparency and accountability. Additionally, the proposed System will accommodate the direct entry and collection of constituent complaint information through an e-form. The system will support a direct data entry model and the original complaint will be attached into the system.

Once the data and content is captured in the system, new additional offerings and features are envisioned by the proposed NCCMS as follows:

- Automatic assignment of a case number as an accession number.
- Automatic organization of complaints rendered by category selection.
- Automatic rendering of complaints by Provincial Office.
- Automatic rendering of complaints by Referrals.
- Automatic launching of triggers and alerts when complaints are referred to a CoR committee.
- Partial validation of certain data based on predefined drop downs associated with data entry.
- Preservation of attached content submitted with the complaint in electronic form.
- Security based authority managed control based on roles and responsibilities over viewing rights of collected information.

The above features become critical platform functions that will serve the basis for future cost effective enhancements and expansion of the proposed NCCMS. A wide array of additional capabilities can be added to the foundation system where the broader set of constituent management needs will be addressed.

### **3.5 Assumptions and Constraints**

Key assumptions being made in support of the implementation of the NCCMS are:

1. That each Provincial Office will have access to the internet and computers to support the NCCMS application.
2. That each Provincial Office will have one technical staff member capable of performing the necessary data entry.

3. That the need for a Complaints Resolution Lifecycle solution will be a long term need.
4. That the Complaints Unit will have access to internet and necessary hardware.
5. That the current Provincial Offices' staff is effectively collecting complaints manually.

Possible key constraints perceived in relation to the implementation of the NCCMS are:

1. Potential resistance to implement the recommended solution by the IT Directorate and the CoR Presidency Council.
2. Resistance to allowing the application and subsequently the data to be hosted outside of the country.
3. Potential limitation of technically skilled staff to support the necessary data entry at each Provincial Office.
4. Limitation of obtaining proper sample previously collected complaint forms.
5. Rejection of the proposed NCCMS' leveraging of WSS technology.
6. Limiting LSP's access to a CoR Provincial Office where the System can be piloted.
7. In support of assuring that the proposed NCCMS is successful, Provincial Office staff must embrace the proposed process, technology and procedures defined.

The design specification for the data and content collection for the CCMS includes the easy entry of:

1. Date (Calendar Selection)
2. Constituent full name
3. Phone Number
4. E-mail Address
5. Physical Address
6. Provincial Office designation (Drop Down), will include PAD and Website
7. Provincial Office Staff Member and designation
  - a. Complaint Recorder
  - b. Management
  - c. MP Affairs
8. Detailed description of complaint
9. List of supporting documents
10. Image capture of supporting information
11. Date that the Complaint is referred to by the Provincial Office
12. Place that complaint is referred to by the Complaints Unit.
13. Further action required to resolve the complaint
14. Summary notes on actions taken and/or resolution

### **3.6 Security and Privacy Impacts**

The information contained in a constituent complaint is sensitive and thereby needs proper security access, but the information is not considered private. The complaint is filed for review, comment, and ultimately response by specific staff having designated security and authority. These authorities and security settings related to the work-flow of the NCCMS is defined by the CoR.

## **IV. ALTERNATIVES AVAILABLE**

### **4.1 Alternative Systems**

The majority of alternative systems addressing traditional case management are usually targeted to law office automation and other professional services organizations. Additionally, a number of solutions are designed to address the needs of campaign management. Finally, there are several firms that specialize in the wide array of traditional Constituent Management where such solutions include services such as:

- e-Newsletter Generation
- Web Publishing
- Telephone Town Hall Management
- Virtual Town Hall Management
- Data Services – Data Entry and Data Processing
- CRM – Customer (Contact) Relationship Manager
- Capitol Correspondence - Automated Issue Correspondence Drafting
- SharePoint – Content and Data Repository
- MI Congress – Constituent Gateway e-newsletter system
- Web Advertising – (i.e.: Google Adds)

While each of the above Constituent Management applications hold significant merit, the full array of referenced applications demand a sophisticate infrastructure, environment and staff to realize true benefit from such systems.

