



USAID | **IRAQ**
FROM THE AMERICAN PEOPLE

Legislative Strengthening Program (LSP)

HANDBOOK FOR COR PROVINCIAL OFFICE STAFF

March 2011

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

March 31, 2011

This document was produced for review by the U.S. Agency for International Development (USAID). It was prepared by AECOM. The authors' views expressed in this document do not necessarily reflect the views of USAID or the United States Government.

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

HANDBOOK FOR THE IRAQI COUNCIL OF REPRESENTATIVES (COR) PROVINCIAL OFFICE STAFF

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

In association with:

Management Systems International

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the U.S. Agency for International Development (USAID) or the United States Government.

Table of Contents

Section 1: Introduction to the COR Provincial Offices	4
1.1 POs Mission Statement	4
1.2 General Management of COR Pos	4
1.3 History of the Council of Representatives POs	5
1.4 Importance of Regional Representation	5
1.5 Benefits of Parliamentary Outreach	6
1.6 The Major Stake-holders in a Regional Office	7
Section 2: Employee Standards and Conduct	8
2.1 The Secretariat's Vision, Mission and Values	8
2.2 Standards of Behaviour	9
2.3 Understanding Party Loyalty	11
Section 3: Office Administration.....	12
3.1 Serving the Institution.....	12
Public Events	12
News-Clipping Service	12
Parliamentary Civic Education	12
3.2 Managing Staff and Interpersonal Relations.....	13
Team Leadership Approach	13
Communicating with the Team.....	14
Developing Team Morale and Improving Motivation	14
3.3 Performance Management of Staff	15
3.4 Performance Management Tools	16
3.5 Ensuring Provincial Office Accessibility.....	20
4.1 Mission of the Regional Affairs Unit and Parliamentary Committee.....	22
4.2 Local Development Oversight.....	22
Monitoring and Understanding the Budget Process	23
Reading and Analyzing the Budget	25
Developing a Monitoring Plan	25
Monitoring and Reporting on Local Development Projects.....	28
Key Questions in Local Oversight.....	29
Ethical Principles.....	30
4.3 Participation and Coordination with Provincial Council.....	30
4.4 Developing a Liaison Role.....	33
Section 5: MP Affairs Unit and Logistics Support	34
5.1 Mission of the MP affairs Unit	34
5.2 Primary Tasks in Supporting Parliamentarians	34

Logistical Support.....	35
Supporting Security.....	35
Staffing Support.....	36
Media Outreach and Press Events.....	36
Staff Outreach.....	36
5.3 Primary Services to Committees and Blocs.....	37
Field Hearing.....	37
Information Gathering.....	37
5.4 Organizing a public event	38
Determine the Event’s Parameters.....	38
Creating an Organizational Committee.....	40
Select Proper Venue.....	41
Prepare Logistics and Security Plan	41
Public Announcement and Media Notifications	43
Final Arrangements and Day of Event.....	44
Event Follow-up.....	44
Section 6: Complaints Unit and Managing Casework.....	49
6.1 Mission of the Complaints Unit	49
6.2 Introduction to Complaints and Casework	49
6.3 Principles of Casework:	52
Defining Proper and Improper Inquiries and Casework	52
Managing Expectations	53
Maintaining Office Professionalism	53
6.4 Common Parliamentary Inquiries	55
Common Inquiries	55
Complaints	56
6.5 Casework Cycle	56
Intake and Analysis.....	57
Referral.....	57
Follow-up.....	58
6.6 Tools in Case Management	59
6.7 Casework Closure.....	61
Section 7: Individual Provincial Office Information.....	62
Addendums:	64
Addendum B: Iraqi Budget Calendar.....	67
Addendum C: Fraud, Waste and Abuse Definitions.....	68
Addendum D: Checklist for Organizing a Town Hall Meeting.....	69
Addendum E: Constituent Complaints Intake Form	74

Acronyms

COR	Iraqi Council of Representatives
CSO	Civil Society Organization
DG	Director General
LSP	Legislative Strengthening Program
MP	Member of Parliament
MAPDC	Member's Affairs and Parliamentary Development Committee
PAD	Parliamentary Affairs Directorate
PO	Provincial Office
POD	Provincial Office Department
ROP	Rules of Procedure
SG	Secretary General
US	United States
USAID	U.S. Agency for International Development

Section 1: Introduction to the COR Provincial Offices

This section outlines the basic information about the COR Provincial Offices (POs), including their mission, their laws that uphold the right of provincial representation, their management structure, and the benefits of provincial representation. It is important for provincial office staffers to understand these basic subjects.

1.1 POs Mission Statement

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

The Vision:

- To activate the representative and oversight roles of the CO
- 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:

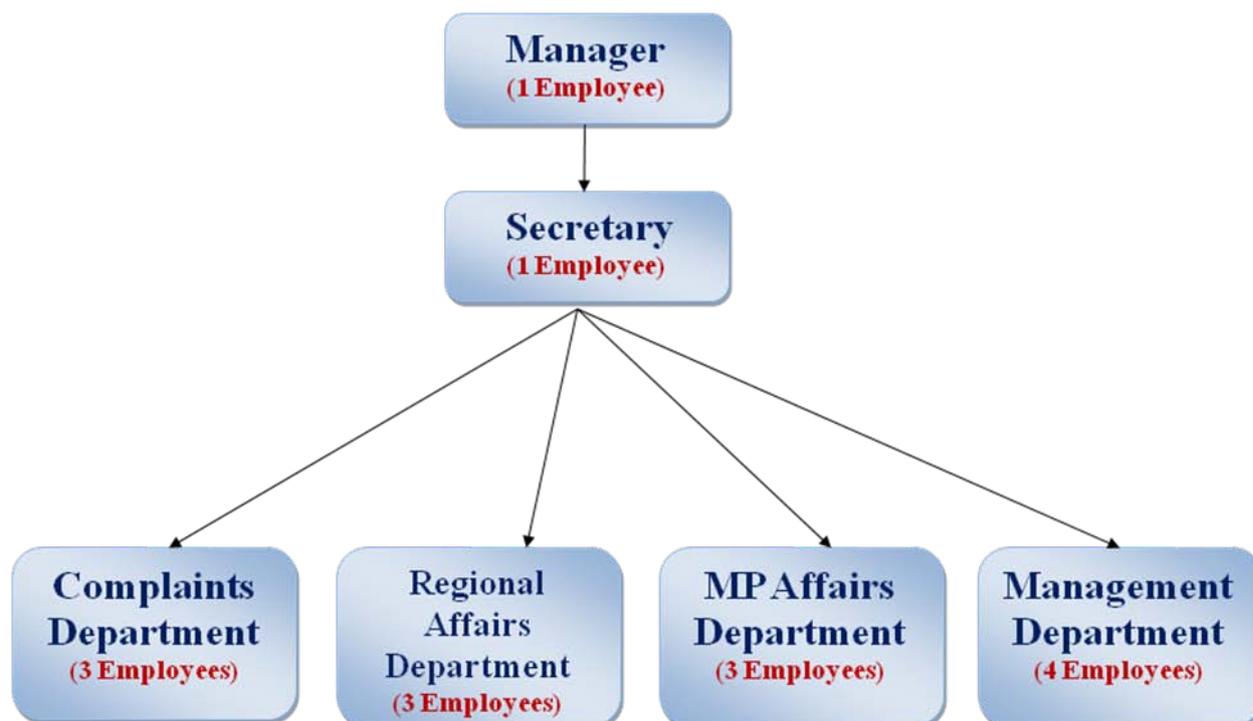
- To activate the representative and oversight roles of the COR
- To shorten the distance between constituents and the COR
- To strengthen the trust between the constituencies and MPs

1.2 General Management of COR Pos

The POs are administrated by a unit under the COR Parliamentary Affairs Directorate (PAD), the Provincial Offices Department (POD). Each Provincial Office (PO) has a manager and secretary who are responsible for the office's overall administration. They 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 Deputy Director. On technical matters, they report to the corresponding COR committee. The Members Affairs PO staff report on technical matters to the Members Affairs and Parliamentary Development Committee (MAPDC). The Regional Affairs PO staff report on technical matters to the Regions and Governorates Affairs Committee. Note that the Complaints PO staff currently report to the PAD because the COR Complaints Committee was eliminated by the COR. In the future, there will be an independent COR unit assigned to interfacing with the Complaints PO staff.

This organization structure allows parliamentarians to ensure the POs retain their link to Parliament's policy needs by extending the committees' reach into the provinces.



1.3 History of the Council of Representatives POs

The COR established the 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 PAD was tasked with developing the POs. It created an administrative unit under its structure, the POD, to carry out this task. On July 9, 2007, the COR began to employ the staff of its POs. By August 2009, the POD had established POs 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 conceived as an extension of the COR Complaints Committee. 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 embraced a general liaison role between the COR and the provinces. The POs now facilitate constituent services, civic education, and parliamentary oversight.

Following Iraq’s 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 and the COR Complaints Committee was eliminated. The COR is currently working on creating an independent administrative unit that will manage citizen’s complaints and the COR’s PO Complaints Department’s staff in the provinces.

1.4 Importance of Regional Representation

Legislative bodies sit in the capital city and are often removed from the citizens, especially in rural or remote areas. This physical distance can create a sense of detachment from the central government. Reducing the perceived degree of detachment will enhance the legitimacy of the COR, which can increase political stability. To reduce the perceived degree of detachment in

their jurisdictions, many parliaments have created regional offices of the national parliament to reach out to the rest of the population.

Comparative Examples of Parliamentary District or POs:

United States - Each Congressman and Senator is given funding to hire between eight and fifty staffers in their district. There are approximately 1,500 constituent offices throughout the country.

South Africa: Political parties are allocated a budget for constituency offices based upon their proportion of their seats in Parliament. Offices are not shared across parties.

Canada and the Philippines: Each member is given funding to open an office in his or her district and employ one or two staffers,

There are numerous models of regional offices in other countries. At one end of the spectrum, some small countries establish only one or two regional offices, which are often located in major cities outside of the capital. At the other end of the spectrum, some legislatures establish multiple offices for each district. The US Congress, for example, provides two to three district offices for each member of the House of Representatives and provides as many as ten state offices for each Senator. In total, there are approximately 1,500 offices throughout the country. The Iraqi approach falls in the middle. It provides one, or in the case of Baghdad, two, shared office(s) for MPs in each province.

A national parliament's ability to reach beyond the capital city is critical to maintaining its role as the *people's representative* body. Serving as both the eyes and ears of legislators, it allows parliament to take in information and ideas from the regions, conduct effective government oversight, while also serving in an outreach function that can help reduce the distance between the people and parliament.

1.5 Benefits of Parliamentary Outreach

Strong regional representation strengthens democracy. Interaction between citizens and their representatives provides glue between the population and the democratic principles embodied in the Constitution. This glue can help prevent the reemergence of authoritarianism.

Iraqi political parties and parliamentary blocs reach beyond the capital by meeting with citizens and fielding basic constituent inquiries. This outreach is a symptom of a healthy democratic system. However, it is equally important that MPs reach out to constituents through the institution of the COR. This COR-facilitated outreach reminds voters that political factions can be more effective when working together in democratic institutions. The COR, which embodies the pluralistic nature of Iraq's politics, can send a powerful message in support of tolerance and cooperation to Iraq's citizens.

Active representation in the provinces can also play an important role in the flow of information between the provinces and the capital city. Effective representation demands a two-way flow of information; the COR must both speak and listen to the electorate. By serving as listening posts, POs can deepen legislative debate by providing information and perspectives from the provinces. This function is especially important because parliaments operate in an insular environment, (delete highlight) where opinions and viewpoints are formed with little external stimulus. Provincial input can challenge this insularity and invigorate the democratic process.

1.6 The Major Stake-holders in a Regional Office

There are five provincial office stakeholders/ stakeholder groups. A stakeholder is a client or primary user of a provincial office that has an interest (or stake) in the services provided. It is important for all POs staff to understand the needs and priorities of these stakeholders in order to serve them effectively.

The first group of stakeholders is comprised of the **parliamentarians** from your province. Because they are not allocated individual office space or staff, they must rely on the provincial office to serve as their office in their home province. They require individualized attention and those who are active and frequently in their province will likely begin treating the office as exclusively their own. Sometimes, ownership by an individual parliamentarian can create problems in serving other stakeholders, including other parliamentarians. Therefore, one of your top priorities should be to ensure that your office can serve as a home for each MP from your province.

The second stakeholder in a PO is the **COR, as an institution**. The Parliament is the single most important democratic institution in Iraq. Healthy democratic systems have parliaments that are competitive political bodies with a variety of voices and viewpoints. Therefore, it is important that a provincial office assist in educating and informing the public about the Parliament as an institution and about current events and pending legislation.

The third group of stakeholder is comprised of **parliamentary committees**. Committees generally operate within the parliamentary building where they conduct oversight activities, which may include legislative review or studies of policy issues. These committees, similar to individual parliamentarians, also have an obligation to listen to the people and ensure executive accountability. While committees will not utilize a PO as frequently as individual parliamentarians, their access to the people and local government institutions is critical in the oversight process and needs to be supported. A committee's visit to a province can make a significant impact in the oversight process and its findings in the province will most likely be reflected in the legislative process.



It is Parliaments that embody democracies around the world. As parliamentary staff, you help to present democracy to the Iraqi people.

The fourth stakeholder group is comprised of the **political blocs and parties** in Parliament. The relationship between the POs and this stakeholder group is the most complex PO-stakeholder relationship. Political factions sometimes attempt to utilize the resources of POs inappropriately. Blocs may use the POs to gather information from the provinces to better shape their political positions. However, they should not use the POs as conduits for their own outreach. The COR Provincial Office is a non-partisan entity serving the institution of parliament. As a professional parliamentary staff person, you should provide information without favoritism or bias towards any party or bloc.

The fifth stakeholder group is comprised of **Iraqi citizens**. They are the audience to whom you provide legislative information. They are your clients who you assist in matters related to the national government. The success of your office depends both upon how many people you can reach and how many people feel empowered by utilizing the services of the office.

Section 2: Employee Standards and Conduct

As a staff person of the POs, you directly represent the COR in your community. Your position is a privilege and you will be expected to conform to a high level of ethical standards. This section is important for all staff to understand and respect.

It is not only your responsibility to abide by these standards, but also your responsibility to report colleagues who are not acting at the same level of ethical conduct.

Accepting that working in a provincial office is not a right, but a privilege, will help you to better understand your role in serving the POs' stakeholders. Office staff that elevates themselves above their stakeholders, particularly constituents, will find themselves facing numerous unnecessary conflicts and will also poorly represent democracy to citizens. Therefore, it is important that staff have the proper attitude towards, and dedication to, their stakeholders. The office must be client-focused. Staffs that recognize the importance of client service will find themselves successful in their position and well respected and supported by their colleagues and superiors.

2.1 The Secretariat's Vision, Mission and Values

The COR has established a vision, mission statement, and set of values. These define the ethical conduct of all parliamentary staff and must be well understood.

Vision

'The COR Secretariat will be an active, professional and developed institution that is trustworthy and an ideal model to others both in, and outside, of Iraq'

Values

1. **Credibility** – *the Secretariat will be the trusted source of support for the elected members of parliament.*
2. **Truthfulness** – *the Secretariat will provide honest advice and conduct its affairs in a transparent way to set an example for elected officials and for Iraqis.*
3. **Integrity** – *with honour and with purpose, the Secretariat will provide the best possible advice and guidance to the elected members and provide that advice without bias and regardless of sectarian or partisan orientation.*
4. **Efficiency** – *the Secretariat will find new ways to innovate and improve its output to ensure it delivered what was required of it – on time and above expectations.*
5. **Cooperation** – *the Secretariat will try to break down internal barriers among directorates and departments and foster great cooperation within the COR.*
6. **Respect** – *understanding that Iraq is a diverse country, the Secretariat will do its utmost to respond to the needs of the Iraqi people by supporting their elected representatives.*
7. **Equality** – *the Secretariat will operate fairly and in an unbiased way regardless of ethnic, sectarian, political, or gender considerations.*

Mission

The Secretariat General shall faithfully exercise its tasks and duties to enable the COR to perform its role within the defined constitutional and legal framework of the Republic of Iraq.

To this end, the COR staff must behave in a way that supports MPs in carrying out their democratic duties. Thus, as a member of staff at the COR, you need bear the following in mind:

- Integrity – putting the obligations of public service above personal interests
- Honesty – being truthful and open
- Objectivity – basing advice and decisions on rigorous analysis of the evidence
- Impartiality – acting solely according to the merits of the case and serving governments of different political parties equally well

This mission statement supports good practice and endorses the highest possible standards. These, in turn, will help the COR Secretariat to gain and retain the respect of MPs, the public, and its other stakeholders.

2.2 Standards of Behaviour

Integrity

You must:

- Fulfil your duties and obligations responsibly
- Always act in a way that is professional and that deserves and retains the confidence of all those with whom you have dealings
- Make sure public money and other resources are used properly, and efficiently
- Deal with the public and their affairs fairly, efficiently, promptly, effectively and sensitively, to the best of your ability
- Handle information as openly as possible within the legal framework
- Comply with the law and uphold the administration of justice

You must not:

- Misuse your official position, for example, by using information acquired in the course of your official duties to further your private interests or those of others
- Accept gifts or hospitality or receive other benefits from anyone which might reasonably be seen to compromise your personal judgment or integrity
- Disclose official information without authority, even after your employment with the COR has ended

Honesty

You must:

- Set out the facts and relevant issues truthfully, and correct any errors as soon as possible
- Use resources only for the authorized public purposes for which they are provided

You must not:

- Deceive or knowingly mislead MPs, citizens or others
- Be influenced by improper pressures from others or the prospect of personal gain

Objectivity

You must:

- Provide information and advice, including advice to MPs and colleagues, on the basis of the evidence, and accurately present the options and facts
- Take decisions on the merits of the case
- Take due account of expert and professional advice

You must not:

- Ignore inconvenient facts or relevant considerations when providing advice or making decisions
- Frustrate the implementation of policies once decisions are taken by declining to take, or abstaining from, action which flows from those decisions

Impartiality

You must:

- Carry out your responsibilities in a way that is fair, just, and equitable and reflects the COR's commitment to equality and diversity

You must not:

- Act in a way that unjustifiably favours or discriminates against particular individuals or interests

Political Impartiality

You must:

- Serve the COR, whatever its political persuasion, to the best of your ability and in a way that maintains political impartiality no matter what your own political beliefs are
- Act in a way that wins and retains the confidence of MPs and colleagues, while at the same time ensuring that you will be able to establish the same relationship with those whom you may be required to serve in some future government
- Comply with any restrictions that have been laid down on your political activities

You must not:

- Act in a way that is determined by party political considerations, or use official resources for party political purposes
- Allow your personal political views to determine any advice you give or your actions

2.3 Understanding Party Loyalty

Many parliaments have staff members who are appointed by the party leadership and report to party leaders. In the U.S. Congress, for example, most aides are appointed through either the majority or minority party. All of their research, analysis, and legislative work is done for only one side and is rarely shared across party lines. The non-partisan staff of the Congress, assigned to the secretariat, serves in non-sensitive administrative roles. The one exception to this partisanship is the Library of Congress, which is non-partisan entity that provides independent research to the entire Congress.

Other parliamentary assemblies have fewer partisan staff and instead rely primarily on shared pools of staff who work across party lines. In the French National Assembly, for example, committee staff, including clerks and researchers, is strictly non-partisan. These staffs are expected to serve all members equally.

Although the Council of Representatives traditionally relies upon parliamentarians to recommend qualified Iraqis for a variety of staff positions, staff is expected to behave in a non-partisan manner upon the beginning their employment. The expectation of non-partisanship extends to the staff of the POs.

Failure to evenly and fairly serve Parliamentarians, regardless of party orientation, is not professional and can even lead to your employment termination.

Section 3: Office Administration

3.1 Serving the Institution

One of the key stakeholders of a Provincial Office is the institution of Parliament. This stakeholder has unique needs that the office manager should seek to meet. These include representing the institution at community events, providing news and current events information, and civic education.

Public Events

Similar to representing individual parliamentarians, staff can represent the institution, regardless of the party affiliation, at events within the community. This presence demonstrates that the Council of Representative is listening to the people. Your supervisors in Baghdad should provide clear guidance on what types of events to attend and how to represent the institution. Representation can include making a short statement on behalf of parliamentarians from your province. Of course, the event should be non-partisan.

News-Clipping Service

There is a need to keep parliamentarians, committees, and blocs informed about provincial news. This need is met partly through the compilation and distribution of news clippings. Note that news clippings are not based upon specific requests; they are compiled and distributed as a

News items that interest Parliamentarians:

- Reports on federal government services and programs, particularly if they're not functioning properly or under-serving citizens.
- Report on events attended by Parliamentarians
- Information or even misinformation on legislation being passed or implement

matter of course. A regular news clipping service should collect news clips of interest to parliament and forward them on a daily or weekly basis to the COR. These submissions are useful for MPs, who need to follow the news affecting their constituents. Items of interest can be specific to parliament or can be related to issues and policies. You should avoid circulating articles related to political parties, particularly opinion pieces. This task is more

appropriately left to politically oriented entities, such as political parties.

Parliamentary Civic Education

Another critical, but often overlooked, function of parliamentary outreach is the role of the institution in educating the public about parliament and democracy. Educating the public about the legislative process encourages them to become civically active and understand their democratic rights. Popular venues for educating the public on the COR and democracy are schools, social and business clubs, and other open organizations. As a representative of Parliament you can help educate the public about democracy. Educational activities should be done without favor or bias towards any one party or bloc.

If you wish to represent Parliament to the public, you should first understand the legislative process. This is the process through which legislation flows from Parliament, or the ministries through parliament. The legislative process includes committees, the plenary, and the executive. You should also completely understand the role of a parliamentarian in relation to their representative, oversight and legislative functions. Once you feel comfortable with

explaining to the public the legislative process and the role of a parliamentarian, then you can begin educating the public about the role of Parliament in a democratic system.

The final aspect of parliamentary outreach is ensuring that resources are visible to the public. While the POs are not a political party office, it should have contact information for, and directions to, the offices of political parties in order to share them with interested constituents. If you want to also provide party platforms or positions on particular pieces of legislation, then you should be sure to display them in a manner that does not favor any one party. Note that no party may use your office for electioneering, which includes directly asking for votes or directly attacking another party.

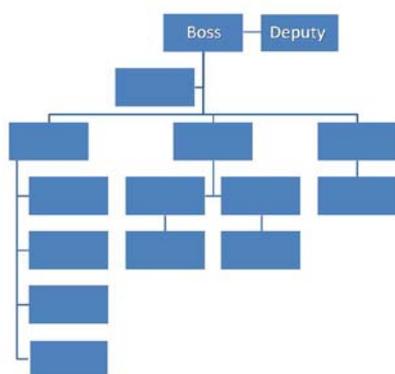
3.2 Managing Staff and Interpersonal Relations

Managing an office with varying political backgrounds and a complex management structure involving parliamentary committees is a real challenge. This section will provide you some advice and tips in managing personnel in this sort of environment.

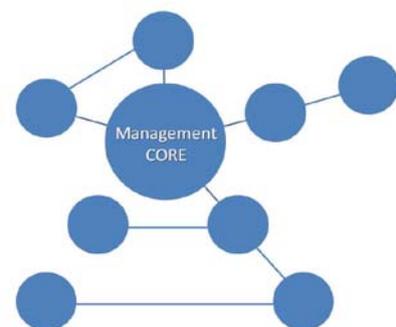
Developing a style of management that ensures staff accountability and manages productivity will be critical in your office's success. Management schools, particularly those for business executives, teach a variety of management styles. There are different models designed for various types of organizations and business cultures. As a professional office manager, you are encouraged to learn as much about these models and about workplace psychology in order to assist you in addressing the many challenges which will emerge.

Team Leadership Approach

As the Office Manager, you are the primary leadership figure in your office. Your office has a diverse staff and a complex reporting structure. You should carefully understand every team member's strengths and weaknesses and then adjust the tasks to maximize the team's strengths. This approach requires strong interpersonal skills. Managing diverse personalities to achieve your office's goals will take a mix of diplomacy and, when necessary, strict management.



Traditional Management Form



Example of Modern Management

Leadership is a skill that can be learned through experience. As a manager or team leader, your colleagues will look to you for guidance and expect you to make decisions. You will be forced to make decisions that are unpopular and to ask staff to carry out tasks that they do not wish to complete. To make these difficult decisions, it helps to be a leader that is respected by

the team. Respect is earned partly by leading by example. You should serve as a leader who is mature, respectful, and abides by the rules.

Tips on Leading by Example:

- Do not use office resources for personal gain, such as privileges for free tickets to exclusive events, government cars and drivers, or additional security support that is not related to your official duties
- Always be on time to work and attempt to work the appropriate hours without appearing to work less time than your colleagues
- Avoid engaging in conversations that can be considered offensive or controversial to your staff, particularly around sex, religion, ethnic conflicts, or similarly emotional subjects
- Do not waste office time and resources, particularly surfing the internet for pleasure or making lengthy personal phone calls
- Always maintain a positive and confident attitude about challenges being faced by the office
- Absolutely avoid gossip or discussions about colleague's personal lives, especially judging their looks, dress, or culture

Communicating with the Team

Effective communication is the key to leading your team. You will frequently have to communicate positive and negative reviews of staff performance. You need to ensure that you are accessible for these confidential conversations with your staff. In many instances, they will want to confide their fears and concerns in you. Once again, leading by example and having the respect of your colleagues will make your staff comfortable enough to hold these conversations.

You also need to clearly and consistently communicate needs and orders to your staff. You need to remain unbiased and balanced when managing your staff. It is important to note that when you counsel or discipline staff, it should not be in front of others, but rather in private.

As a manager, you also have to control your communication. While there may be management issues or complaints that you have within your team, as a leader, you should not discuss these concerns with anyone whom you manage. Discussing an employee's poor performance with a peer is unfair and unprofessional.

Developing Team Morale and Improving Motivation

In an office that will face numerous challenges and is remote from the COR maintaining a positive office morale is vital, as this will motivate your staff to achieve your office's mission. Positive morale gives your colleagues a reason to be more productive and approach their tasks with creativity and enthusiasm. An office with high morale is also easily recognized by parliamentarians and the public. As a manager, maintaining good morale should be a top goal.

Here are some tips on small things you can do to improve morale:

- Hold occasional office buffets, picnics, or lunches to commemorate personal events such as birthdays, birth of children, or marriage
- Acknowledge or thank staff who have successfully completed a task

- If a staff person has done an extraordinary job, work through the Parliamentary Affairs Directorate to obtain a more senior level gratitude, perhaps in the form of a certificate or letter of appreciation
- Make yourself available to assist staffs who are encountering personal problems and, within office guidelines, attempt to adjust their hours or allow breaks

It is also very important for staff to understand their role in Iraq's democratic system. Part Of an office manager's role is to ensure that all the staff members have a sense of professional purpose.

3.3 Performance Management of Staff

As an Office Manager, you will play a role in reviewing your staff's professional performance. This section is based upon the best practices that are currently being implemented in the COR to manage human resources.

Performance management, a key practice of people management, should be:

- Strategic – it is about broad issues and longer-term goals
- Effective – it should ensure people have the knowledge and ability to perform
- Integrated – it should link various aspects of the business, people management, and individuals and teams

At its best, performance management is a tool for ensuring that managers effectively manage the people they are responsible. It is the primary means by which they ensure that individuals:

- Know and understand what is expected of them
- Have the skills and ability to deliver on these expectations
- Are supported by the COR to develop the capacity to meet these expectations
- Are given feedback on their performance
- Help with effective learning and development opportunities
- Have the opportunity to discuss and contribute to individual and team aims and objectives

The process should therefore be clear and concise as to be understood by everyone involved. Managers and individuals should understand what performance management is trying to achieve and how to do it. Performance management provides a formal, recorded, regular review of an individual's performance. Performance management is a holistic process that includes learning and development. However, for this reason, it is complex and sometimes misunderstood by participants.

Despite its importance, managers and staff often dislike the performance management process. The system can be daunting and time-consuming. Consequently, some managers make the mistake of addressing performance management only once per year. This shortcoming is often caused by unclear processes and insufficient training.

Therefore, there needs to be a clear strategic drive to evaluate and understand the impact of performance management on both individual performance and the COR's performance. This includes strong integration with other strategies to attract, manage and retain high quality staff.

Performance management should incorporate:

- Performance improvement – throughout the COR, for individual, team and organizational effectiveness
- Development - unless there is continuous development of individuals and teams, performance will not improve
- Managing behavior - ensuring that individuals are encouraged to behave in a way that allows and fosters better working relationships

Performance management also requires that managers themselves are aware of the impact of their own behavior on the people they manage.

Performance management depends on a culture in which individuals and groups take responsibility for the continuous improvement of business processes and of their own skills, behavior, and contributions. Additionally, managers and their staff must agree on expectations.

Performance management addresses office-wide expectations and individual-level expectations. Note that progress towards objectives must be measurable. It is therefore important that objectives include success criteria that are accompanied by metrics.

How does performance management work?

Performance management should be pervasive: it needs a supporting framework to help people implement it. However, this framework should not be rigid as it needs to include a degree of flexibility that permits innovation.

Performance management is a process, not an event, and operates as a continuous cycle. Strategic goals provide the starting point for business and departmental goals, followed by agreement on performance and development goals, leading to drawing up plans between individuals and managers, with continuous monitoring and feedback supported by formal reviews.

3.4 Performance Management Tools

Performance Development and Review - The Appraisal System

Organizations with performance management systems need to provide staff with the opportunity to reflect on past performance as a basis for making development and improvement plans. A performance and development review meeting, normally named as an 'appraisal', provides this chance. The meeting must be constructive. Various techniques can be used to achieve an open, free-flowing, and honest discussion, with the 'reviewer' doing most of the talking.

The appraisal process encompasses on-going support and development and provides a framework to:

- Review and evaluate current performance
- Discuss training and development needs
- Agree on objectives for the following twelve months
- Encourage employees to take responsibility for delivering their work objectives and training and development needs

The appraisal process is designed to benefit both the jobholder and the manager as well as the COR as a whole.

Learning and development

Performance reviews can be regarded as learning events, in which individuals can be encouraged to think about how they want to develop. This can lead to the drawing up of a Personal Development Plan (PDP), setting out the actions they propose to take, with the help of others, not least their managers, to develop themselves. To keep development separate from salary discussions, development reviews may be held separately.

Objectives and Performance Standards

Objectives and goals describe something to be accomplished by individuals, departments and organizations over a period of time. They can be expressed as targets and tasks to be completed by specified dates. They can be work-focused, referring to the results to be attained, or focused on the professional, taking the form of developmental objectives for individuals.

Objectives need to be defined and agreed upon. They will relate to the overall purpose of the job and define performance areas. This includes all the aspects of the job that contribute to achieving its overall purpose.

Alongside objectives are performance standards. They are used when it is not possible to set time-based targets, or when there is a continuing objective, which does not significantly change from one review period to the next and is a standing feature of the job.

Performance Measurement

To manage performance effectively, individuals should know how their performance will be measured. Measures should be transparent and applied fairly across the COR. Ideally, there should be a mix of individual and team measures, and measures relevant to both the inputs and the outputs of performance.

Examples of individual output measures:

- Achievement of objectives
- Progress towards agreed upon standards of performance, which might be for example, rated on a scale of excellent, good, satisfactory, or poor performance
- Measuring the extent to which individuals exhibit behavior associated with performance such as respect for others, integrity, or trust
- In instances of exemplary performance, special commendations

Examples of individual input measures:

- Competence;
- Skills and experience and the extent to which new skills are applied
- Potential to develop or acquire new skills and progress to next career level
- Behavior associated with personal development and knowledge sharing
- Communication skills and other traits which enhance team roles

Examples of team input measures:

- Individual contribution to the team through involvement in projects
- Support for other individuals to achieve their objectives
- Understanding of team role
- Engagement and team spirit

Below, you will find an example of a staff appraisal form with comments by the subject and supervisor. A blank form can be found in the addendum section.

STAFF APPRAISAL FORM

1. Personal details

Name	Ibrahim Abbas
Job title	Complaints Committee Staff Assistant
Unit	Karbala Provincial Office
Manager	Amar Al-Baghdadi
Period of assessment	December 2009-December 2010

2. Key areas of responsibility

Please indicate key responsibilities including people and resources that you manage:

<ul style="list-style-type: none"> ✓ Receive and analyze citizen complaints ✓ Input data into complaints systems ✓ Prepare letters to ministries on individual complaints ✓ Provide advice to persons seeking assistance ✓ Train new staff on casework procedures ✓ Maintain liaising relations with local offices of ministries related to citizen services ✓ Assist in preparing monthly reports to Complaints Committee on common problems encountered by constituents
--

3. Objectives

Insert agreed objectives:

1. Complete casework files within an average of 45 days
2. Maintain professional attitude when dealing with constituents and ministry liaisons
3. Understand all benefits and social services available to needy persons
4. Gain and maintain proficiency in computer usage including document and case management applications
5. Dress professionally in the office and maintain regular working hours and notify the supervisor of any absences.
6.