The proposed target audience of the Provincial Offices suggests the deployment of a smaller and simpler solution as a first of many steps towards the delivery of comprehensive constituent services. The proposed NCCMS will effectively automate the Constituent Complaint Lifecycle while establishing a platform from which to build and expand in the future.

### **4.2 Description of Alternative Systems**

A number of possible alternative systems have been considered as follows:

1. Monarch – Constituent Services
2. Microsoft Dynamic CRM
3. Lockheed Martin - Intranet Quorum Enterprise Contact Management

#### 4. i Constituent – TOTAL Constituent Communications

The aforementioned options are designed to help legislators establish two-way communication with the general population which is intended to nurture voting loyalties as well as providing an open forum for citizen dialog. This dialog can often be managed through a comprehensive Citizen Relationship Management model offered by the above providers and many other general Contact Relationship Management (CRM) and Work-flow Management providers.

As noted there are substantial variety of features and functional capabilities available in any commercial Constituent Case Management offerings. The current proposed solution to be constructed by the AECOM - LSP Staff is projected to be the most cost effective solution designed to leverage inexpensive already deployed technology and infrastructure within the CoR. The proposed NCCMS deployment is designed to address the specific requirements governing The Constituent Complaint Lifecycle. It is fully acknowledged that many other constituent support services will be needed by the Iraqi Parliament and the citizens of Iraq in the long term. However it is deemed that the proposed NCCMS is a solid first step to serve the needs of enhanced citizen services within Iraq. The proposed NCCMS will prove to be an excellent platform upon which to build government dissemination strategies intended to enhance further citizen awareness in the future.

## V. RECOMMENDED APPROACH

### 5.1 Scope

The Feasibility Study's scope includes the assessment of the proposed NCCMS implementation using Windows SharePoint Services (WSS) as the foundation framework for organizing the necessary data and content related to constituency complaint resolution life cycle. The proposed SharePoint Server technology will be used to automatically drive collected complaints to the CoR's Complaints Unit and CoR Standing Committees.

#### *General support system:*

1. The underlying technology being proposed for the NCCMS will be Windows SharePoint Services (WSS) and related technologies supporting data and content capture as well as necessary work-flow definition. The recommended technologies are intended to deliver the NCCMS as a web-based solution, thereby requiring less downstream and local support.
2. The NCCMS should be deployed as a phased implementation strategy leveraging rapid prototyping methodology to achieve the most efficient implementation possible.

## **5.2 Coordination**

CoR Speaker's Office:

- Security Identification.
- Requirements Identification.
- Proposal of the NCCMS to the CoR's Presidency Council.

DG of Parliamentary Affairs:

- Provincial Office Department Administrative Oversight.
- Requirements Identification.
- Security Identification.

Director of CoR Provincial Offices Department:

- Provincial Office Department Administrative Management.
- Staff Training.

DG of COR IT:

- Oversight of IT Resources.
- Oversight of IT Operations.
- Oversight of Security Definition.

LSP IT:

- Development of proposed NCCMS.
- Installation.
- Security of proposed NCCMS.
- Eventual handover of system administration.

LSP Provincial Offices and Donor Coordination Specialist

- Definition of the functional requirements of the proposed NCCMS.
- Coordination and overall management of the initiative.
- Security definition.

## **5.3 Environment**

### **5.3.1 Input/output**

The collected data will be stored in a WSS content collection database that will facilitate the rendering of selected views of the data based on categorization and indexing.

### **5.3.2 Processing**

Short development life cycles and fast changes in technology influence the requirements engineering process. Requirements are exposed to changes during the entire development life cycle, and decisions related to requirements and systems design are moving more steadily toward developers. For this reason it is important to keep requirement changes under control during the entire development process. This control can be achieved by utilizing Configuration Management functions and in particular Change Management.

By having items under version control it is possible to get a better overview of the requirements change process. In the implementation phase, requirement items are associated with Change Requests which define implementations to be introduced in the system. Using Change Requests as links between requirements and the implemented functions will create a greater awareness of requirements and a better overview over the requirement process. Furthermore, it will provide a foundation for reuse of requirements when new systems are built.