Achievement of Objectives:

Please comment of whether these objectives have been achieved.

<p>1. With only two exceptions casework was completed in less than 45 days. The only exceptions were caused by ministries failing to respond in a timely manner. His supervisors were notified of these delays and efforts were made to notify the Ministries responsible and Complaints Committee of the delays.</p>
<p>2. Ibrahim has been commended for his professional attitude towards constituents and has acted properly in challenging situations. He has been a role-model for younger staff and works fairly with all staff and constituents regardless of their background, faith, or political allegiances.</p>
<p>3. Ibrahim has quickly learned about the social services offered by the national and local government. He has been active in meeting with private organizations that provide relief to widows and orphaned children to find out about their services and prepared brochures on these services.</p>
<p>4. Ibrahim has improved his computer skills from last year, but is not as proficient as his peers and has on two occasions lost important documents on his computer because he was unable to properly save the contents.</p>
<p>5. Ibrahim has always dressed professionally and is regularly present for working hours. He did on one occasion miss a public event with parliamentarians that he had been asked to attend. He claims he was not informed of his requirement to attend, although it was discussed during a staff meeting the preceding week. He was counselled following this event. Subsequently, he has attended all outside events and working hours without delay or absence.</p>

4. Training Needs

Highlight any training or development needs the job holder has and how these will be addressed

<p>Training Needs</p> <p>Ibrahim is proficient with the computer but could use additional training to better understand the Microsoft Word program and its features. I also recommend training in computer graphics programs that could assist in the design of brochures and materials to enable to him to prepare informational materials for the office.</p>
--

5. Signatures and jobholder comments

<p>Manager's name</p> <p>Kamal Al-Baghdad</p>	<p>Signature</p> <p><i>Kamal Al-Baghdad</i></p>	<p>Date</p> <p>January 14, 2011</p>
--	--	--

Jobholder's comment

Use this space if you want to comment on or add anything to the above assessment

I agree with all of the comments noted by my supervisor.

I am attempting to improve my computer skills with the assistance of my colleagues who are more knowledgeable of the software.

In March, when I missed the public event, I did not intentionally miss the event. I was never notified individually that I was expected to attend and interpreted the instructions to mean only the supervisors needed to be at the meeting and not the complaints staff. I agreed to attend another event in place of a colleague to make up for my absence and we have agreed as a team to better communicate these requests.

Jobholder's name

Ibrahim Abbas

Signature

Ibrahim Abbas

Date

January 14, 2010

Summary of Performance Review

Performance management has a significant role to play in enhancing the COR's performance by:

- Ensuring everyone understands their contribution to the COR's goals and objectives
- Ensuring each individual understands what is expected of them and that they have the skills and support to achieve this
- Ensuring effective communication throughout the COR and linking of objectives
- Enhancing the individual/line manager relationship, encouraging line managers to build positive relationships with individuals based on trust and empowerment

The keys to the successful introduction and application of performance management are:

- Being clear about what is meant by performance
- Understanding what the COR is and needs to be in its performance culture
- Being very focused on how individual employees will play their part in the process
- Understanding that it is a tool for line managers and its success will depend on their ability to use it effectively

3.5 Ensuring Provincial Office Accessibility

A 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, you should try to ensure that constituents are aware of its presence and mission. Obviously, security issues should be given full consideration.

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 provide the mission of the office and a list of the core services, such as complaint management.

It is important that the office be accessible to all people in Iraq, including the disabled. It is important that POs can accommodate the special needs of individuals. For example, if the building lacks wheelchair ramps or elevators, then you have functionally denied access for disabled persons. In some cases, you may be able to remediate this obstacle with minor and inexpensive repairs. If the building is on a floor that requires several stairs, then consider locating at least one office on the ground floor where you can host the occasional disabled visitor,

In order to make your office accessible, you 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.

Section 4: Regional Affairs Unit and Provincial Development

4.1 Mission of the Regional Affairs Unit and Parliamentary Committee

The **Regional Affairs Unit** of a Provincial Office is overseen by the **Regions and Governorates Affairs Committee** in the COR. Together, their staff work on the following issues:

- Monitoring the development of the regions and the budget process
- Participation and coordination with the Provincial Council
- Monitoring the implementation of the development plans for the province
- Providing MPs with information related to provincial affairs

The function of this unit is partly to liaise with provincial councils on behalf of the COR. The staff should be capable of liaising, gathering information, and writing reports.

The Regions and Governorates Affairs Committee's jurisdiction is stated in Article 98 of the Rules of Procedure:

Regions and Governorate (not organized in regions) committee shall be responsible for the following:

1. Focus on the affairs of regions and non-regional provinces, and their relationship with the federal government
2. Follow up on issues related to councils of regions, provinces, and local councils.
3. Monitor the implementation of fair and equal opportunity standards in the management of federal governmental institutions and study tours, scholarships, international, and local conferences.
4. Follow up the fair distribution of resources allocations among regions and provinces.

The Regions Unit in the POs has a more diverse responsibility than the other units because it includes both an oversight and interlocutor role in relationship to the Provincial Councils. These duties require delegation of particular tasks to specialized staff.

4.2 Local Development Oversight

Monitoring development projects in the provinces on behalf of the COR is an important and complex mission that seeks to limit corruption and ensure that development projects are fully implemented. This section will assist you in understanding the steps involved in monitoring development projects on behalf of the COR.

Oversight is a core function of any legislative body and is it explicitly authorized and stated in the Iraqi Constitution, Article 61(2) that authorizes the Parliament "monitoring the performance of the executive authority." Therefore, the right of the Iraqi Parliament to carry out oversight, including oversight of local development projects that are financed by the federal budget, is indisputable.

The purpose of any government oversight is to ensure the accountability of government monies. One of the better functional definitions of the right of parliamentary oversight comes from the UK Parliament's 2001 Sharman Report, *Holding to Account: The Review of Audit and Accountability for Central Government*. It divides the notion of accountability into four aspects:

1. giving an explanation – through which the main stakeholders (for example Parliament) are advised about what is happening, perhaps through an annual report, outlining performance and capacity;
2. providing further information when required – where those accountable may be asked to account further, perhaps by providing information (example: to a select committee) on performance, beyond accounts already given;
3. reviewing, and if necessary revising – where those accountable respond by examining performance, systems or practices, and if necessary, making changes to meet the expectations of stakeholders; and
4. granting redress or imposing sanctions – if a mechanism to impose sanctions exists, stakeholders might enforce their rights on those accountable to effect changes.

(The Sharman report can be accessed at: www.archive.treasury.gov.uk/docs/2001/sharman_1302.html)

These steps provide the foundation for parliamentary oversight of the government and can be extended to the Regional Affairs Unit's mission in monitoring projects and ensuring their accountability to Parliament.

You can learn more about parliamentary oversight by accessing the “COR Oversight Manual”, produced by USAID Legislative Strengthening Project with the assistance of the COR.

For more information on corruption, you can download the “Sourcebook on Corruption,” produced by Transparency International:
http://www.transparency.org/content/download/2449/14511/file/sourcebook_arabic.zip

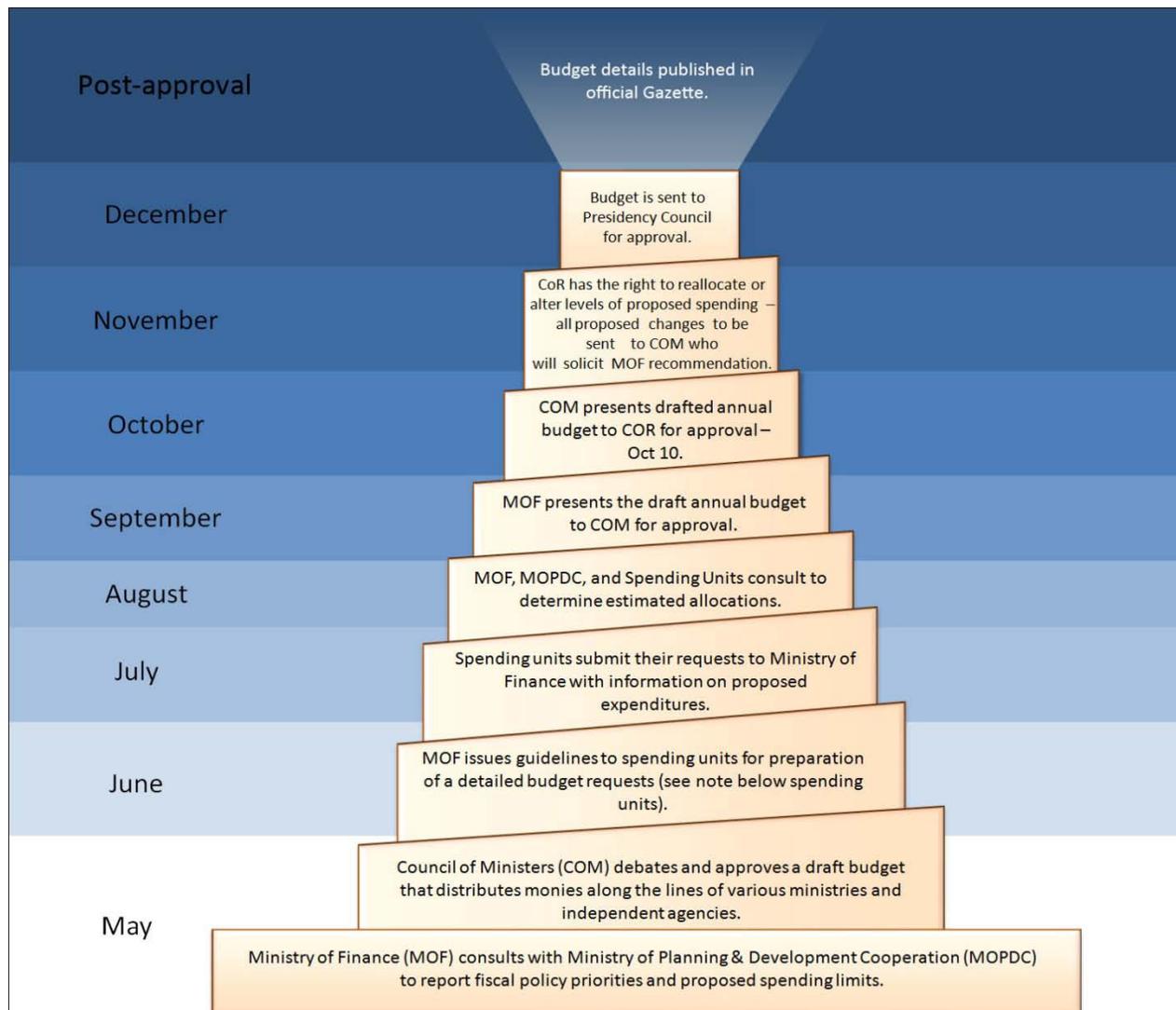
Monitoring and Understanding the Budget Process

The annual Iraqi Budget expenditure from 2008 to 2010 has ranged to \$70-92 billion Iraqi dinars. The national budget includes specific allocations for local development projects. These projects, which are often included in the budget at the request of individual MPs, include schools, roads, and hospitals. In most cases, MPs request that local development projects be implemented in their own province. These are the specific projects that you will want to monitor and this section will explain the budget process and how to identify them. To identify these projects you will need to work with the Regions and Governorates Affairs Committee to carefully analyze the budget and develop and oversight plan.

Developing a systemic oversight process begins with identifying all projects in your province funded by the budget, including smaller projects that may be less visible to the community.

The first step in the identification process is to understand the budget cycle. The budget cycle is an annual process, beginning each May when the Ministry of Financial consults various government ministries for their needs and budget guidelines. The process is completed when n Parliament approves the budget through a formal vote,

The budget links public spending to anticipated revenues. Government revenue is collected by taxing, licensing, imposing customs duties, and selling public resources, such as oil. Most of the money for the Iraqi budget comes from the sale of oil and gas, directly or through royalties with oil companies. As oil is traded on the global market, the price is influenced by innumerable factors, and consequently the price fluctuates throughout the year. These price fluctuations make accurate budgeting difficult in Iraq. When oil revenue decreases unexpectedly, the government will tend to prioritize security and government salaries over development projects that can simply be delayed.



**Spending units include- ministries, provincial councils, KRG, CoR, Judicial Council, and the Presidency*

The executive's budget drafting process should meet the October 10th deadline for submission to the Parliament. In the past, the CoR has not always approved the budget by December, due to extended debate and deliberations over spending levels. It is common in democratic systems to have extended delays and debates caused by the legislative branch when determining the budget. As a result, Parliament will frequently extend the debate into January or February as the budget goes back and forth between the CoR and the executive until agreement can be reached.

Reading and Analyzing the Budget

Following the approval of the budget by the COR and Presidency, the Regions and Governorates Affairs Committee and the Regions Unit will have the opportunity to analyze the budget for all of the local projects contained in your province. In addition, your local provincial council and governor will begin the same process. If you share a good relationship, then you should attempt to collaborate in your analysis by comparing your list of identified projects with a list identified by provincial officials.

The budget is only final once it has been published in the official gazette- Alwaqai Al-Iraqiya. Once published, the budget is distributed by the Ministry of Finance (MOF) to the various spending units. It is important to note that there are two components of the budget: Operational and Capital. The **operational budget** covers recurring expenditures such as salaries of government employees and is not relevant to your analysis. The second budget is the **capital budget**, which contains one-time expenditures and includes line items, such as local development projects. Within the capital budget a **chart of accounts** will be produced by the MOF and distributed to the various spending units. This chart is relevant for your purposes because it contains the line items for expenditure that you will need to analyse for local projects. The chart of accounts is in a spreadsheet format and should be analysed line-by-line for specific projects that are marked for your province.

From the chart of accounts, prepare a list of all projects in your province and put them into a table with all available data from the budget. You should attempt to compare this to any table that the provincial council has to ensure it is complete. Producing this table completes first step in ensuring the oversight of local development in your province.

Developing a Monitoring Plan

Once you have identified all of the projects in your province, then you need to develop a monitoring plan. The model enclosed is a matrix for determining your oversight priorities, particularly when you have several projects that you are monitoring. A monitoring strategy does not necessarily require a formal strategy as suggested in the model below, as it also can be an informal plan to help you prioritize the projects that you should visit.

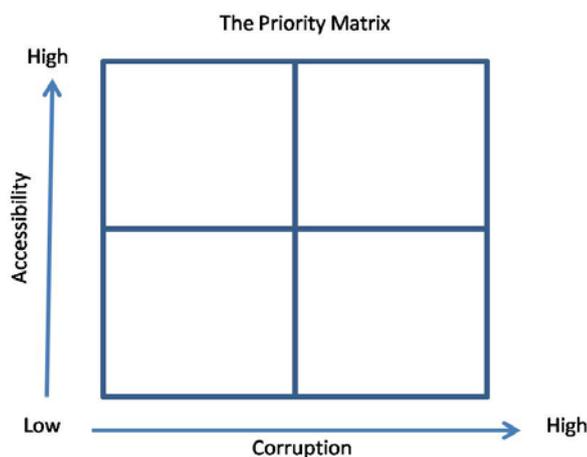
Setting your priorities for oversight should be based upon two factors- accessibility of the project and the likelihood of corruption.

- Accessibility is defined as how much information or physical access to the project that you will be able to gain. This will be based upon several sub-factors including:
 - Level of cooperation you anticipate from the project managers to visit the site and to review sub-contracts and budgets for materials
 - The difficulty in reaching the physical site based upon distance or security
 - The degree of political will or back-up that the COR is willing to give you to gain access to the project details (individual MPs in your province, Regions and Governorates Affairs Committee, or POs Unit)
- The likelihood of corruption is often based on the degree of corruption associated with similar projects in the past. Examples of projects susceptible to corruption include:
 - Projects that benefit an exclusive group of beneficiaries
 - Projects that include several sub-contracts or materials whose sourcing may not be easily traced
 - Contracts or grants to companies and organizations with little previous experience (who can in, the worst cases, be mere fronts that collect government money and then disappear overnight)
 - Projects with little public visibility or interest that may also have arisen with little public initiative (versus those such as a community hospitals or schools that many people will be awaiting)

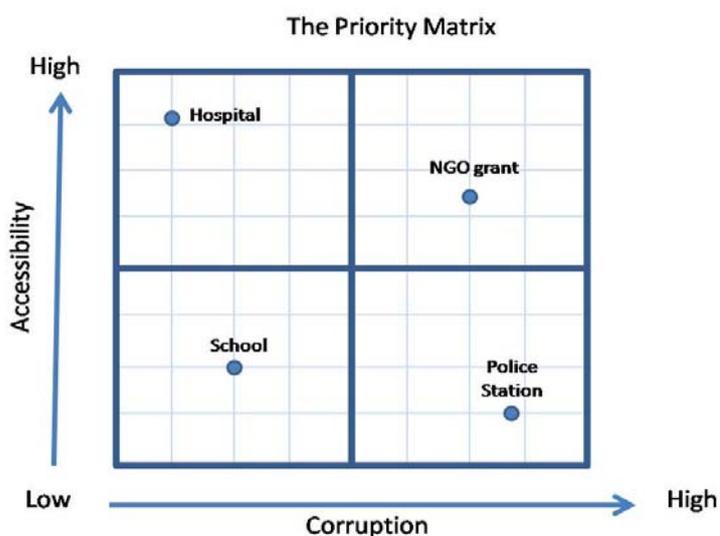
Based upon your familiarity with the community and past projects, you should be able to quickly categorize these projects.

When preparing your oversight priorities, you should also consider projects from past years that remain in operation or under construction. Many large construction projects may take more than one year to complete. Therefore, you should be aware of current projects that were funded by prior years' budgets and put them into your matrix.

You should start by placing each project on the figure below based upon their accessibility and their anticipated levels of corruption (as defined above).



Plot each project with a dot or letter or number to designate where it will fall based upon a score that you will give for each project. Determining the coordinates is simple and you can visualize the plotting of these lines in percentages or fractions. Always begin plotting the bottom line first and then move to the left handed column to locate where it falls in the matrix.



Let us consider first a local hospital that has received a considerable budget allocation to be built as an example.

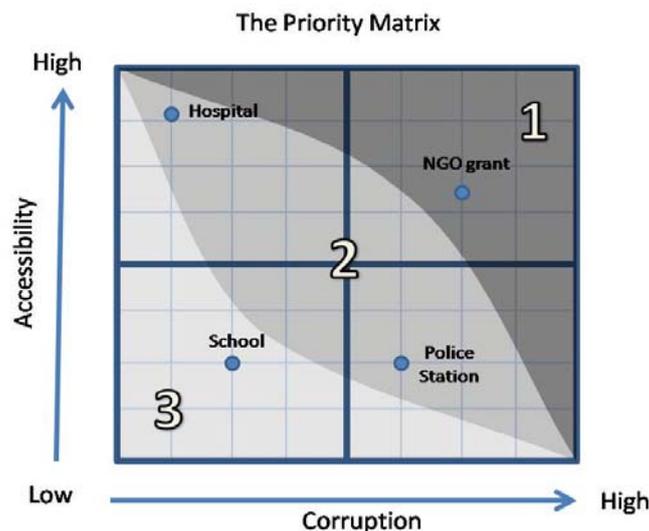
- 1.) We determine the level of corruption is likely to be low, because the high demand by the public for the facility and awareness of the project are very high. It is also a priority of the provincial council, which will also provide oversight. The risk of corruption is considered limited only to the sub-contracting for materials, which may be fixed to offer kick-backs to

the project management if not carefully monitored. You determine the overall likelihood of several people or several layers of people or businesses illegally profiting from it is limited due to the notable project awareness. You estimate that only 10% of the project funds are likely to be pilfered or wasted.

- 2.) The project is located in your provincial capital, less than a mile from the office and there are no major security risks or transport problems to get to the future site to monitor its construction. The provincial council has received a copy of the project's budget and is willing to provide you a copy, giving you sufficient and extensive information, which will allow you to better monitor it. You expect a local contractor to be selected in an open bidding process, but the selection of materials and subcontracts by the prime contractor will be closed, creating some risk of fraud. Therefore you determine that, because this critical information will be limited to a few people, that the accessibility of information is 75%.
- 3.) To plot this individual project on the matrix you should move it to about 1/10 of the way to the left on the corruption index and then move it up 3/4 of the way on the accessibility scale.

You should attempt to locate the other projects in your province using the same method. First analyze each project on a scale based upon the two factors and then use the two scores to plot it on the matrix. Once you have completed the plotting then you will be ready to apply the final step, which is an overlap to assist in determining priorities.

This shaded overlap will assist you in ranking your oversight priorities. As you can see, the first priorities are projects that are most likely to encounter corruption but that can also easily be accessed by the PO's staff. The lowest priorities are those projects that are the most difficult to reach and those that are the least likely to encounter corruption.



In our example, we would rank our priorities as follows:

1. NGO Grant
2. Hospital
3. Police Station
4. School

This matrix is particularly useful when you have more than 10 projects to monitor in your province and you want to justify your ranking methodology.

It should be noted that projects that are likely to be corrupt, but inaccessible are less prioritized than those less likely to be corrupt, but easily accessible. This reflects an attempt to allow you to use your limited time most efficiently. In many cases, oversight activities that lead to successful prosecution of corrupt individuals generates a disproportionate amount of fear, thus bringing parties involved in low-ranked projects to heel.

Monitoring and Reporting on Local Development Projects

Corruption continues to be a significant issue in Iraq. Consequently, the POs should expect to be able to find instances of corruption in every government activity.

Your objective in monitoring should be to minimize this corruption and ensure that state money is being properly spent in the interest of Iraqi citizens.

Your ability to access projects and properly monitor them will be very much limited by both your role as a COR representative and your limited skills as a professional project auditor. While the COR does have the right to provide oversight of the government, which would include contracts and grants, a POs' staff person is not a government auditor.

Corruption is defined by most project auditors as involving fraud, waste, and/or abuse. Below is a table that defines these acts and provides useful examples:

Term	Definition	Examples
FRAUD	<p>Fraud is generally defined in the law as an intentional misrepresentation of existing fact made by one person to another with knowledge of its falsity and for the purpose of inducing the other person to act, and upon which the other person relies with resulting injury or damage. Fraud may also be made by an omission or purposeful failure to state facts, which nondisclosure makes other statements misleading.</p> <p><i>* Promises to do something in the future or a mere expression of opinion cannot be the basis of a claim of fraud unless the person stating the opinion has exclusive knowledge of existing facts which are inconsistent with such opinion. The false statement or omission must be material, meaning that it was significant to the decision to be made.</i></p>	<ul style="list-style-type: none"> • Falsifying financial records to conceal the theft of money • Theft or misuse of government money, equipment, supplies and/or other materials. • Intentionally misrepresenting the costs of goods or services provided. • Soliciting or accepting a bribe or portion of the fraud benefits. • Falsifying payroll information. • Participating in fraudulent acts and failing to notify your superiors or anti-corruption authorities
WASTE	<p>The intentional or unintentional, thoughtless or careless expenditure, consumption, mismanagement, use, or squandering of government resources.</p>	<ul style="list-style-type: none"> • Unnecessary spending of funds to purchase supplies or equipment. • Failure to reuse or recycle major resources or reduce waste generation. • Excessive travel expenses (particularly when failing to carry out official duties)

Term	Definition	Examples
ABUSE	Intentional destruction, diversion, manipulation, misapplication, maltreatment, or misuse of government resources. Extravagant or excessive use as to abuse one's position or authority. Abuse can occur both in financial or non-financial settings. Extension of a government unit's power or authority into sphere outside of its delegated jurisdiction.	<ul style="list-style-type: none"> • Receiving favor for awarding contracts to certain vendors. • Using one's position in government to gain an advantage over another person or business when conducting personal business in another government unit. • Requesting staff to perform personal errands or work tasks or a supervisor or manager. • Making procurement or vendor selections that are contrary to existing policies or are unnecessarily extravagant or expensive. • Unauthorized extension of government power into a sphere to gain control of additional revenue (such as licensing fees or royalties)

It is important to note that many acts of corruption involve more than one of these categories.

Key Questions in Local Oversight

As mentioned previously, your role is not that of a government auditor, thus your access will be limited without the clear authorization of Parliament. In addition, your access to critical information that could expose corruption will be limited. Nevertheless, you still have the right to ask questions on behalf of the COR to increase accountability.

First, when monitoring a project, you should try to access some basic information, including:

Question	Example	Answer
What type of project is being undertaken?	Construction (Hospital, School, Barracks, Road) or Service (Electrical Generation, Trash Disposal, etc...) or Goods (Generator, Trash trucks, etc...), or NGO grant (provide services to widows,	
What is the total cost?	How much was put in the budget? Are there additional monies being contributed?	
How is the contract being managed?	Is it an open bid? Will it be limited? Who is reviewing the bids?	
Did the contracting method follow best practices?	Was it publicly advertised? Where clear criteria are laid out? Was the same information available to all potential vendors?	
Were the amounts reasonable?	Were there abnormally high costs for goods or sub-contracts? Were additional and unnecessary goods/services purchased that are unnecessary to complete the activity or project?	

Answers to these questions should be returned by the project manager, who will likely be working within the ministry or provincial government office that is managing the project. A letter requesting the above information may be drafted on behalf of your office with permission of the Regions and Governorates Affairs Committee or POs Unit. If information from the project manager is not forthcoming, then it may be an initial sign that they are attempting to hide wrongdoing and should encourage further questions.

Remember, you will not have the resources or investigative skills and authority to look at every document, bid, and proposal to uncover corruption. Nevertheless, your presence and interest will be enough to deter some of the more obvious forms of corruption. Your primary goal should attempt to ensure the projects listed in the budget and approved by Parliament in your province are moving forward. Deviations should be reported to your Provincial Office and the Regions and Governorates Affairs Committee for further investigation.

The Commission on Public Integrity is responsible for prosecuting government corruption. It can be an ally and a useful source of information if you suspect or uncover corruption.

Ethical Principles

When participating in oversight and investigations, maintaining your high ethical standards is critical. Most important is that you also carry out your role impartially. Here are some tips:

1. Avoid private discussions with project managers that do not contain additional witnesses that can verify statements if any wrongdoing is found during a discussion.
2. Never consider offers to join in a corruption racket, because, if caught, the punishment for you as a person responsible for oversight will be even higher.
3. You are not a law officer or professional auditor, so always maintain a necessary level of distance and utilize the appropriate anti-corruption officials to carry out the full investigation when you believe enough material has been collected to determine that wrongdoing has occurred.
4. When detecting corruption, avoid declaring guilt as your role is only to identify and monitor, not to pronounce legal verdicts.
5. Do not selectively pick your targets based upon political affiliations, ethnicity, religion, or tribalism. *The priority matrix discussed in the previous section assists you in demonstrating that you have objectively identified your targets.*

Finally, the Iraqi civil servant code of conduct applies to you and should especially be adhered to when conducting oversight.

4.3 Participation and Coordination with Provincial Council

The second major task of the Regions Unit in a provincial office is to coordinate and liaise with the POs. This role can also develop into a role of an interlocutor whereby messages are relayed between the COR and Provincial Council. The section below provides relevant information on the powers and authorities of provincial councils. As they are a new institution to Iraq and currently developing their role and necessary legal precedents, it is important for you to understand their powers.

Iraq's provinces, including the Capital city and the Kurdistan Region, are recognized in the constitution under: SECTION FIVE: POWERS OF THE REGIONS CHAPTER ONE: REGIONS, Article 117 to including the following powers:

First: The regional authorities shall have the right to exercise executive, legislative, and judicial authority in accordance with this constitution, except for those powers stipulated in the exclusive powers of the federal government.

Second: In case of a contradiction between regional and national legislation in respect to a matter outside the exclusive powers of the federal government, the regional authority shall have the right to amend the application of the national legislation within that region.

Third: Regions and governorates shall be allocated an equitable share of the national revenues sufficient to discharge its responsibilities and duties, but having regard to its resources, needs and the percentage of its population.

Fourth: The regions and governorates shall establish offices in the embassies and diplomatic missions, in order to follow up cultural, social and developmental affairs.

Fifth: The Regional Government shall be responsible for all the administrative requirements of the region, particularly the establishment and organization of the internal security forces for the region such as police, security forces and guards of the region.

The Kurdish Regional Government and its three provinces are not covered under this section of the Iraqi Constitution as they have a separate regional government and distinct powers not possessed by the other provinces.

The Iraqi Law on Governorates establishes the governments of the provinces, including the election and role of the Provincial Councils, Governor, and District Councils. Article 7 defines 18 separate powers accorded to the Provincial Councils, which this section will analyze. Since the law is complex, this manual has enclosed the interpretations of the powers that were completed by the Local Governance Project (LGP) implemented by USAID that works in developing the role of the provincial councils. There are many useful materials on the provincial councils and their powers that you can find at the website:

(English Version) <http://www.lgp-iraq.org/index.cfm> and (Arabic Version) http://www.lgp-iraq.org/index.cfm?andsetLocale=ar_IQ. You are encouraged to study these materials to better understand the mission, role, and powers of the provinces.

The most important powers stated in the **Law on Governorates** relevant to your role as a liaison are detailed below with the interpretations:

1. Issue local laws, instructions, by-laws and regulations to organize the administrative and financial affairs so that it can conduct its affairs based upon the principle of administrative decentralization in a manner that does not contradict the provisions of the Constitution and federal laws.

This paragraph gives the governorate council the authority to issue local laws, instructions, by-laws and regulations as noted earlier, the Constitution (Article 115) gives priority to local laws over federal laws in the event of conflict, except over matters that are the exclusive authority of the federal government according to the Constitution. This provision in the Law seems to give primacy to federal laws in all matters. This conflict likely will have to be resolved by an appropriate court.

2. Outline, in the development of the plans for the governorate, the general policies in coordination with the competent ministries.

In the Law, coordination with the competent ministries [federal] is not defined. Article 114 of the Constitution lists powers shared between federal and regions/governorates, and Article 115 refers to powers belonging to regions/governorates. Coordination, if it interferes with the priority given to regions/governorates in legislation related to local authority may be determined to be unconstitutional.

3. Prepare the council budget to be included in the general budget of the governorate. Approve the governorate draft general budget plan referred to the council by the governor, and transfer funds between its chapters with the approval of the absolute majority of the council members, provided that the constitutional criteria shall be observed, and submit to the Ministry of Finance of the federal government to ensure its uniformity with the federal budget.

The law gives the governorate council authority to review, change and transfer funds among chapters of the draft governorate general budget. The draft general budget includes budgets of the governorate council, district and sub-district councils, governor's office, and offices of heads of administrative units (qa'im maqam and mudiyar). In the case of Baghdad governorate the municipality of Baghdad (Amanat) shall be included.

The governorate draft general budget does not include the budget of the federal ministries. The law does not give the governorate council and the executives of the governorate the authority to review and approve the budgets of central ministries, directorates and offices that are carrying out functions within the governorate.

The law does not devolve any authority or jurisdiction to the regions/governorates of the directorates under federal jurisdiction, such as health, education, transportation and environment, as well as the directorates of the Ministry of Municipality and Public Works (water, sewage and municipalities). These directorates are administered and controlled by their respective line federal ministries.

The law also excepted from the draft general budget the courts, military units, universities, colleges, and independent institutions in each governorate.

Currently, and in the Law unless other devolution occurs, the provincial budget is limited to funds allocated from the federal budget for investment decisions made by the councils and governors. By agreement between a central ministry and a region/governorate, power and authority may be transferred (in either direction).

The Ministry of Finance is authorized to object to the transfer between chapters and send back the entire budget to the council for amendment to ensure constitutional criteria is met, and its uniformity with the federal budget.

4. Monitor all the activities of the local executive authority excluding the courts, military units, colleges and institutes in order to ensure its good performance with the exception of offices under federal jurisdiction.

This explicitly prevents the provincial council from providing oversight of the federal government entities, which is the responsibility of the COR.

5. Approve the local security plans submitted by the security agencies in the governorate through the governor in coordination with the federal security agencies with due consideration of their security plans.

The Governor is responsible for coordinating with security agencies in the governorate and federal security agencies, and to present the security plans to the governorate council for approval.

You can refer to the Law on Governorates and materials on the LGP website for further information on the role of the Provincial Councils in Iraq.

4.4 Developing a Liaison Role

Your role, as stated in the mission of the Regions Unit, is to serve as a liaison between the Council of Representatives and the Provincial Councils. The Provincial Councils are still new to Iraq's governance landscape and are currently developing their mission at the same time that the POs of the COR are developing their roles. This provides an opportune time to develop your relationship with the provincial councils.