The goal of the development model presented above is to manage requirements in a controlled way. This is performed by placing requirements under Configuration Management and by utilizing Change Management functions. This approach will provide effective record keeping of the evolving design specifications as well as strengthen the foundation which is based on a rapid prototyping methodology.

### *5.3.3 Security*

Security will be governed by definition of authorized parties and their specific authorities, roles and responsibilities. Access to specific views of the collected data will be restricted based on the defined security and consequential authority to view specific renderings of the content. Furthermore, the ability to edit or update the data in the collection will be limited to individuals that have been assigned such authority through the definition of their roles and responsibilities.

### *5.3.4 System Interaction*

Based on the leveraging of WSS as a content collection tool for citizens' complaints received on the provincial level, data can easily be exported to other systems if needed. The NCCMS' application based on WSS technology can easily be incorporated as a component of any enterprise-wide dashboard established as the portal that will provide easy access to a variety of applications being developed for the CoR. Based on this foundation framework, seamless system integration can readily be achieved.

### *5.3.5 Physical Environment*

As noted above, the proposed NCCMS will operate as an interactive application governing the standard data collection. The general WSS technology provides rich ad-hoc reporting of the collected content based on the selection of specific category views as well as leveraging ad-hoc search and retrieval options.

## **5.4 Methodology**

Based on the recognized urgency and need for automation of the Complaint Resolution Lifecycle, a rapid prototype methodology has been used to produce a quick Proof of Concept functional application. This rapid prototyping approach is based on LSP's ability to leverage existing WSS technology already deployed. The rapid prototyping will provide a comfortable reviewing paradigm with the key PoCs associated to the Complaint Resolution Lifecycle.

## **5.5 Evaluation Criteria**

The proposed NCCMS will be developed on the Windows SharePoint Services (WSS) using a rapid prototyping methodology as identified above. This development strategy is designed to achieve the deployment of a production NCCMS solution in the shortest timeline and in the most cost effective fashion possible. The proposed NCCMS is deemed a major business priority necessary for achieving more efficient transparency and public trust of the Iraqi Parliament.

LSP recommends using current technologies to speed the delivery and implementation timeline as well as minimize the overall cost burden of the proposed NCCMS. LSP will build out a WSS application framed as a vehicle that will automate the manual paper form used to currently collect complaints at the Iraq Provincial Offices. The rapid prototype approach will leverage a variety of meetings with the CoR Speaker's Office, the DG of Parliamentary Affairs, and Provincial Office Department staff. Additionally the DG of IT Directorate will be engaged as the responsible party governing the IT deployment and ongoing management of the proposed solution. This interaction will assure that the proposed NCCMS evolves with effective "Ease of Use" for the target user population.

## **5.7 PROPOSED SYSTEM**

### *5.7.1 Description of Proposed System*

The proposed system governing the current and future needs of Constituency Complaint Resolution Lifecycle automation is based on the deployment of the planned NCCMS. LSP recommends that the NCCMS be developed on the state-of-the-art Windows SharePoint Services (WSS). This platform will accommodate an easy path for data and content collection at the Provincial Offices' level. Additionally, this platform will provide easy multi-viewed access of the collected content and data from a variety of COR staff positions throughout the enterprise. The WSS platform provides for controlled views of the collected content and data based on security defined Roles and Responsibilities. This security definition will provide specific CoR staff members with the ability to add comments related to the data and content collection. Furthermore the WSS platform will allow easy classification of the collected data and content based on predefined categorization. This delineation will provide for easy organization of the content and data thereby allowing the COR staff to select the groupings of objects based on personalized selection. Finally the WSS platform will serve as a viable portal to support easy maneuverability between various other legislative applications.

Based on the foundation capabilities of the WSS system defined above, the proposed NCCMS will:

1. Provide for the collection of complaint content and data at the Provincial Offices' level.

2. Provide for the attachment of captured images attached to the complaint at the Provincial Offices.
3. Provide for alerts to be sent to the Complaints Unit and CoR Standing Committees.
4. Provide for Complaints Unit and Standing Committees to add comments relating to the data and content.
5. Provide for images to be attached to the complaints at the Complaints Committee and DG of Parliamentary Affairs.
6. Provide for the referral of the content to designated offices for planned resolution.
7. Provide for final comments regarding resolution to be applied.
8. Provide for e-mail launch to be issued automatically to alert Provincial Office of latest status of complaint.
9. Provide for multiple views of the collected content based on categorization selection.
10. Provide for a history of complaint for subsequent review.