When serving as a liaison, you should remember the following:

- Your primary role is to transfer information to and from the Council of Representatives and not to make decisions or represent the COR beyond your position as a staff representative of the Parliament
- Always consult the Regions and Governorates Affairs Committee if you are put in the position of representing the Parliament in areas beyond your position and capability
- Share information on local budgets, planned MP visits, and other useful information with the Provincial Council and in turn they will provide useful information to develop your relationship where it is mutually beneficial
- Encourage Parliamentarians to regularly engage with elected Provincial Council Members, particularly on matters related to local development
- Attend as many public meetings as possible of the Provincial Council and make yourself a permanent presence at their meetings and events
- Remember to ensure that your style and attitude will influence the Provincial Council's level of comfort in its relationship with you

Section 5: MP Affairs Unit and Logistics Support

5.1 Mission of the MP affairs Unit

The **MP Affairs Unit** of a provincial office is overseen by the **Members Affairs Parliamentary Development Committee** in the COR and its primary functions are:

- Organize the schedules of the MPs from that province and assist with organizing necessary logistical and security resources
- Organize appointment requests with institutions, civil organizations and constituents so that they can meet the MPs from their province
- Write reports on the activities of the MPs of the province to be sent to the MAPDC in the COR

This function is most closely related to the representation function of a parliament by ensuring access of the people to their parliamentarians. This unit can be best organized by the incorporation of staff resources specialized in logistics and event planning.

The Committee's official jurisdiction is stated in Article 109 of the Rules of Procedure as:

Member's Affairs and parliamentary development committee shall be in charge of the following:

1. The Committee shall be in charge of following up all affairs of the members of Council of Representatives.
2. Verify the conditions that must be met by each Member of the Council of Representatives.
3. Work towards improving the MPs skills by exposure to other countries through study tours and other exchanges.

5.2 Primary Tasks in Supporting Parliamentarians

The MP Affairs section is primarily responsible for supporting the logistical, security, and staffing needs of parliamentarians and Committees. The key skills needed within this section are event organization and secretarial skills. The section below discusses some of the primary tasks of staff within this section. Many of these tasks were also discussed in the section on a Model Provincial Office.

Each of Iraq's provinces has members who were elected to the COR from an electoral list. As most MPs are elected from their home province, they have particular knowledge of the needs and issues affecting the region. The role of the POs is to assist the parliamentarian in reaching out to his or her constituency. While parliamentarians were elected from electoral lists, they still have an obligation to represent the broad interests of citizens. This is where the PO can provide support by de-politicizing the outreach process. The office can assist in the development of events that are non-partisan and target a broad cross-section of the population, thus encouraging more Iraqis to participate actively in the democratic process.

Some of the most common needs of individual MPs include public meetings with their constituents,

Common Events Organized for Deputies:

- Public Meetings
- Press Conferences
- Visiting Government Offices and Centers
- Attending Local Events (funerals or festivities)
- Meeting Local Government Officials
- *Can you think of other official events?*

press conferences on issues or legislation, or visits to government offices to observe delivery of government services. There are also other less common support tasks provided that allow members to represent their province, such as attending a variety of community events. When attending events, parliamentarians will require a range of support including logistics, security, staffing, and media outreach. These are tasks and skills that provincial office staff should specialize in.

Logistical Support

Logistical support is needed by MPs to organize public meetings, visit government buildings or to attend other public events. Here are some resources that you should seek to have available in your office for visiting parliamentarians:

- A government car and driver
- A microphone and speaker system (generators if necessary)
- Contacts in government offices, including local/provincial government
- Contacts in civil society and media

Experience in supporting a parliamentarian in a variety of settings will better prepare you for the various needs and challenges you will encounter.

The most common type of visit by a MP is a **public meeting**, which requires significant coordination of resources and logistics. The direct interaction between a parliamentarian and their constituents is one of the best demonstrations of the democratic process. Supporting these events should be a priority of all POs. Public meetings can either focus on a single topic or can act as an open forum, in which constituents are invited to raise any issue. Public meetings can also target a single constituency, such as senior citizens, students, farmers, or merchants. Note that narrowing the audience tends to narrow the discussion. Regardless of the audience, the event will require significant advance support and planning by PO staff.

Public meetings can also take the form of 'open office days,' during which parliamentarians make themselves accessible to the general public to answer a variety of concerns and receive feedback on legislation, government services, or other matters raised by constituents. Some parliamentarians believe that an 'open door policy' captures the essence of democracy. At present, Iraq's security situation may preclude some MPs from being so accessible. However, MPs' interest in holding 'open office days' may increase in the future.

Supporting Security

It is generally necessary to have security at public and private events to ensure the safety of the parliamentarian and the security of those attending the event.



Photo Credit: RFE/RL

<http://www.rferl.org/content/article/1347679.html>

In 2007 several Afghan parliamentarians visited the opening of a sugar factory in Baghlan Province. During the ceremony a bomb went off and killed six parliamentarians and 64 other attendees, mostly school children there to greet the deputies. It was reported that individual security guards belonging to the Parliamentarians opened fire into the crowd killing more persons. The bombing was attributed to the Taliban.

This tragic event was not prevented because the security forces at the site did not coordinate security roles and this confusion likely allowed a bomb to enter the venue. The lesson is that security forces need to coordinate their roles in advance of the event and parliamentary bodyguards need proper training to prevent the unnecessary gunfire following the event.

As a PO staff member organizing an event, you will be responsible for determining the security needs of the event. Building relationships with the local police and other security services will assist you in making this determination and ensure the appropriate level of resources are provided.

It is important that you be candid with parliamentarians when discussing the security plan and outline any potential risks...

Iraqi Parliamentarians often have their own security services or bodyguards. It is important to ensure their participation in the planning phase of an event and to clarify responsibilities. A successful event should have meetings in advance between the all security providers to allocate responsibility.

We have seen in Iraq that a number of public events have been held successfully when security is well planned and potential threats are prevented through the use of "smart security".

Staffing Support

Frequently, MPs will also want specialized staffing support when they meet their constituents. This may include the services of a note-taker, a professional transcriptionist or, when necessary, the services of a translator or interpreter. PO staff should have quick access to any of these services when the need arises.

Media Outreach and Press Events

Parliamentarians rely heavily upon the media to broadcast their messages to the public. This is why the COR has dedicated significant resources to support the media's right to access Parliament and broadcast parliamentary events. Most provinces have their own local media outlets, including newspapers, radio stations, and television stations. The number of journalists and citizen-journalists in Iraq is growing. Supporting a parliamentarian in reaching out to local media is one of your most important tasks. MPs can interact in many ways, including press conferences, formal statements, and interviews.

Organizing a press conference is similar to holding a small public meeting, except the attendees will need less material support and will have different logistical needs, including access to electricity and security clearances for their recording equipment. Media representatives should be treated as important guests because they will shape how the event is portrayed to thousands of their viewers, readers, or listeners.

The most important resources for supporting media events are contacts inside the media. In addition to collecting contact information, you should seek to cultivate relationships with senior editorial staffs in relevant media outlets.

Allowing consistent media access is essential to maintaining these relationships. Note that it is also important to engage emerging media outlets, including citizen-reporters, particularly because internet access is proliferating across Iraq.

Staff Outreach

In some cases, MPs may ask PO staff to represent them at various events. These types of events may involve liaising with local government. You may be asked to convey a message on behalf of a MP or relay the news of an event. Forwarding this information should be done in the form of a letter or memorandum explaining the events and any follow-up that was requested or may be required.

In many cases, MPs will request that they be represented at a festival, community event or at times, a funeral. In most cases, political party representatives should be sought, unless the MP wants to convey an explicitly non-partisan message. In those instances, it may be appropriate for a PO staff member to attend the event on their behalf. As these types of requests are unusual, you should seek the approval of your superiors before attending.

5.3 Primary Services to Committees and Blocs

The needs of blocs and committees differ from those of individual MPs. Committees may request access to specific sites or audiences related to their mandate. Committees and blocs may also request information about public events.

Field Hearing

Committees often wish to hold field hearings. This event usually occurs when a parliamentary committee wants to collect information directly from the source.

Some examples of justifications of field hearings include a committee reviewing a response to a natural disaster and a committee studying the impact of an agricultural policy on farmers

Accommodating several parliamentarians for an official event will require significant logistical and staff support. You will need to ensure that equipment, transportation, hotels, meals, and security are all arranged for parliamentarians and any accompanying committee staff. To assist you in meeting the needs of committees, it is suggested that

you get a representative of the committee to assist you in preparation and planning.

The following section provides a step-by-step guide to facilitating field hearings. Ideally, hearing venues will relate to the hearing topic. For example, a hearing related to agriculture could be held on a farm, rather than inside an urban conference center.

Information Gathering

Committees and blocs may frequently request information that they cannot access in Baghdad. They may want something as simple as news-clips or notes from a local television or radio broadcast. They may want information relating to a local government decision. They may want information about government services in the province.

Being able to quickly and adequately respond to these information-gathering requests can greatly assist the legislative and oversight process by providing useful information from the field. Properly serving committees and blocs helps better connect the provinces to parliament.

5.4 Organizing a public event

Organizing a meeting between parliamentarians or committees and the public is a vital skill for provincial staff and is largely the responsibility of the MP Affairs Section.

This section will walk staff through the steps in organizing an event and includes a checklist to assist in planning. On the right hand column you will see an example of an event and some challenging scenarios to contemplate which is used to give you a practical feel for organizing a more complex event.

The ideal time to begin organizing a complex event is about seven 7 days in advance. While advance notice beyond one week is useful, it also brings additional risks of creating unnecessary awareness of the event that could attract the attention of those who wish to undermine the government. Therefore, seven days is ideal, but many times you may be given less notice and be forced to organize the event quickly. To mitigate the challenges faced in short timeframes, you should identify easily adaptable venues that can accommodate a range of events,

Some examples of a topical meeting with core audiences and can be:

- Open forum on agriculture with farmers and warehouse/bazaar purchasers and staff
- Discussion with parents and teachers on the state of education
- Meeting with elderly people on public services and rations
- Open forum on basic services (electricity, water, sewage, and trash collection)
- Meeting with women on women's rights and violence
- Meeting with university students on issues affecting them
- Meeting with bazaar and trading employees on the economy
- Open forum on security, terrorism, and stability
- Meeting with the Christian community on emigration
- Discussion on education standards with madrasa students
- Meeting on rations and basic supplies with a local community that has high levels of poverty

Determine the Event's Parameters

Determining the topic, the audience, the format, and the date are the initial tasks in organizing a public meeting. These will most likely be determined by the MP making the request. However, an effective MP Affairs Section will be able to assist the parliamentarian in making these determinations.

The topic of the meeting can be generalized, allowing the audience to discuss a wide range of topics with the MP. These are generally called "Town Hall meetings".

1. The Provincial Offices Unit in Baghdad calls your provincial office and tells the Office Manager that the Committee on the Environment plans to visit and hold a field hearing on an oil leak that has contaminated a local river used by villagers for fresh water and fishing.
2. They will arrive on March 16, 2010 via a military helicopter and stay for only three hours. They have asked to tour the site, interview managers, and then hold a public meeting with affected villagers.
3. You are now responsible for organizing the public meeting with village. It is March 13.
4. What are your next steps?

Alternatively, a specific topic for the event may also be selected. If a parliamentarian specializes in an area, particularly within their committee's jurisdiction, they may choose to have a topical meeting. If there are pressing issues in a certain area or population, then they may also want to focus on that topic. Organizing a meeting around a specific topic both helps limit the audience and focuses the MP's preparation.

Once the topic has been determined, identifying the audience will be much simpler. If it is an open meeting, then the likely audience will be those from the immediate area, such as the village or city in which the event will be held. If the meeting is based around a topic, then you will be easily able to determine your audience. For example, if the topic is agriculture, then the audience will include farmers and distributors, but not police officers. Once you have determined your audience, then you will need to decide how to best promote their attendance. It helps to select an audience that is easily accessible and will attend events as opposed to one that may feel uncomfortable attending a public meeting, such as a minority group that feels threatened by the police or the majority population.

You will be informed whether the meeting will involve just a single MP, several parliamentarians or a committee. If it is multi-member event, with members from only one bloc, then you should consult the COR provincial offices management for guidance, as the event's organization should most likely be carried out by the political party.

You may want to suggest including a moderator for most public events. They can assist in guiding and managing the audience and participants through the event. They lay out the ground rules and assist the parliamentarian in managing the crowd, particularly unruly participants or those who are excessive in their questions or comments. They serve a role similar to a referee in a soccer match who maintains order and enforces basic ground rules. Sometimes, MPs may choose to moderate the event by themselves. This carries additional risk, as they will have to deal directly with unruly participants and their political standing can be diminished if they cannot disengage from an argument.

When appointing a moderator, you may select someone local and political, such as a mayor or someone less descript, such as the office manager of the PO. There are many options, but you will want to avoid engaging a moderator who may overshadow the MP and draw attention away from the event.

The final aspects related to the format that need to be determined are the "ground rules." The primary purpose of most public meetings are for the parliamentarian to listen to his or her constituents and attempt to respond to as many of them as possible. Generally, a public meeting, like a town hall, will open up with a small speech by the MP about their work in parliament and recent events or legislation. Then the audience will be allowed to ask questions. There should be a limit on the questions, such as asking persons to ask no more than one or two questions related to the subject. Once the MP has responded, another participant may ask a question. The event should have a clear time for completion that the audience is aware of. Most public events do not last more than 90 minutes. The audience should also be instructed to ask questions and keep the political statements or direct challenges to a minimum. It should be the role of the moderator to enforce these rules.

Finally, the parliamentarian or parliamentarians will give you a date and time for the planned event. This time is likely fixed, but you should attempt to insure that it does not conflict with other major events, holidays or festivals.

1. The mayor of the affected village to serve as the host and possibly moderator. You inform the Committee on the Environment.
2. You learn that the mayor has family connections to the oil company and political connections to a major political party.
3. The Committee on the Environment asks the Committee's Staff Director to serve as the moderator.
4. You are asked to inform the mayor that he can only observe but not speak publicly at the event because of his family connections.
5. Was the decision to bypass the mayor necessary from maintaining neutrality, or could the mayor have simply been asked to remain neutral in his role?

Creating an Organizational Committee

It is recommended that any complex or large event should have an organizing committee to assist in the planning and delivery of the event. If the event is simple, then it can likely be organized without a committee.

The organizing committee is typically made up of your office colleagues and the local government staff members who can assist you. Enclosed are the following recommended positions and the tasks they should assume.

Event Manager- *you*

- Coordinates all team planning.
- Primary briefing person to MP and local government officials.
- Responsible for the design of the event.
- Personally invites local VIPs and dignitaries to attend.

Security Coordinator- *parliamentary security staff or local police can fill this role*

- Liaises with police, security, and military forces.
- Arranges coordination between MP bodyguards and local security forces.
- Protects the security of information surrounding the event.

1. This has become a large event, so you need to form a committee to assist you. You are now the director.
2. The Governor has offered his Deputy Police Chief of the province to lead security coordination. The Governor has also offered his Press Secretary to assist as the media liaison.
3. Your committee is now dominated by the Governor's staff.
4. Will this affect the impartiality of the event and force you to hand too much power over to a non-federal and non-parliamentary power? Do you invite one of your staff to fill the media position, even though he has little experience and few contacts within the media?

Logistics/Equipment Planner- *MP Affairs unit or local government employee*

- Plans for all equipment needs (tables, microphones, cords, chairs, etc...) to be present at event.
- Negotiates any fees *and attempts to get items donated or borrowed at no cost.*
- Ensures additional staff and volunteers are present and understand their functions.
- Provides badges for event staff, if necessary.

Public Affairs Liaison- *optional, but useful if a large media presence is expected*

- Invites journalists and briefs them.
- Organizes the creation and distribution of public invitations and posters;
- Designs the public affairs strategy for the event.
- Coordinates the entrance of media and their equipment.
- Arranges additional post or pre-event media access (if part of the plan).
- Issues initial and final press releases.

Select Proper Venue

After the topic, audience, format, and date have been determined, then you should immediately begin to determine the venue.

Here are some basic tips on determining the proper location:

- Ensure the site is the right size and is not too large, creating the appearance of a small crowd, nor too small, forcing many hopeful attendees to not participate due to the lack of available space;
- Make certain the site is accessible to your crowd;
- Do not ordinarily pay money for the rental of the venue as there should not be a cost to people or the government to host a public meeting, and;
- Select politically neutral locations that are not party headquarters or associated with organizations that are seen as partisan or exclusive.

Ensuring that the site is accessible is crucial. Site accessibility can be interpreted to mean several things, but most importantly it means that your potential audience is not hindered from attending. For example, if hosting older people or disabled soldiers and police, then ensure that the building and rooms are completely accessible to wheelchairs.