### **5.8 Time and Resource Costs**

The proposed NCCMS will require the combined resources of 2 -3 LSP staff members developing a rich prototype over a 6 - 9 months period. The prototype development began on June 22, 2010, but was halted due to differing views on the authorities, security definitions, and work-flow model of the NCCMS. Once Parliament sat and CoR Committees were formed, the elimination of the Complaints Committee posed an added complication to the System's development. LSP is now working with the Speaker's office on the project and projects that NCCMS be completed by the mid to late July of 2011.

Based on reaching consensus with the key staff associated with the development of the NCCMS the rapid prototype will be revised to meet the final request of the CoR Speaker's Office. After presentation of final modifications, a period of minimally 2 weeks will be allocated to testing and problem resolution followed by one month of formalized training in the use of the new NCCMS. Following the proposed training, the system will be deployed as a production system in one Provincial Office. The roll out to other Provincial Offices will take place following the formal acceptance of the solution by the CoR Presidency Council.

The proposed NCCMS will be deployed on an existing LSP server that has been designated for CoR usage. The WSS software comes as part of Microsoft Office 2003 for which the CoR and LSP already have licenses. As such there are no projected incremental costs associated with the implementation of the NCCMS. Finally the responsibility of the NCCMS will be transferred to the CoR for long term support until future retirement of the NCCMS.

## NCCMS Implementation Timeline

Task	Resource Allocation	Start	Finish
Feasibility Study	LSP		March 31, 2011
WSS Config. and Deployment	LSP/COR	22-Jun-2010	18-Sept-2010
Prototype Development	LSP	22-Jun-2010	15-Jul-2011
Rapid Prototype Review 1	LSP/COR	15-Jul-2011	30-Jul-2011
Rapid Prototype Review 2	LSP/COR	1-Aug-2011	30-Aug-2011
Testing & Correction	LSP	1-Sep-2011	15-Sep-2011
Training Development	LSP	1-Sep-2011	30-Sep-2011
Application Approval	COR	15-Sep-2011	30-Sep-2011
Training	LSP/COR	1-Oct-2011	15-Oct-2011
Deployment Provincial Office 1	LSP/COR	15-Oct-2011	30-Oct-2011
Approval Production	COR	1-Nov-2011	15-Nov-2011
Rollout to all Provincial Offices	COR	5-Jan-2012	30-Jan-2012
Full Production Deployment	COR	1-Feb-2012	-----

### 5.9 Impacts

The Access database of complaints maintained at each Provincial Office is compatible with WSS and can be imported into the planned NCCMS. Any data elements that need to be added can be supplemented by the user staff at the Provincial Office as well as at the COR during the initial training that LSP would be providing. Beyond the importing of Access database elements there is no automated back file conversion anticipated. All efforts will be made to minimize the manual data entry of back-file material.

#### 5.9.1 Equipment Impacts

The equipment necessary for the proposed NCCMS leveraging WSS technology already exists in each Provincial Office. At least one staff member in each Provincial Office has adequate computer skills and access to the Internet. These are the minimum requirements for the proposed system. The existing staff at the Provincial Office will continue to collect the data and content associated with each complaint in paper form. The hard copies of these complaint intake forms will be transferred to the Provincial Office staff member with computer skills for data entry into the NCCMS.

LSP has already acquired a Dell Power Edge R710 server designated to support the WSS repository at the CoR. WSS has already been installed on this server and the Server has been delivered to the CoR IT department on 4-Jul-2010. At this time there is no additional hardware or software projected to be acquired necessary for the deployment of the proposed NCCMS.

### *5.9.2 Software Impacts*

Due to the fact that the current environment has little to no automated production systems, there is no adverse impacting affect envisioned to existing applications. The deployment of the NCCMS will provide a clear and quick path towards improved Complaint Resolution Lifecycle management. Additionally, the proposed NCCMS will serve as a foundation framework for future legislative applications accessible through a common legislative portal.

### *5.9.3 Organizational Impacts*

No changes to the organization or personnel are necessary to implement the NCCMS.

### *5.9.4 Operational Impacts*

- Other concurrent LSP initiatives will reinforce the proposed implementation of NCCMS. LSP is developing a staff handbook for the Provincial Offices. In addition, LSP is developing a design for a Model Provincial Office that includes the utilization of technology to support MPs and constituency services. The technologies and training modules from the Model Provincial Office will be extended to all POs.
- LSP will provide training specifically on the operations and support of the proposed NCCMS.
- Additionally specific first line of support procedures need to be defined for the support and required relationship between the Provincial Office staff and the IT Directorate staff designated to support the WSS and NCCMS functions and features. The IT Directorate should be responsible for defining the problems and resolving them. In effect, the IT Directorate staff will need to establish a Help Desk model to support the technical assistance needed by Provincial Office staff.
- Data entry procedures will be developed.
- Data retention requirements, information storage and retrieval procedures should be addressed and conform to the CoR's overall Archival Strategy. Before the NCCMS is placed in production status, standard procedures should be established for the IT Directorate governing automated backup and restore procedures in the event that disaster recovery is necessary.
- There is a strong expectation of periodic interruption of power and power surges. To avoid frustrating operating disruptions, contingencies such as battery backup equipment for all servers and desktop equipment are recommended.

### *5.9.5 Developmental Impacts*

The developmental impacts are:

1. Specific activities to be performed by the users in support of development of the NCCMS
  - The proposed NCCMS implementation is based on a rapid prototyping methodology that will require a series of meetings with the PoCs designated as responsible for the Provincial Offices and the Constituent Complaint Lifecycle. These meetings will be

instrumental to the effective success of the rapid prototyping methodology

2. Resources required to develop databases:
  - The planned resources needed to develop the collection framework and database will be 2-3 technical staff LSP personnel. They will configure the WSS technology to accommodate the data elements defined based on the general specifications defined herein.
3. Computer processing resources required to develop and test the new system:
  - A new SharePoint server has been installed at the COR. This server will provide all necessary processing support needed for the implementation of the proposed NCCMS. No additional desktop equipment would be required at the Provincial Offices.
4. Privacy and security implications:
  - The required security and authority governing user access, editorial and comment will be governed by through the roles and responsibility designation defined during the foundation WSS deployment. However, the staff members of the COR that have viewing and comment rights will not have authority to modify the content of the complaint.
  - The foundation features of WSS technology provide for roll based definition of authority and responsibility. Furthermore WSS technology provides for multiple views controlling the rendering of information for the authorized staff members of the CoR.

### **5.10 Rationale for Recommendations**

The proposed NCCMS has been selected to meet the foundation needs of the Constituent Complaint Resolution Lifecycle. The proposed NCCMS is framed on the deployment of the simplest strategy possible based on the recognition that the current infrastructure supporting the Iraqi general population is limited. While there are a number of constituent management systems and case management systems already developed, there are few effectively simple legislative complaint management systems available on the open market that have been designed to meet the needs of a multilingual environment while not placing substantial burden on the underlying infrastructure.

As indicated above, the target audience of the Provincial Offices and the COR have a limited level of technical as well as a limited level of processes and procedures established in support of the full range of constituent services. As such, the recommendation governing a solution for the Constituent Complaint Resolution Lifecycle should be addressed by a smaller and less complex solution. Towards this end the foundation framework of WSS has been proposed in support of the proposed NCCMS design that will provide a basis for moving forward.



## **VI. CONCLUSIONS AND RECOMMENDED NEXT STEPS**

### **6.1 Performance Objectives**

The proposed NCCMS will facilitate improved productivity within the CoR and its Provincial Offices. The collected complaint information will be maintained on an organized automated framework and the speed of constructing a variety of sorted views of the information provides substantial productivity gains in serving the public and Members of Parliament. The automated collection of complaint information will facilitate more effective decision making efforts on the part of the Complaints Committee as well as a variety of CoR membership and staff supporting the complaint mitigation process.