In addition, the addendum includes a security checklist to assist you in selecting the proper venue. This checklist was prepared on procedures that the US, South African, and Iraqi protection forces use when selecting sites for senior officials to hold public meetings. It should be useful in assisting you in determining the proper facility when there is a security risk to parliamentarians and attendees.

Prepare Logistics and Security Plan

There are also logistics that need to be put in place to prepare for such an event. Here are some logistical considerations to remember when planning an event:

- Sound system- is there a need for a sound system and if so, can you use an existing one at the site or borrow one? If there is a frequent need, can the provincial office procure a portable speaker system to keep for future events? You need to ensure that you have the appropriate amount of microphones and cords present. Also, make sure at least one person is

1. The offices of the oil company are available, but they are not ideal as it is not a neutral location for the hearing on a spill they created. You continue to search.
2. There is a local school in the village that is available, but it does not provide a good backdrop for the media. The school cafeteria would be comfortable to hold the attendees and would need little preparation.
3. There is a warehouse belonging to a state factory near the river that is available, but you will need to provide electricity to the site. Given its location, the security chief believes it is the safest of the prospective venues because it would allow MPs to reach the venue directly from the air.
4. You can also hold the event at local park along the river, but it has rained much in the past few days and you will run a risk of foul weather. But it does, provide a great backdrop that includes the oil slick.
5. Which of the last 3 sites would you pick and which reason is most compelling?

1. There is a sound system, but it has the capability to support only three microphones. You have five MPs, a moderator, and at least one microphone reserved for invited speakers to share.
2. A political party has offered their system but you hesitate.
3. The provincial council has a system but it is complex and requires a competent operator and is not available because of a pre-scheduled meeting until one hour before the meeting, leaving little time to set up or guarantee their arrival.
4. Which option do you believe is the best?

present in the event that understands how it works. Many public events have been ruined by a blaring microphone squealing into the crowd.

- Appropriate seating and waiting areas- are there enough chairs? If not, can you at least reserve the chairs for the older and disabled persons, by marking them appropriately? If the event has only standing room, then you should limit the duration so that people remain comfortable.
- Temperature control- does the location have adequate ventilation, air conditioning, or heating? If not, can you borrow some fans or heaters? Can you schedule the event at a time of day when the temperature would be most comfortable? If the event will be held outside or in a place that will cause the crowd to become too hot, then can you ensure that water is provided or it is not held during fasting periods?
- Electrical outlets and cords for the media- If you expect media to be present then you need to ensure that they have access to electricity and extension cords to run their video cameras and provide necessary lighting. You can even ask a trusted representative of the media to view the venue with you and provide suggestions on needs of the media in advance until you are more comfortable with understanding their specific needs.
- Translation for non-Arabic speakers- If the crowd includes non-Arabic speakers and holding the event in one language would exclude a minority group from understanding then you should provide translation services.
- Accessibility for the disabled- this has been mentioned previously, but with the numerous persons in Iraq that are physically disabled, it is critical to ensure they have a right to see their elected representatives, especially as many are wounded and have paid a personal price for democracy in Iraq. You should ensure their access to the event by placing appropriate ramps and give them preferred seating near the front.

1. The selected location lacks electricity.
2. The event will be at 16:00, so there is no need for lights and you decide to forfeit using a generator.
3. Two television stations have said they cannot provide 'live' coverage without a generator.
4. The local military commander has offered a generator but it is loud and the cables will not allow it to reach and be located far enough to quell the noise.
5. Do you risk the extra noise to provide live coverage to this major event or cancel the use of a generator? With no answer from the Committee, what decision would you make?

1. You can safely accommodate only 100 people and you expect many more to come.
2. You can announce the time and location in advance on television, but you fear thousands may try to attend and you will be unable to accommodate them.
3. You can ask the mayor to invite those members of his staff whom he feels are most interested in the event, but you worry about his political bias. You feel he may try to downplay the effect of the crisis by inviting people less affected by the tragedy.
4. The clean-up crew from the Ministry of Environment is assisting and they may be able to organize those most affected as they have been cleaning their property and tallying their losses. You have never worked with them and are uncertain of their loyalties or organization.
5. How do you invite attendees and participants and why?

Public Announcement and Media Notifications

Timely public announcement and informing the media are necessary to ensure full attendance and participation at the event. There are two considerations in making a public announcement: timing and placement. In secure areas in Iraq, you should feel comfortable announcing the event, time, and location a week in advance to the public. In less secure areas, based upon the advice of local security, you may want to announce the event only one day in advance and ensure the location is secured.

There are also a variety of vehicles for announcing your event. If you are seeking a large crowd, typically over 1,000 people, then you can ask local radio stations and newspapers to advertise the event. Of course, a total attendance of 1,000 people is great for a rally, but not very conducive to a practical exchange. Therefore, you should work to advertise the event in a way that will draw a more practical number of attendees to achieve your objective of a fair exchange between parliamentarians and the needs of the local community.

If you are holding a general public meeting in a village and would be happy with 50-100 attendees, then you could pass the information through village and tribal leaders. It is important to clearly express that you want a wide variety of people represented in attendance, especially women. A simple discussion with community leaders tasking them to invite members from the community is usually all that is necessary to provide needed advertisement for the event.

If the audience you are seeking is narrower, then you should identify a focal contact within that community. For example, if you plan to meet with farmers in a region determine if there is a local organized group of farmers that you can meet with and ask them to ensure their members attend.

It is important in a democracy to acknowledge that the principle of equal suffrage applies, and that women and other groups are not represented by elders, but that all groups participate equally. While it may be easy to just speak to elders who fail to acknowledge the rights and privileges of younger people and women who in traditional societies have little voice, it is not democratic. Women and young people have their own sets of concerns ranging from health and education to employment and security that may not be as well understood or accepted by the community elders. Therefore, it is important that a diverse array of attendees participate in public meetings with parliamentarians.

The media should be informed of the event at the same time as the public. It is not necessary to inform the media in advance of the public, as they traditionally can arrange for their journalists to attend the event with little notice. If you wish to use the media to announce the event, then you should do so in advance and prepare a standard press release.

1. On the day of the event the weather goes above 45° degrees and the parliamentarians are one hour late.
2. You have prepared for the event with five boxes of water distributed to the participants but, it now has quickly run out and the attendees are complaining because security confiscated their water at the checkpoint.
3. The nearest store will provide you with two boxes immediately, but it will cost you 20,000 dinars and you are not sure if the parliament will reimburse you. Besides, this is a high price for bottled water.
4. The police captain on site has called for more boxes, but because of the location they may take one hour to arrive.
5. Remember, the local water is polluted, so how do you remediate the situation?

Final Arrangements and Day of Event

You should strictly monitor the progress of the event's set-up and brief the MPs on the progress of the event and potential risks. If it is a large and complex event, then it is useful to have "count-down meetings," during which you can bring your team together daily to update you on the status of their progress and provide direction as needed.

On the day of the event, you need to ensure that all final preparations have been made and that all participants, especially the parliamentarian and moderator, have been fully briefed on what to expect and also what cannot be predicted. It is best to be honest and up-front during your briefs, so that you do not find yourself after the event being accused of withholding information or not adequately performing.

Event Follow-up

There will likely be some follow-up needed after every public meeting. Enclosed are some examples:

- **Constituency Inquiries:** there will likely be persons who have attended in order to direct their complaints and inquiries directly to the parliamentarian. It is suggested that a staff member from the Complaints Unit be present at the event to interact with these constituents, take down their information, and assist them.
- **Event Reporting:** it is useful to take notes and report a synopsis of the event and to send the summary to both to the Provincial Offices Department and MPs for their records.
- **Media Coverage:** you should monitor the newspapers, radio, and television stations for their coverage of the event and include a synopsis of their coverage in your report.
- **Express gratitude to volunteers:** there will be many people who assisted in the event, including those hosting the venue, security forces, and any interlocutors that assisted in preparing invitations, organizing logistics, or in reaching out to the media, . Those people should be thanked for their service through a follow-up phone call or letter.

The Event Planning Checklist

The enclosed checklist is useful for when planning an event to assist you in insuring that every detail is considered when event planning. You are encouraged to use this checklist when planning a public meeting.

Checklist for Organizing a Town Hall Meeting

- Determine Topic, Audience, Format, and Date**
 - Topic and Audience
 - Open Town Hall: _____
 - Specific topic: _____
 - Specific Audience: _____
 - Format
 - Opening Statement
 - Moderator
 - Additional Speakers or Presenters

- Date and Time of Event

□ **Organizational Committee**

- Manager-
 - Coordinates team planning
 - Briefs and liaises with MPs
 - Responsible for event design
 - Invites VIPs and dignitaries
- Security Coordinator-
 - Liaises with security and military forces
 - Ensures site security
 - Arranges coordination between MP bodyguards and local security forces
 - Protects security of information surrounding the event
- Logistics/Equipment Planner-
 - Plans for all equipment needs (tables, microphones, cords, chairs, etc..) to be present at event
 - Ensures additional staff and volunteers are present and understand their functions
 - Provides badges for event staff
- Advertising/Media Liaison-
 - Invites media and public
 - Designs plan to inform public
 - Coordinates entrance of media and their needs
 - Arranges additional post or pre-event media access (if planned)

□ **Venue Location**

- Proper Size and location
 - Not too large, creating high expectations
 - Accessible to your specific audience
- Compliant with Security Checklist
- No cost- *there should not be a cost paid to allow the public to meet their representatives by the government or people*
- Politically Neutral (not party headquarters or affiliated with organizations that would exclude certain persons or populations)

□ **Logistics Arrangement and Needs**

- Sound System
 - Is it needed?
 - Is there one present or can be borrowed?
 - Does it work and do you have the necessary cords and microphones?
- Appropriate seating and waiting areas
- Temperature control (fans or heaters)
- Electrical outlets and cords for the media
- Appropriate lighting
- Translation for non-Arabic speakers
- Accessibility of disabled

□ **Security Plan**

- See separate checklist
- Coordination meetings between various security forces protecting event and VIPs

□ **Media and Public Announcement**

- Invite media to attend
 - Request that they confirm their attendance in advance to facilitate entry
 - Send letters of invitation outlining their purpose and confirm their entrance
- Request media advertise the event
 - Press release announcing the event details
 - Outlining topic or audience requested
 - Distribute to TV, Radio, and newspaper outlets
- Public announcement
 - Posters or notices put in public places like local government offices, post offices, or telephone exchanges, or shopping centers/bazaars
 - Notification at other public events
- Ensure security and do not announce event location more than 2 or 3 days in advance

□ **Final Arrangements**

- Briefing parliamentarians
 - Realistic expectations of attendance
 - Agenda of event explained
- Location arrangement
 - Site secured
 - Decorations and banners

- Appropriate seating and ventilation
- Handouts or literature in place
- Hold countdown meeting with all parties
 - Ensure everyone understands their role and position
 - Distribute badges
 - Briefings from all team members and all questions are answered

□ **Day of Event**

- Staff in place and possess appropriate badges
- Security arranged and attendees cleared in an efficient fashion
- Staff to follow-up on individual concerns are in place and have appropriate contact information
- Moderator prepared and opened
- Media is accommodated

□ **Event Follow-up**

- Organizing committee meets afterwards to provide a review of the event and consider improvements
- Notes are forwarded to appropriate persons in Baghdad
- Comments and suggestions are noted by MPs
- Citizen complaints are followed-upon by Complaints Staff
- Thank-you letters are delivered to dignitaries and volunteers

Event Security Checklist

This checklist only covers a portion of the safeguards that should be taken in order to minimize security risks to the public and VIPs during a public meeting.

Location/Facility Features

- ✓ The facility should have more than one street leading to or from the location with nearby access to a major road. This will allow more than one way to reach the facility.
- ✓ The building should be set away from the street at least 10 meters to allow blast protection or the street can be closed during an event
- ✓ Parking should be controlled and no cars that are not specially authorized should be allowed within 20 meters
- ✓ You should ensure that the facility has a back-up generator or battery powered lights if you are holding the event during hours of darkness
- ✓ The facility should not have lots of outdoor trash, crates, sheds, bins, or other places to hide weapons or people
- ✓ The building or facility should have some form of a perimeter wall or fencing protecting the facility. If not, then it should be secured with guards and a perimeter established

Securing the Facility

- ✓ There should be barriers to prevent people from breaching the facility without a physical search for weapons and bombs
- ✓ A diagram of the facility should be made and more than one exit route mapped
- ✓ The facility should be secured by at least one guard overnight in advance of the event to ensure that security is not breached overnight
- ✓ The facility manager should be able to know how many keys have been distributed
- ✓ A room should be designated as a "safe haven." This room should not have windows and be used to secure the MP or VIP in an emergency when you cannot access the vehicles or road. This room should be near the meeting hall and hallway clear during the event.

Security Coordination

- ✓ If the MP has body guards, they should meet in advance with the police or security forces at the facility to coordinate the arrival/departure of the MP and also to coordinate actions if a crisis occurs.
- ✓ Appropriate badges should be distributed to all volunteers and security that distinguish them and give them greater access to the facility.
- ✓ What is the communication between security
 - Radio- does everyone have the same frequency and terminology?
 - Mobile Phone- have numbers been exchanged?
- ✓ What is the level of training for the security forces? Is it sufficient given the security threats in the region?
- ✓ The nearest hospital or clinic should be mapped out in case of a medical emergency.

Comfort

- ✓ Water should be provided to the public waiting for the event
- ✓ Toilets should be made available for the public and volunteers
- ✓ Ventilation including fans should be provided in hot temperatures and during cold temperatures heaters should be in place
- ✓ The public should be discouraged from bringing large bags or purses and instead carry their phones, keys, and money in pockets. In high-risk zones, the public should not bring mobile phones to the event.

Section 6: Complaints Unit and Managing Casework

6.1 Mission of the Complaints Unit

The **Complaints Unit** was overseen by the **Complaints Committee** in the COR and an administrative complaints unit will soon be created within the COR to carry out the mandate of the former Committee. The functions of this to-be administrative complaints unit within the COR will include:

- To receive citizens complaints from the POs, MPs, and the COR's website and refer them to the appropriate COR Committee
- To manage all citizen's complaints in an organized and efficient manner
- To produce reports on citizens complaints
- To follow-up on the actions taken regarding citizens' complaints and relay this information to PAD or the PO.

You should be able to:

- Write reports about general problems in the province, such as the inadequate provision of basic services or corruption in the governmental institutions;
- Receive complaints and suggestions from various constituencies, including citizens and civil society organizations, and analyze them and refer them to the appropriate body for consideration, and;
- Coordinate with local government in addressing complaints related to non-federal services and issues.

These tasks relate to the *representation function* that provides the people a voice on the performance of government services that can be reported to Parliament. This Complaints Unit should have staff that are trained in managing caseloads and understand the operations and services of the federal and local governments.

6.2 Introduction to Complaints and Casework

Casework is the management of constituent inquiries, including requests for assistance and complaints. It includes not only common complaints, but also inquiries into legislation and

While casework is important for Parliament's oversight and representation functions, it is primarily a task performed by parliamentary staff. It is important for deputies to be aware of the concerns of their constituents, but it is not their role to manage the paper-flow and inquiry process. Therefore, it is important that parliamentary staff fully understand the process of managing casework and develop the networks and relationships to resolve these inquiries.

laws, or requests to pass along information or opinions on pending legislation. Each inquiry or complaint requires follow-up. Creating a record of the interaction is part of casework.

Casework is one of the most important tasks for a parliamentarian as it allows the parliamentarian to learn first-hand about the needs of his or her constituents and the failings in the government system. Understanding which government services

are not being adequately provided is achieved by monitoring the complaints that come in regularly. This is oversight in its most basic sense. Understanding constituents' viewpoints on legislation and responding to these opinions is part of the representation function of a parliamentarian.

Casework is one of the most challenging tasks in a parliament and requires a system for managing the cases. It also requires well trained staff persons who can liaise with government entities.

Casework in the provincial office addresses the 'eyes and ears' function of the COR by monitoring how government services are managed. The Rules of Procedures state the legal right for the Parliament to carry out these tasks. Articles 32.2, 32.3, 32.4, and 50 clarify the right of the COR to carry out oversight of the executive. Much of this oversight is initiated by casework inquiries. These specific sections give the COR the right to inquire on behalf of citizens.

Article 32

- 1- Conduct investigation with any of the above officials concerning any incident the Iraqi Council of Representatives sees that it has a relationship with the public interest, or with the rights of citizens.
- 2- Request information and documents from any governmental agency regarding subjects related to approved powers, or to the way of implementing laws by the executive agencies.
- 3- Request the presence of any person to give a testimony or explanation over certain subjects, or deliver information about any subject being discussed by the ICR

This article formally allows the correspondence on behalf of constituents with the expectation of a reply by the government to these types of inquiries.

Article 50

Each Member may question members of the Presidency Council, the Prime Minister, his deputies, ministers, deputy ministers, or other members of the government or leaders of independent commissions, and offices in writing, with notification of the Presidency Commission, regarding any matters that are within their specialization, or to ask about any subject the Member has no knowledge about, or to verify any event he came to know about, or to know what the government intends to do regarding a particular issue.

Enclosed is a memo developed by former Complaints Committee to the Complaints Unit in the Provincial Offices that outlines key points in the management of casework that are important to the COR.

From: The Iraqi Council of Representative, Complaints Committee
To: Provincial Offices Complaints Staff
Subject: Intake Instructions for Casework

Greeting:

As a result of the increased and variety of the complaints we receive and in order to standardize the format and content of departments under the purview of our

Committee, we address below instructions to you to be implemented upon receipt of this memo:

1. The complaint must include a subject and be detailed and accurate.
2. Supporting documents should be noted and included in the complaint referred to us by you.
3. Parties who are copied on your report must be included at the bottom of the document.
4. The logo of the Council of Representative should be at the head of your complaint report.
5. An accurate summary of what the complaint is about should be written in your report.
6. There should be continues follow-up by you on every complaint referred to us to avoid mistakes and track citizen's complaints.
7. Employment related complaints should not be accepted since they are not under our purview except those related to an administrative or legal violation.
8. It is crucial that report format is paid attention to and they are free of grammatical and spelling mistakes.
9. The Complaints Committee will not accept any complaint that doesn't include the complainant's mobile or land-line number.
10. It is of high importance that you as complaint staff explain citizens your responsibilities and mission. In addition, thus the Council of Representative is a legislative and oversight body and thus it is not within our authority to interfere with the implementing and judicial institutions of the government, as the Council of Representative is very keen on strengthening the separation of powers.
11. If there is an internal, technical, legal or administrative conflict in the office, you need to attempt proper solutions and then directly inform the Committee via phone and then follow-up the call with letter defining the problem or violation that took place and update us on the solution's implementation.
12. Our Committee will not accept complaints that are illegible.

Last, we would like to highlight that the Complaint Committee is the face of the Council of Representative so you have to deal with citizens and the concerned parties according to the constitution, Iraqi Law and the instructions if the Complaint Committee. You also have to attend to citizens with good customer service skills, listen carefully to their complaints and explain to them the possible resolutions of their complaints. Should these instructions be violated, appropriate action will be taken by the Complaints Committee.

Abdul Al-Karim Al-Enizy
Head of Complaint Committee
Council of Representatives

6.3 Principles of Casework:

Defining Proper and Improper Inquiries and Casework

Experienced provincial office staffs have dealt with a myriad of complaints and inquiries. There are many that are legitimate and can be resolved, but there are also many that are complex or are simply not related to issues that a PO can offer assistance in resolving. Therefore, at the outset, it is critical to understand when you can and when you cannot help a constituent. Understanding your role and limits as a representative of the COR and immediately expressing these professional limits to a constituent are critical to preventing staff involvement in inappropriate activities.

Examples of constituent inquiries that are clearly **legitimate** casework:

- Requests for information on passed laws, votes cast, and pending legislation
- Complaints regarding the federal government and services received or refused
- Requests for information on government services, including employment (as long as it accessible to all persons and not privileged information)

Examples of common constituent inquiries that are **not legitimate** and should be refused are:

- Requests for financial assistance and cash donations
- Assistance in gaining employment or government-related favors
- Interfering in legal and criminal matters
- Assistance getting government services or resources not available to the public (unfairly participating in government schemes such as acquiring land, appointments, or contracts that are not available to common persons)

Preparing yourself to politely and diplomatically reject these types of requests is important for maintaining Parliament's role as a legislative body and preventing the perception that it is a charitable organization with handouts for those who have political access. While you may feel inclined to help your constituents and supporters, opening yourself to these requests will only bring about more charitable requests and in turn could also create ethical problems for you and the office in the future.

Requests for financial assistance and employment are not unusual, especially for people desperate for help who feel they have tried every other means of acquiring assistance. Complaints staff should learn to deflect these types of requests by providing them useful information that may assist them in trying to meet these basic needs. A model parliamentary office should be in contact with charities, social service groups, and government agencies that can provide assistance with finding employment, and helping in meeting basic needs for people without money, including housing, food, and utilities. Providing these constituents with guidance in finding these services and explaining to them how to get this help will both maintain the integrity of Parliament as a legislative institution, while also providing them information on resources they may not have known before visiting your office.

A critical imperative in managing casework is to remember is that parliamentarians and their staff are not legal officers or adjudicators of claims or complaints. This is important to remember in the following context:

- You cannot force a government agency to provide benefits or services to someone that is in eligible based upon your interpretation of the rules. You may instead

ask the government agency to review its decision and provide them any additional information that may make the claimant eligible.

- You cannot amend or annul a court decision, including criminal penalties.
- You cannot get a government penalty revoked.

A separation of government powers exists in Iraq and provides for the division of the legislative and judicial functions. Judicial cases are to be independent of influence and, therefore, you cannot play a direct role in their outcome or affect any penalties that have been set. The criminal code and the legal system are set up by Parliament, but individual cases are only handled by the judiciary, which is intended to be independent of political considerations. It is your job to respect this division and the judiciary's independence.

Managing Expectations

Once you understand the limits of constituency casework then it is also useful to understand the common expectations of people that come to your office. By managing their expectations or their belief that their case will have a positive outcome will allow you better success in handling complaints. This method will prevent constituents with cases that you are unable to even consider from gaining a false hope that their claim may be positively resolved only to be disappointed once it is processed.

We have discussed earlier requests that are improper and those cases and requests should be immediately declined. You do not have to impolitely decline a request for money, jobs, or favoritism, but instead inform these constituents undoubtedly that your office is not capable of handling those sorts of requests. You should compile a list of charities and organizations that can help them with financial problems and refer them to those offices.

Enclosed are some useful tips to handle inappropriate requests and managed constituent expectations:

- Develop an introductory brochure that explains how your office can help constituents and what you cannot do. If everyone that comes into your office sees these 'rules' they will then realize that your inability to help is not subjective, but practical and fair.
- Present an attitude that you are concerned (and not dismissive) by the request or complaint, but do not hesitate to let them know the limits of your office and that your primary role is to assist in casework related to federal services and needs where the bureaucracy has failed.
- Learn to divert requests from the impossible to the possible. For example, if someone comes in asking for help finding a job, let them know you cannot assist them in finding a job, but point them to a government office or program that is hiring or schools where they can improve their professional or vocational skills to be better prepared for long-term employment.

Maintaining Office Professionalism

Managing casework, dealing with difficult constituents, and handling confidential information can be professionally challenging. It is important in the most challenging or enticing situations to remember that you represent the Iraqi Parliament and democracy to the people that you meet.

Many constituents will pass along private information, whether it be medical records to receive a disability benefit, banking information, or their past associations or allegiances. It is important to maintain the confidentiality of these records. You should ask constituents to pick up the information once their inquiry is closed or to regularly shred or burn this information. It should also be stored in a steel safe or secure location. You should also be careful not to discuss the details of this personal information with people outside of your office. These constituents have shared this information with you as they trust you and expect that you will properly maintain their confidentiality information.

Occasionally, constituents will make complaints about the government or political or social situation in Iraq that test your decency, values, or political views. It is very important to maintain your professionalism during these uncomfortable discussions and avoid further aggravating the situation. For example, a constituent may arrive and loudly complain about a government official who you favor and may make statements that offend you. It is important to simply ignore these statements and avoid a confrontation. Sometimes, simply asking someone to put their complaints into a formal letter is the best way to deflect these inflamed constituents, who will

Tips on managing difficult persons or situations-

- Ask them to put their complaints into a letter rather than verbalize them
- Let them know that there are worse or more critical cases that you need to attend to in addition to their request
- Fully ignore inflammatory statements and refer any credible physical threats to the police
- Always attempt to include a second provincial office staff person with you as a witness when someone makes confrontational statements

mostly understand the need to control their language and emotions in a letter.

Regardless of your personal values and beliefs on how people should dress in public, act respectfully, or identify themselves socially, as a representative of the Parliament, you should keep these beliefs and values to yourself when interacting with constituents. You should treat each individual that comes through your door equally and without judgment. If

you have difficulty withholding judgment, such as offering opinions on whether their clothing is acceptable or how they present themselves, then you have let your personal beliefs cloud your representation of the institution that blindly treats all Iraqis equally.

Some constituents may have very difficult personalities. They may be desperate and frustrated because they have felt slighted or angry with their treatment by government representatives. They may want to take out their anger by arguing with you or even insulting you personally. If these people cannot contain their anger, then it is acceptable to ask them to leave and return only when they are less angry and can better explain their situation.

Final Notes on Casework:

- Not all casework will have positive outcomes. Therefore, when discussing the issue with a constituent, remember that you may not be able to resolve their complaint.
- Many constituents will leave critical pieces of information out of their story and while they may make a strong case to you in person, once you contact the government, you may find out that the constituent is really at fault or not entitled as they claimed.
- Remind constituents that you do not have the authority to give favors or change government regulations. You can merely ask the government to take a second look at their circumstances.
- Good organization is critical to managing casework. Ensuring Complaints staff of the provincial offices are well organized and can manage multiple inquiries is critical to your success in helping your constituents.

6.4 Common Parliamentary Inquiries

All casework will either fall into a category as being related to issues or concerns with the federal government, local government, or business and private matters.

Inquiries and complaints related to federal matters are under the jurisdiction of parliamentary provincial offices and addressing them is the top priority of your office.

Casework revolving around local government is not a priority, as the local government is not directly under control of the federal government and you may be able to offer little assistance. When a constituent asks for assistance in a matter that falls under a city or local government, then you may want to attempt to assist in the case sending a letter on behalf of the constituent to the mayor or governor asking they assist in resolving the matter. It is recommended that you inform the constituent that the mayor or governor has no obligation to respond, but you will try on their behalf. If they wish to contact these offices directly or to contact a local provincial council member, then that is also an option they should consider for a more efficient resolution of their case.

The final category of casework includes cases related to personal or business matters. Unless it is related to a government-controlled, business or is a matter that directly involves a ministry of the national government, then there is little likelihood that the provincial office can assist. You will need to analyze their case and then perhaps refer them to a charity, social service organization, judicial system, or police based upon the circumstances.

Within all federal or local government casework there are two different sub-types of casework, which are inquiries and complaints. Inquiries are requests for information and complaints are the more common types of casework that require analysis, referral, and follow-up.

Common Inquiries

Provincial offices occasionally get requests for copies of pending legislation or national laws. Iraqi legislation is public information and should be available for all citizens to view. Many provincial offices have legal reference sets and should have the facilities to simply make a copy of the law for their constituents. Pending legislation may be more difficult until Parliament and the government completely automates the process. The COR is currently updating its online database of legislation and in the future, you will be able to look legislation up on a computer database and print a copy for the constituent. Until this process is finalized, however, the best procedure is to request a copy from the Provincial Offices Department and ask the constituent to be patient until it arrives in the mail.

Other basic types of inquiries are constituent requests for contact information of parliamentarians or other government offices and ministries so they can contact them personally. You should not provide personal information on parliamentarians, such as their private contact information, due to security concerns and threats. The Provincial Office should try to get “public contact information” for parliamentarians and their staff or offices that they can be reached by constituents. In addition, a directory of government offices in Baghdad and your respective province should be compiled. This public contact information can include an e-mail address or telephone number that the MP wishes to make public.

Finally, students and academics preparing research for their studies in government may occasionally contact your office for information on the Council of Representatives. You should

do your best to assist them because their learning process is valuable for the future generation of Iraqis and is part of the POs' mandate to provide civic education to the public.

Complaints

Constituents often complain about proposed or draft legislation. Such complaints are more common when the Parliament is debating especially divisive legislation. Constituents may wish to communicate their own opinion about the legislation to their representative.

If a person contacts your office to voice his or her opinion about legislation, they should put their concern in writing so their opinion is stated for the record can be forwarded to the MP's secretary, who can respond. Your primary role is to ensure this correspondence is passed between the constituent and the MP's staff. If no response is received by the constituent, then you may want to remind the parliamentarian's office that it has not responded. If there is a complaint or recommendation on legislation to which the constituent expects several parliamentarians to respond on, then they should be expected to provide individual letters addressed to each parliamentarian. By requesting the constituent take the time to articulate his or her viewpoint in a letter, you demonstrate the sincerity of your interest in their opinion.

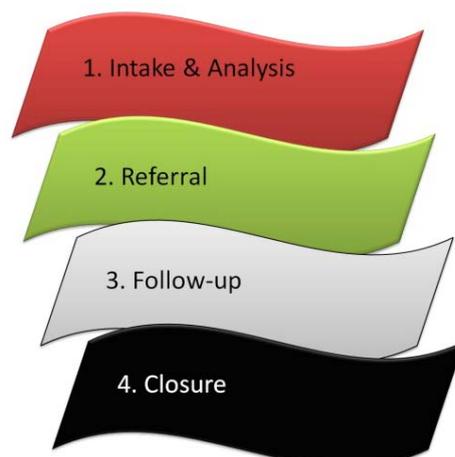
While inputs on laws and legislation may be frequent, the most common and relevant complaint from a constituent relates to their experience with government services. In Iraq, the government provides a variety of services, from basic needs such as health care and education and food rations, to services that improve the quality of life such as electricity, roads, sewage, and trash removal. All of these services differ greatly; some are provided to the entire population while others are provided to only part of the population.

There is no manual to handle each of these types of complaints because each case requires an individual analysis. The most important step in the process of addressing the complaint is to take in as much information about the circumstances. A memo from the former Complaints Committee directly addresses this process and is contained in "6.5 Casework Cycle."

The final common complaint emanates from government employees who have individual employment problems. They may seek to have their pay or rank adjusted. Remember, the most that you can do for these people is to ask that the government study the issue. In some cases, it is possible to have the situation scrutinized by someone outside the complainant's office, which can reduce bias.

6.5 Casework Cycle

The casework cycle, a step-by-step process in managing casework, is a four-part procedure. It is made up of the initial intake and analysis, referral, follow-up, and steps in closure.



Intake and Analysis

Intake is the step in the process during which the constituent approaches complaints staff to detail their case and make their complaint. As the inquiry is being outlined by the constituent, you must decide whether or not you will pursue it based upon its legitimacy. For cases that are not considered legitimate, you will have to tell them that it is not a matter for the PO and, if necessary, refer them to the appropriate government agency or charity. This analysis is determined during the listening phase of the initial conversation.

Key Questions in intake:

- Contact Information
- Basic information on case and details
- Government agency or entity involved and any contacts they used
- At what stage the complaint is with the government and whether appeals have been followed
- Is there additional information necessary or do you suspect the constituent is not completely forthcoming?

During the discussion, you need to immediately ascertain to whom you will refer the case, which in most instances will be a government ministry or local government official. Without being able to make this determination, you will be unable to easily refer it for consideration. Try to understand as in-depth as possible the past history on the situation and exactly which ministry or persons were involved with in the case.

A contact sheet (sample provided below) will assist to ensure you that you have gathered all the information that you will need to move the complaint further.

It is recommended that the constituent provide a written signed letter stating their complaint with as much detail as possible. This letter will be useful for the referral step. If the constituent is unwilling to provide a letter, then it is unlikely they are interested enough in their case to warrant further inquiry. If the constituent is unable to provide a written letter because of illiteracy, you should offer as much assistance as you can in aiding him/her document their complaint. It is recommended to keep a pen and paper pad in the office for them to write a letter addressed to the COR.

Referral

Referral has been discussed earlier as moving the case to the proper government agency. Sometimes it may be difficult to locate the appropriate office within a ministry or agency and the constituent in laying out their case may assist you in determining this contact, but understanding the steps that they went through and the offices that they contacted in the process.

Articles 32 and 50 of the Rules of Procedure explicitly authorize the COR to contact government ministries for further inquiries on matters, which includes casework.

If the case is clear and has reasonable merit, a letter should be drafted on behalf of the Council of Representatives to the appropriate official requesting their consideration of the matter. In most cases, the letter is a general form-letter that simply forwards the case for review on behalf of the COR. It is usually not necessary to highlight their case or even advocate on their behalf in the text of the letter from the Provincial Office. Remember, you have only the details on the case from the constituent's point of view and are requesting further information from the appropriate ministry. Only after you have both perspectives will you be able to adequately advocate. Until you have both sides of the story, it is best to remain completely neutral in your correspondence.