The proposed NCCMS will certainly improve the overall cost burden and required effort while significantly expanding the performance effectiveness of the Complaint Resolution Lifecycle.

### **6.2 Recommendation**

The proposed NCCMS is envisioned to provide an organized method of recording constituent complaints and issues. This system, in part, will assure specific rights to Iraqi Citizens under the auspices of the Iraqi Constitution as well as effectuate citizen trust in accordance with the dictates of the Iraq Parliament's Rules of Procedure. This solution will facilitate communication of complaint resolution action taken by the CoR Standing Committees, and/or Iraqi Government Ministries to address citizens concerns and complaints.

The proposed NCCMS will automate the collection of the complaints received by the CoR's Provisional Offices. Added to the collection of the data and content associated with the Constituent Complaint Resolution Lifecycle, the proposed NCCMS will provide an improved model for communicating the collected complaints to the Complaints Unit under the PAD, providing for an efficient system of managing constituent complaints. Additionally, the proposed NCCMS will facilitate the easy application of comment by all parties associated with the process lifecycle. Finally, the collection of Complaint Content and Data will evolve to be an effective repository supporting certain levels of "Data Mining" through the use of automatic categorization as well as indexing of the content and data. The proposed NCCMS will prove to be a solid framework to use as the basis of an enterprise-wide portal to all legislative application planned for the Iraqi Parliament.

Over time, more sophisticated aspects of constituent management can be deployed through the extension of the current design to include fundamental features associated with Customer Relationship Management (CRM) customized for governmental constituent services. Such systems exist today and can benefit the CoR's plans to enhance direct communications with its constituency. The recommended NCCMS provides sophisticated data mining capabilities that can be used towards constituent driven legislation. The Complaint Resolution Lifecycle implemented through NCCMS will be the first step of many steps that will initiate an organized dialog between the general Iraqi voting population and the CoR. As such, the overarching goals of transparency, fostering trust, and improved public awareness of government

services will be facilitated, which will serve as a stabilization factor to Iraq's volatile democracy.

## Attachment A

### Constituent Complaint Intake Form

#### *Part One: Gathering Constituent Contact Information*

**Date:** \_\_\_\_\_  
(Date of Intake)

**Name:** \_\_\_\_\_  
(Make sure to get proper spelling of full name)

**Phone number:** \_\_\_\_\_

**Email:** \_\_\_\_\_  
(Ask if constituent can be contacted by email as this is one of the fastest means of communication)

**Address:** \_\_\_\_\_

**Provincial Office contacted:** \_\_\_\_\_  
(This should be the name of your provincial office but this is an opportunity to verify the constituent is at the proper provincial office which represents them.)

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#### *Part Two: Gathering Information about the Complaint*

**Government Ministry or Agency which Complaint is logged against or from where relief is sought** \_\_\_\_\_

**Details of complaint:**

(Get specifics here, names of people involved and their possible contact information. Listen to complaint but try to only include relevant details on the form. Questions to ask constituent:

-Have officials been contacted? If so, whom? And, what is their contact information?

-What steps have been taken by the constituent prior to coming to their provincial offices for assistance?

-How would the constituent like this matter resolved?)

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**Supporting documentation:**

(Briefly list any documentation constituent is sharing or submitting to back up their complaint which may be attached to this form)

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## ***Part Three: Resolving the Complaint***

**Action Suggested by COR Provincial Office:**

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**Date and Place Constituent Complaint Sent:**

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**Provincial Office Follow-Up on Complaint with Government Entity and with Constituent:**

*(Most case and complaint work requires some degree of follow up. It is important to both follow-up with the government office where the complaint was sent and to get back in touch with the constituent to inform them of the Provincial Office's efforts on their behalf.)*

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**Further Action Required on Complaint:**

*(Note here any further steps which are required to resolve complaint)*

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**Resolution:**

**Was Constituent Complaint Resolved? If not, describe why:**

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