You should request that the ministry or agency respond within 30 days to all complaints or inquiries. You can include this specific expectation in your letter. You should also ask them to provide the office with a written letter in return that you can direct to the constituent.

The relevant COR committee which the constituent's case has been referred will primarily correspond with the appropriate ministries and agencies during this step, but they can assist you in determining the proper protocol and process for drafting letters if it is being handled solely within the provincial office.

Follow-up

Once the government ministry or agency replies, then you will want to forward this reply to the constituent. Sometimes the reply is very rudimentary, such as offering to review their benefits again and the agency may not have time to prepare a written reply. In those cases, you may just want to call the constituent with the information, but also make sure that you send them a formal written reply from the COR's PO.

If the reply is not consistent with expectation, then you will need to alert the constituent and follow-up with the agency or organization via the appropriate COR committee or directly through an MP. If you believe the ministry or agency has not been consistent or provided an adequate review, then you may want to consider advocating on their behalf with your province's MPs. This should be done only after consultation with the Complaints Unit to ensure it is properly vetted before taking a position.

The constituent may ask for follow-up or an appeal following the response, but do so only if you believe they have a compelling reason or justification or present new information that would change the outcome. Remember that you always have to be non-partisan and just work based on the merits of the case in front of you.

When managing a complex or challenging case, you should refer to Complaints Unit staff for additional guidance.

6.6 Tools in Case Management

The initial tool in case management should be the contact sheet. As mentioned in the section under case intake, this will answer many of the questions that you will need to refer and follow-up on the case.

Constituent Complaint Intake Form (Practice Example)

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.)

Part Two: Gathering Information about the Complaint

Government Ministry or Agency which Complaint is logged against or from which 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? 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?

Supporting documentation:

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

Part Three: Resolving the Complaint

Action Suggested by COR Provincial Office:

Date and Place Constituent Complaint Sent:

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.)

Further Action Required on Complaint:

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

Resolution:

Was Constituent Complaint Resolved? If not, describe why:

The COR and USAID's Legislative Strengthening Program (LSP) are currently working together to create a computer based Networked Constituent Casework Management System (NCCMS) that will be able to assist staff in managing their cases and share information between the provincial offices and the COR. Once this system is completed, you will want to use the enclosed intake form to upload information into the computer system. This automated system will be useful in tracking the complaint and providing reminders if a response is overdue. This will be particularly useful if you are handling numerous cases or sharing files with several colleagues in the office.

An important feature in this automated system is that it will assist the COR in analyzing the thousands of complaints it receives every year by understanding the data to know how many complaints are received about each program and agency. In the future, this will allow parliamentarians to better understand statistically where the government is failing the people and perhaps prompt further parliamentary investigations. Assisting in this oversight function is an understated, but important role of provincial offices.

6.7 Casework Closure

When a case is closed, there remain a few more steps to be taken. If the case is resolved locally through your efforts, the outcome should be referred back to the Complaints Unit at the COR, so they are aware and can use it in their monthly statistics reported to Parliament. If the case is resolved by a COR Committee, make sure the resolution is tracked manually or within the NCCMS once implemented.

You should also inform the constituent that you plan to destroy the original materials, unless they wish to claim them. You can destroy the materials through a regular process of burning or shredding papers. With the concerns for security in Iraq, maintaining this confidentiality can prevent private information from falling into improper hands.



Section 7: Individual Provincial Office Information

No.	Provincial Office	Address	Email	Contact number
1-	Dahuk	Duhok, Al-Jameia District near Al-Ameen Mosque	duhok@parliament.iq	07504507269
2-	Erbil	Erbil, Briaty District, behind yellow base	arbil@parliament.iq	0662273364
3-	Sulaymaniyah	Sulaymaniyah, Nashti Area, District 106, Allay 47, House,6	sulaymaniyah@parliament.iq	07701532603 3292603
4-	Ninawa	Ninawa, Mousel, Al-Ghazalany	ninawah@parliament.iq	07704449248 07701723144
5-	Kirkuk	Kirkuk, near the province building, beside the big Kirkuk Mosque	kirkuk@parliament.iq	07701038282 07481127344
6-	Diyala	Diyala, Ba'aqoba, Al-Thubat new Ba'aqoba, near Health Directorate	diyala@parliament.iq	07902349250 07702032615
7-	Salah ad Din	Salah ad Din, Tikrit District, Presidential buildings complex	Salahaldin@parliament.iq	07704294399
8-	Baghdad Al-Karkh	Baghdad, Al-kathimia, Al-Muheet Street, near Al-Adala compound	Baghdad_k@parliament.iq	07905918588 5244147
9-	Baghdad Al-Rusafa	Baghdad, Alkarada Kharij, in front of Miriam Al-Athraa Church	Baghdad_r@parliament.iq	07903469279
10-	Anbar	Anbar, ramadi, next to Al-Kabeer Mosque	anbar@parliament.iq	07801976791 07901735251
11-	Babil	Babil, Al-Hilla, Al-Khasrwie, behind the court, next to Al-Aqrab Base	babel@parliament.iq	07807601872 07807601876
12-	Wasit	Wasit, Al-Kut, Alnaseej Street, next to the presidency of Wasit Court of Appeal	wasit@parliament.iq	07809023979 344066

13-	Karbala	Karbala, Al-Hussain District, behind Shabab Al-Wehda Center	karbala@parliament.iq	07810019887 320244
14-	Najaf	Najaf, Al-Sa'ad District, land number 551/13188	najaf@parliament.iq	07801976656 07808886265
15-	Diwaniyah	Diwaniyah, Al-Eroba District, Al-Mua'alq Bridge Street	diwaniyah@parliament.iq	07810641630 644362
16-	Muthanna	Under construction	muthana@parliament.iq	
17-	Dhi Qar	Dhi Qar, Al-Nasiria, Al-zeitoon Street, in front of Dhi Qar trade center, next to displacement office	dhigar@parliament.iq	07802198373
18-	Maysan	Maysan, Auasha, Al-Dawreyat Street	maysan@parliament.iq	07400237709 07705524311
19-	Basrah	Basrah, Manawi Basha, behind Riot striker Directorate	basrah@parliament.iq	07801137477 07709080543

Addendums:

Addendum A: Sample Staff Appraisal Form (Blank)

STAFF APPRAISAL FORM

1 Personal details

Name	
Job title	
Unit	
Manager	
Period of assessment	

2 Key areas of responsibility

Please indicate key responsibilities including people and resources that you manage:

--

3 Objectives

Insert agreed objectives:

1.
2.
3.
4.
5.
6.

Achievement of Objectives:

Please comment of whether these objectives have been achieved.

1.
2.
3.
4.
5.
6.

4. Training Needs

Highlight any training or development needs the job holder has and how these will be addressed

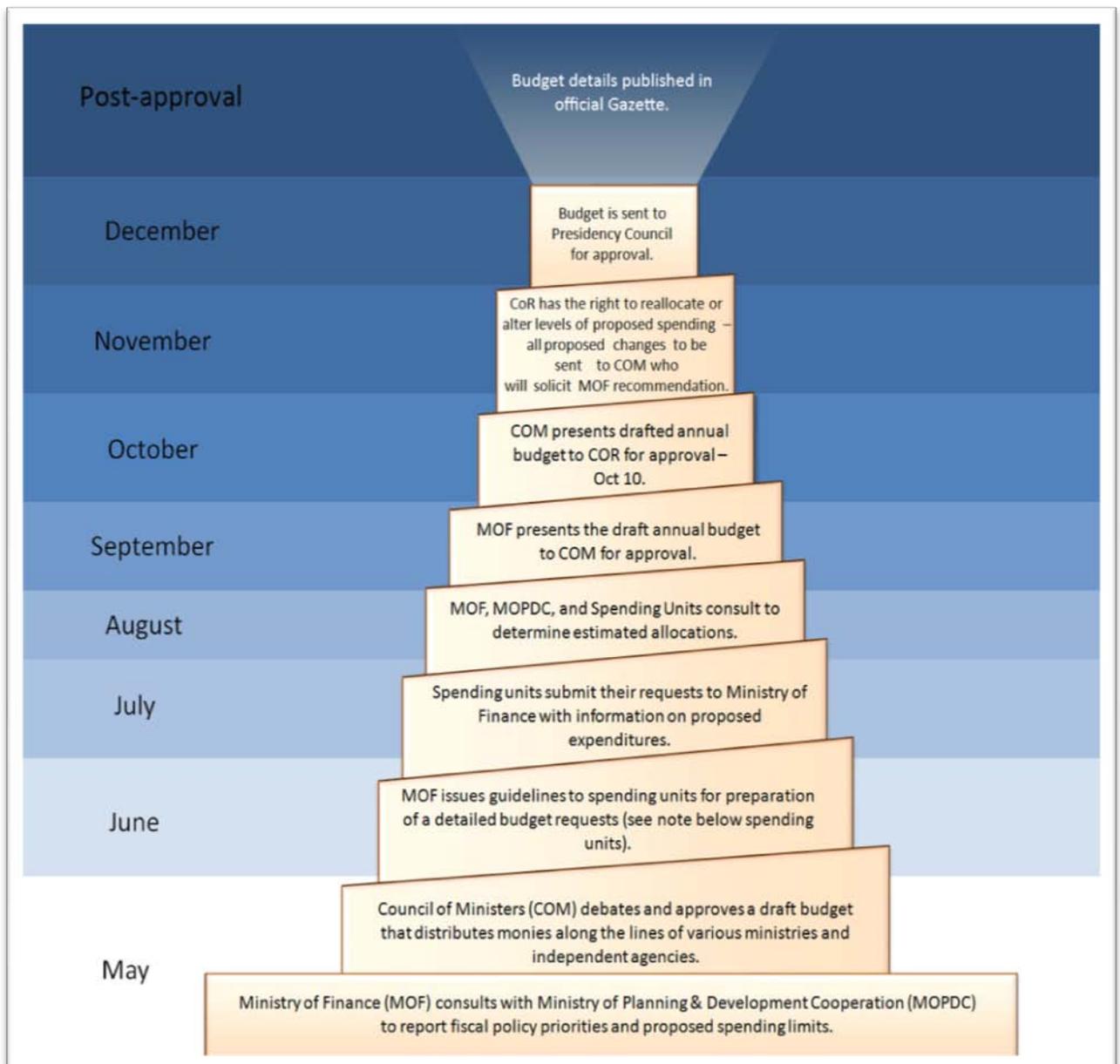
Training Needs

5. Signatures and jobholder comments

Manager's name	Signature	Date
<p>Jobholder's comment</p> <p><i>Use this space if you want to comment on or add anything to the above assessment</i></p>		

Jobholder's name	Signature	Date
------------------	-----------	------

Addendum B: Iraqi Budget Calendar



Addendum C: Fraud, Waste and Abuse Definitions

Term	Definition	Examples
FRAUD	<p>Fraud is generally defined in the law as an intentional misrepresentation of existing fact made by one person to another with knowledge of its falsity and for the purpose of inducing the other person to act, and upon which the other person relies with resulting injury or damage. Fraud may also be made by an omission or purposeful failure to state facts, which nondisclosure makes other statements misleading.</p> <p><i>* Promises to do something in the future or a mere expression of opinion cannot be the basis of a claim of fraud unless the person stating the opinion has exclusive knowledge of existing facts which are inconsistent with such opinion. The false statement or omission must be material, meaning that it was significant to the decision to be made.</i></p>	<ul style="list-style-type: none"> • Falsifying financial records to conceal the theft of money • Theft or misuse of government money, equipment, supplies and/or other materials. • Intentionally misrepresenting the costs of goods or services provided. • Soliciting or accepting a bribe or portion of the fraud benefits. • Falsifying payroll information. • Participating in fraudulent acts and failing to notify your superiors or anti-corruption authorities
WASTE	<p>The intentional or unintentional, thoughtless or careless expenditure, consumption, mismanagement, use, or squandering of government resources.</p>	<ul style="list-style-type: none"> • Unnecessary spending of funds to purchase supplies or equipment. • Failure to reuse or recycle major resources or reduce waste generation. • Excessive travel expenses (particularly when failing to carry out official duties)
ABUSE	<p>Intentional destruction, diversion, manipulation, misapplication, maltreatment, or misuse of government resources. Extravagant or excessive use as to abuse one's position or authority. Abuse can occur both in financial or non-financial settings. Extension of a government unit's power or authority into sphere outside of its delegated jurisdiction.</p>	<ul style="list-style-type: none"> • Receiving favor for awarding contacts to certain vendors. • Using one's position in government to gain an advantage over another person or business when conducting personal business in another government unit. • Requesting staff to perform personal errands or work tasks or a supervisor or manager. • Making procurement or vendor selections that are contrary to existing policies or are unnecessarily extravagant or expensive. • Unauthorized extension of government power into a sphere to gain control of additional revenue (such as licensing fees or royalties)

Addendum D: Checklist for Organizing a Town Hall Meeting

Checklist for Organizing a Town Hall Meeting

- Determine Topic, Audience, Format, and Date**
 - Topic and Audience
 - Open town hall: _____
 - Specific topic: _____
 - Specific Audience: _____
 - Format
 - Opening Statement
 - Moderator
 - Additional Speakers or Presenters
 - Date and Time of Event
- Organizational Committee**
 - Manager-
 - Coordinates team planning
 - Briefs and Liaises with MPs
 - Responsible for event design
 - Invites VIPs and dignitaries
 - Security Coordinator-
 - Liaises with security and military forces
 - Ensures site security
 - Arranges coordination between MP body-guards and local security forces
 - Protects security of information surrounding the event
 - Logistics/Equipment Planner-
 - Plans for all equipment needs (tables, microphones, cords, chairs, etc...) to be present at event
 - Ensures additional staff and volunteers are present and understand their functions
 - Provides badges for event staff
 - Advertising/Media Liaison-
 - Invites media and public
 - Designs plan to inform public

- Coordinates entrance of media and their needs
- Arranges additional post or pre-event media access (if planned)

□ **Venue Location**

- Proper Size and location
 - Not too large, creating high expectations
 - Accessible to your specific audience
- Compliant with Security Checklist
- No cost- *there should not be a cost paid to allow the public to meet their representatives by the government or people*
- Politically Neutral (not party headquarters or affiliated with organizations that would exclude certain persons or populations)

□ **Logistics Arrangement and Needs**

- Sound System
 - Is it needed?
 - Is there one present or can be borrowed?
 - Does it work and do you have the necessary cords and microphones?
- Appropriate seating and waiting areas
- Temperature Control (fans or heaters)
- Electrical outlets and cords for the media
- Appropriate lighting
- Translation for non-Arabic Speakers
- Accessibility of Disabled

□ **Security Plan**

- See Separate Checklist
- Coordination meetings between various security forces protecting event and VIPs

□ **Media and Public Announcement**

- Invite Media to Attend
 - Request they notify of their attendance to facilitate entry
 - Send letters of invitation outlining purpose and confirm their entrance
- Request media advertise the event
 - Press Release announcing the event details
 - Outlining topic or audience requested
 - Distribute to TV, Radio, and newspaper outlets
- Public Announcement
 - Posters or Notices put in public places like local government offices, post offices or telephone exchanges, or shopping centers/bazaars
 - Notification at other public events
- Ensure security and do not announce event location more than 2 or 3 days in advance

□ **Final Arrangements**

- Briefing Parliamentarians
 - Realistic Expectations of attendance
 - Agenda of Event explained
- Location Arrangement

- Site Secured
- Decorations and banners
- Appropriate seating and ventilation
- Hand-outs or literature in place
- Hold Countdown meeting with all parties
 - Ensure everyone understands their role and position
 - Distribute badges
 - Briefings from all team members and all questions are answered

□ **Day of Event**

- Staff in place and possess appropriate badges
- Security arranged and attendees cleared in an efficient fashion
- Staff to follow-up on individual concerns are in place and have appropriate contact information
- Moderator prepared and opened
- Media is accommodated

□ **Event Follow-up**

- Organizing Committee meets afterwards to provide a review of event and consider improvements and positive effects
- Notes are forwarded to appropriate persons in Baghdad
- Comments and suggestions are noted by MPs
- Citizen complaints are followed-upon by Complaints Staff
- Thank You letters are delivered to dignitaries and volunteers

Addendum E: Constituent Complaints Intake Form

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.)

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 the 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?)

Supporting documentation:

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

Part Three: Resolving the Complaint

Action Suggested by COR Provincial Office:

Date and Place Constituent Complaint Sent:

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.)

Further Action Required on Complaint:

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

Resolution:

Was Constituent Complaint Resolved? If not, describe why:
