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# USAID – Founded Economic Governance II Project

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## ISSUE MANAGEMENT PLAN

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**PREPARED FOR:**

**General Commission for Taxes**

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**Business and Systems Aligned. Business Empowered.<sup>TM</sup>**

## AUTHORS

This document was prepared by:

**Pedro Valdés, Manager**

BearingPoint

USAID / BearingPoint

APO AE 09316

Tel: +964 (790) 1919 495

E-mail: [pedro.valdes@bearingpoint.com](mailto:pedro.valdes@bearingpoint.com)

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## 1. INTRODUCTION

This document is one in a series of documents that details the requirements for the implementation and operation of the Iraq Tax IT System within the Iraq Economic Governance II project. The task of the project is the installation of tax application software for the General Commission of Taxes (GCT) in two pilot offices, Large Taxpayer Unit and Headquarters.

### 1.1. Key Assumptions

- The GCT will establish a Service Desk as the single access point for any IT related request or issue.
- The GCT will provide the Service Desk staff with a Help Desk System to document and track all requests or issues.
- The vendor providing the tax application will also operate a Help Desk System to resolve issues that the GCT IT staff cannot resolve.

### 1.2. Purpose

The document provides a detailed description of the Service Desk process and how the GCT operates the Service Desk. The document describes the GCT Service Desk three tiers of support and the interaction of the Service Desk with the vendor's Help Desk Support.

### 1.3. Scope

This procedure is designed to facilitate the management of project related issues. The procedure addresses the following key steps:

- Document and log the issue
- Attempt Resolution
- Resolve or escalate the issue
- Track requests through resolution
- Track and Report

## 2. ISSUE MANAGEMENT PROCEDURE

The Service Desk is the single access point for any tax employee to the GCT IT staff. All IT requests are routed through the Service Desk.

### 2.1. Issue Definition

An issue is any problem or question arising during the performance of the project. The workflow of an issue moves from department to department. Most issues move through the following departments: development, quality assurance, testing, and deployment. Issues that need to be documented relate to any components of the IT environment. Change requests to the IT environment will be documented and enter the Change Management Process.

Issues affecting the components of the IT environment will be classified as follows:

- Tax application
- Hardware
- Software
- Network
- Facilities
- Connectivity Issues

### 2.2. Responsibilities

**BearingPoint:** Responsible for providing assistance to the GCT IT staff including Service Desk in all related IT issues during the performance of the project.

**GCT IT Staff:** Responsible for the operations of the Service Desk and the resolution of issues related to Tier 1 and Tier 2 Support.

**Estarta:** Responsible the resolution of Tier 3 support to the Automated Tax Solution (TAGDEER System) in accordance with the TAO signed with BearingPoint.

### 2.3. Service Desk Processes

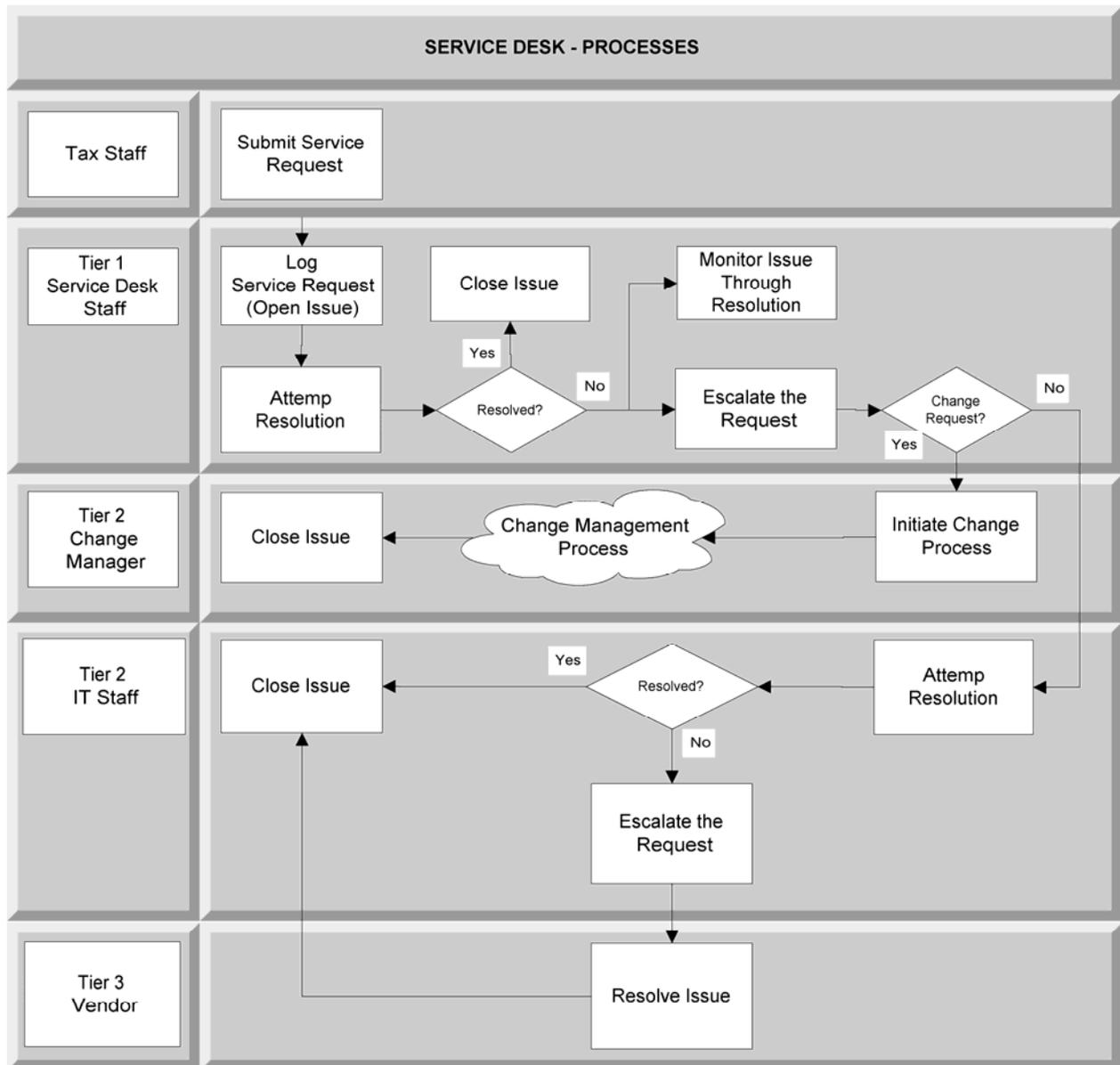


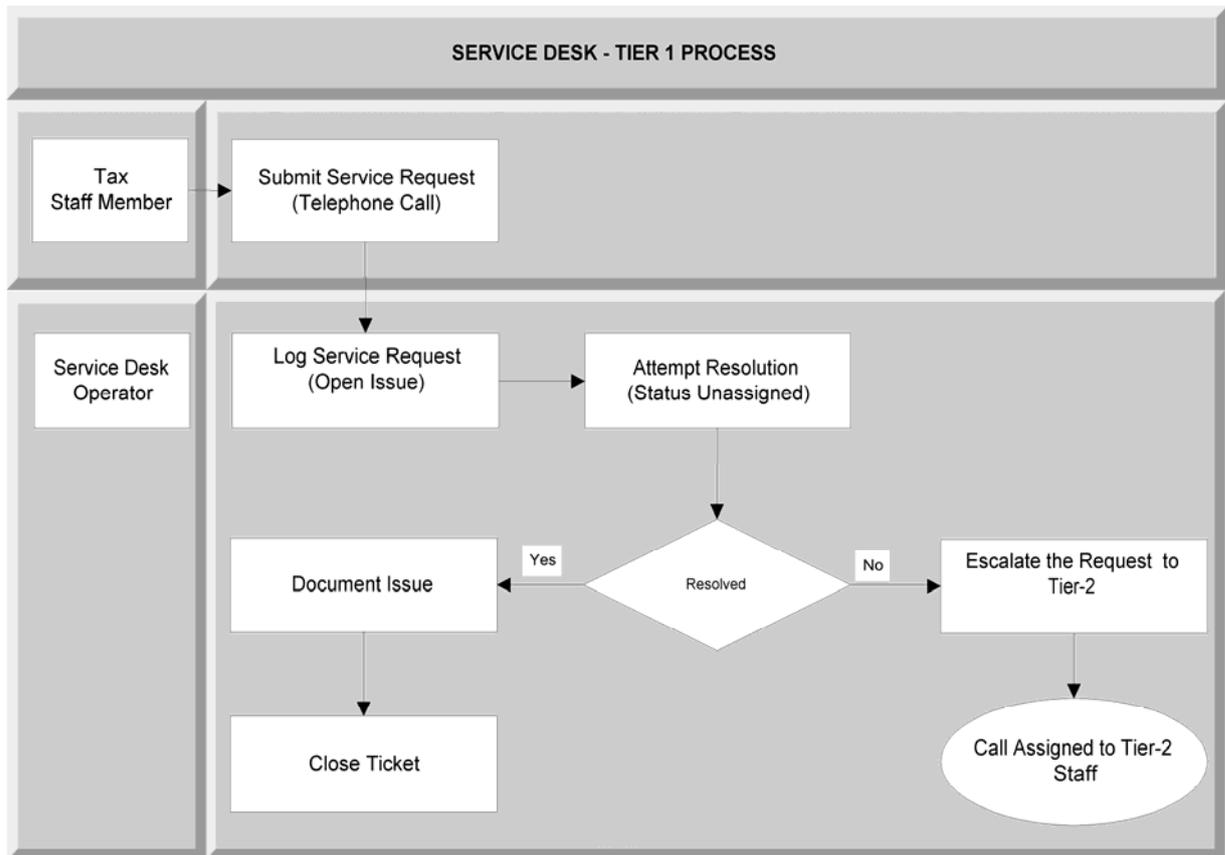
Figure 1 – Service Desk Processes

#### 2.3.1. Tier 1 Support Responsibilities

A service request is initiated by either a call or e-mail to the Service Desk. Service Desk staff will:

- Take user requests and questions for IT matters
- Provide Tier 1 help desk support
- Route issue to support personnel for resolution

- Track issue through resolution
- Report monthly statistics on the performance of the Service Desk



**Figure 2 – Service Desk Tier 1 Process**

### **Document and Log the issue**

Service Desk staff collects the following information from requestors:

- Date and time of the request
- Requestor information – name, location, and contact information (e-mail and telephone)
- Type of request – trouble request, change request, or inquiry.
  - Trouble requests are requests placed to the Service Desk as the result of an IT service disruption. Examples include hard disk failure, loss of access to the LAN, or loss of e-mail services.
  - Change requests are any requests from user that will require a change to the IT environment or to that user’s IT resource configuration. Examples include purchasing and

installing new software, purchasing and installing peripherals, increasing access to network resources, or enabling Internet access.

- Inquiries requests are generally questions from users. These are generally “How do I ...” questions. Examples of inquiries would include “How do I log on to the LAN?”, “How do I change my password?”, or “How do I access Microsoft Excel’s online help?”
- Description of the issue or reason for the request.
  - Trouble requests should identify the nature of the service outage (LAN, desktop, printer, etc.), the total number of users affected, and when the problem was first identified.
  - Change requests should identify the business need that the change will satisfy.
  - Inquiries should identify the exact question that the user is posing to the Service Desk

As this information is collected from the requestor, the Service Desk staff will log the information into the Help Desk System by opening an issue number for each request.

### **Attempt Resolution**

Once an issue is opened and the nature of the request is understood, the Service Desk staff will attempt to resolve the request. This is considered Tier 1 support. The Service Desk will attempt to work with the user to resolve the request. The Service Desk staff will document all attempts to resolve the issue. If resolution cannot be made in 10 minutes the issue should be escalated to Tier 2 support.

### **Escalate Request**

The Service Desk uses a three-tier approach to resolve user requests. Tier 1 consists of the Service Desk activities to document and attempt resolution for the request. If the Service Desk cannot resolve the request, the Service Desk will route the issue to Tier 2 support staff. Tier 2 support consists of IT staff. Depending on the nature of the request the route will be to different members of the IT department. The following is a listing of the Tier 2 resources for different types of requests.

- Configuration or Change Request – Change Manager
- Security related requests – Security Manager
- Desktop and peripherals related request – Desktop Manager
- LAN related request – Network Manager
- WAN related requests – Network Manager
- Server related requests – Server Administrator
- Database related requests – Database Administrator
- Application related request – Application Developer
- Web related requests – Web Master

### **Track Requests Through Resolution**

The Service Desk will continue to monitor the status of issues as they are worked on by the IT staff or Tier 3 support. The Service Desk staff will monitor to ensure that there are on-going actions to attempt

to resolve the service request. The Service Desk staff is responsible for maintaining status information should the user contact the Service Desk for status information on his/her request.

### 2.3.2. Tier 2 Support Responsibilities

When a request is escalated to Tier 2, it will either be a change request, which either the Change Manager will resolve, or a technical inquiry, or service issue that the IT staff must resolve.

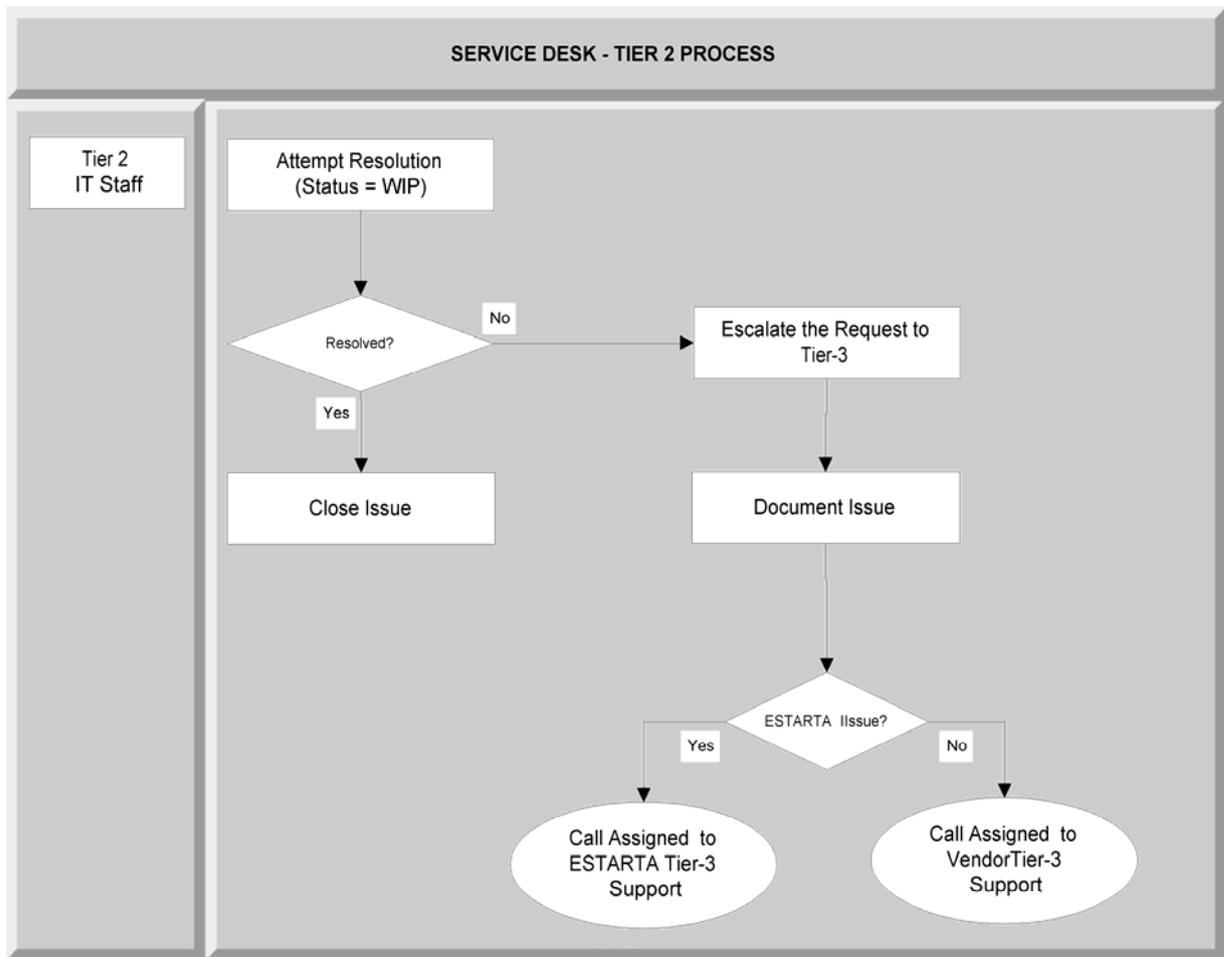


Figure 3 – Service Desk Tier 2 Process

- Change management requests will be forwarded to the Project Manager who will initiate the Change Management Process to address the change request. Once resolved the project Manager will close the change ticket.
- Technical inquiries and service issues will be forwarded to the appropriate IT staff per the escalation guidance provided above. IT staff will review the trouble request and attempt to resolve the request by either answering the inquiry or resolving the service issue. If changes to configurations or the IT environment are required, a change request is initiated. Should the Tier 2 staff not be able to resolve the issue, the issue will be escalated to Tier 3 support.

Regardless of who resolves the ticket or the resolution actions, the IT staff will document remediation actions in the Help Desk system before the ticket is closed.

### 2.3.3. Tier 3 Support

Occasionally problems will be identified that cannot be resolved by the IT staff. In this case, the Tier 2 resources will contact the original vendor for the IT resource to trouble shoot the problem. In all cases the Tier 2 resources should seek approval from the Project Manager prior to initiating Tier 3 support requests. The project manager maintains vendor contact information and maintenance agreements. Approval from the Project Manager is especially important if the troubleshooting efforts will incur additional costs.

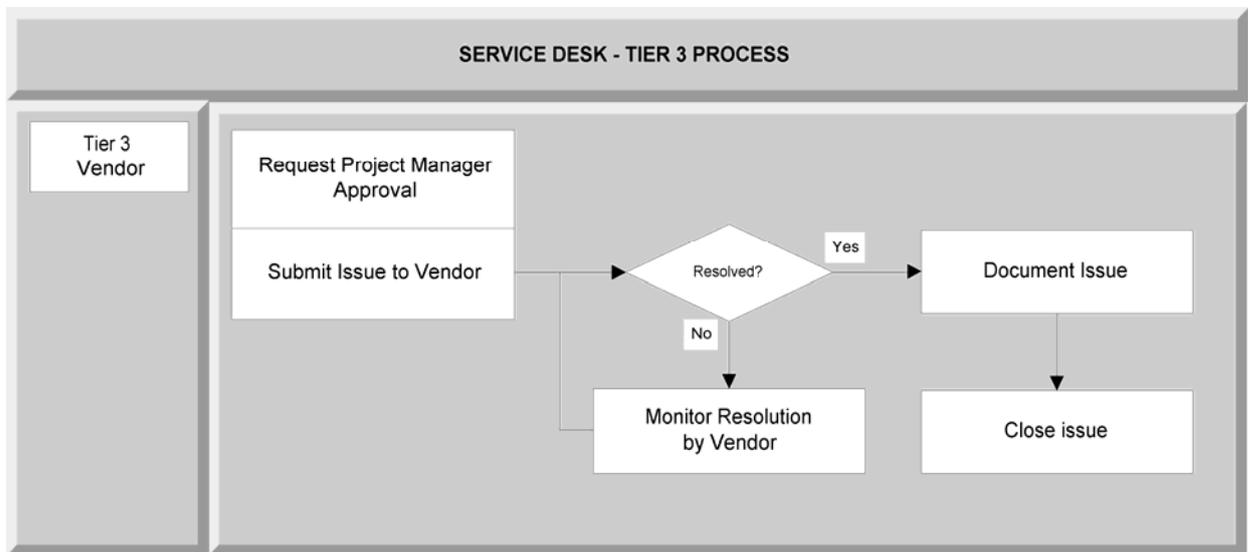


Figure 4 – Service Desk Tier 3 Process

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### 3. APPENDICES

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### 3.1. Appendix A – Sample of Issue Log

Every week, the Service Desk will generate a report of all open issues. Issues will be sorted by their “age” (the number of days since it was opened).

Issue No.	Opened Date	Business Days Opened	Assigned To	Escalated To	Vendor Name	Vendor Issue Reference No.	Status

### 3.2. Appendix B – Glossary of Terms

The following is a selection of terminology used within the *Tax Project*. This glossary of terms is not intended to be all-inclusive. Source: “*The Gartner Glossary of Information Technology Acronyms and Terms*,” 2004.

Term	Definition
Access Control	Functions and administrative tasks related to system or network access, including user identification and access recording
Access Control List (ACL)	Manages users and their access to files and directories. Access control requires linking users with content. User information is stored in a directory, and content is referenced in ACLs
Application	A specific use for a computer or program, such as for accounts payable or payroll. The term is commonly used in place of the terms "application program," "software" or "program." Examples of programs and software include pre-packaged productivity software (such as spreadsheets and word processors) and larger, customized packages designed for multiple users (such as e-mail and workgroup applications).
Application Architecture	A component of the design architecture that defines the major applications needed to manage data and support business functions
Architecture	The overall design of hardware, software or network systems and the logical and physical relationships among its components. Architecture specifies the hardware, software, access methods and protocols used throughout the system.  A set of principles, guidelines and rules used by an enterprise to direct the processes of acquiring, building, modifying and interfacing IT resources throughout the enterprise. These resources can include equipment, software, communications, development methodologies, modeling tools and organizational structures
Backup	A software or hardware system that copies or "shadows" a data set, providing redundancy
Bandwidth	The range of frequencies that can pass over a given transmission channel. The bandwidth determines the rate at which information can be transmitted through the circuit: the greater the bandwidth, the more information that can be sent in a given amount of time. Bandwidth is typically measured in bits per second
Benchmark	A metric used to quantify performance for comparative purposes. See benchmarking
Benchmarking	Measuring the performance of hardware components or systems (such as processors or servers) using standard or industry benchmarks
Best-in-Class	The superior product within a category of hardware or software. It does not necessarily mean best product overall. For example, the best-in-class product in a low-priced category may be inferior to the best product on the market, which could sell for much more. See best-of-breed
Best-of-Breed	A term used to denote applications that offer superior functionality to serve specific functions, as compared those that offer numerous functions bundled within an



Term	Definition
	application suite. Enterprises often purchase software from different vendors to obtain the best-of-breed offering for each application area. For example, enterprises may purchase a sales force automation package from one vendor and a customer service package from another
Best Practice	A group of tasks that optimizes the efficiency or effectiveness of the business discipline or process to which it contributes. Best practices are generally adaptable and replicable across similar organizations or enterprises — and sometimes across different functions or industries.
Business Architecture	Component of the current and target architectures and relates to the organization’s mission and goals. It contains the content of the business models and focuses on the business areas and processes responding to business drivers. The business architecture defines business processes, information flows, and information needed to perform business functions
Business Continuity Planning (BCP)	See Disaster Recovery and Continuity of Operations (DR/COOP)
Business Drivers	Business requirements that cannot be met by the current IT environment or that can be improved by changing the IT environment
Change Management	<p>A set of management disciplines and best practices used to ensure a smooth transition and minimal disruption when system or process changes are introduced in an organization. In a traditional software development context, the term "change management" is sometimes used to refer to software version control or configuration management. In a broader business context, however, the term applies to the activities necessary to introduce change of all types to an organization. These includes not only development activities, but also broader concerns such as process re-engineering and the impact of change on people, including:</p> <ul style="list-style-type: none"> <li>▪ Ensuring that employee communication and needs are met</li> <li>▪ Reassuring people concerning the career impact the change (both for those whose jobs have changed, and for those who will be forced into new jobs inside or outside of the organization)</li> <li>▪ Persuading key stakeholders to accept and embrace the change</li> </ul>
Chief Information Officer (CIO)	The top executive in charge of information technology (IT) in an enterprise. CIOs typically oversee development of the enterprise IT strategy and architecture, alignment of IT with the business strategy; internal and external IT sourcing; and the development of an IT governance framework that defines the working relationships and sharing of IT components among various IT groups within the enterprise
Configuration Management	The process of managing the configuration of enterprise software or system components (such as PCs, networks or applications) to achieve benefits such as increased efficiency or interoperability. Historically, maintaining configuration consistency across an infrastructure has largely been a process-driven endeavor using



Term	Definition
	point tools to automate change across the silos of the infrastructure. Configuration management products oriented to desktop PCs, mobile devices and servers have added an important technology component to facilitate just-in-time configuration
Commercial Off the Shelf (COTS)	Descriptive term for software that can be purchased from an external supplier, as opposed to that which is developed within the enterprise
Database Administration (DBA)	The role of managing the data contained in a database
Data Center	The facility that houses and maintains back-end information technology (IT) systems and data stores such as mainframes, servers and databases.
Data Dictionary	A repository of information about data that supplies the meaning of the data, its relationship to other data, its origin, its usage and its format. The dictionary assists management, database administrators, system analysts and application programmers in effectively planning, controlling and evaluating the collection, storage and use of data. A data dictionary manages data categories such as aliases, elements, records, structure, stores, models, flows, relationships, processes, functions, dynamics, size, resource consumption and other, user-defined data attributes.
Desktop Management Services	The management and optimization of an enterprise's distributed desktop and associated network environment – as opposed to a stand-alone PC or workstation environment.
Disaster Recovery and Continuity of Operations (DR/COOP)	A broad approach to planning for the recovery of an enterprise's entire business process in event of a massive disruption caused by catastrophic event (such as a natural disaster or terrorist attack). DR/COOP includes plans for work facilities, telephone service, workstations, servers, applications, network connections and any other resources required for the continuity of business operations — as well as processes for communicating critical information to enterprise personnel, and steps to address their safety and welfare. The term is often used interchangeably with "business continuity planning (BCP)" and "disaster recovery planning" (DRP)
Disaster Recovery Planning (DRP)	See Disaster Recovery and Continuity of Operations (DR/COOP)
e-Mail	Any communication service that permits the electronic transmission and storage of text messages and attached or enclosed files. Some e-mail systems are limited to communication between end users on the same network; others have gateways that allow end users to send messages to other designated computer systems or worldwide over the Internet. Once sent, e-mail messages are stored in electronic mailboxes until the recipient retrieves them. Most Internet service providers also provide e-mail services.
End User	An individual who uses a computer to perform a business or personal activity. Technical personnel are generally not considered end users when they are programming or operating the computer for technical purposes, though they are when



Term	Definition
	they perform other tasks
Enterprise	Any large, autonomous, private sector or public sector organization that uses information technology. Enterprises include not only corporations, but also large, non-corporate entities such as governments, nonprofit groups and higher-education institutions. Enterprise also refers technology that spans, supports or applies to the overall organization vice technology which is relevant only to an organizational subunit, such as a department
Enterprise Architecture (EA)	Captures and documents the business processes, the information necessary to operate the business, the technologies necessary to support the business operations, and the transitional processes necessary for implementing new technologies in response to changing business needs. EA establishes a corporate-wide roadmap to achieve its mission within an efficient IT environment, which will provide a sound foundation to support the capital planning and investment management process
Facilities Management	Management of the internal enterprise facilities such as telecommunications or data-processing facilities and services
Firewall	An application or an entire computer (e.g., an Internet gateway server) that controls access to a network and monitors the flow of network traffic. A firewall can screen and keep out unwanted network traffic and ward off outside intrusion into a private network. This is particularly important when a local network connects to the Internet. Firewalls have become critical applications as use of the Internet has increased.
Gateway	A computer that sits between different networks or applications. The gateway converts information, data or other communications from one protocol or format to another. A router may perform some of the functions of a gateway. An Internet gateway can transfer communications between an enterprise network and the Internet. Because enterprises often use protocols on their local-area networks that differ from those of the Internet, a gateway will often act as a protocol converter, enabling users to send and receive communications over the Internet
Hardware	Machinery and equipment associated with computing devices. A computer is composed of both hardware and software. The software provides the instructions, and the hardware performs the processing
Internet	A loose confederation of independent yet interconnected networks that share information using a standard set of protocols. The founding principles of the Internet can be traced back to the early 1960s, when the U.S. Department of Defense Advanced Research Projects Agency began to conduct research into packet-switching technology. Since then, it has grown to become a global "network of networks" connecting millions of users worldwide. These networks are connected through "gateways," which enable the transfer of data using a common address system and a common communications protocol called Internet Protocol (IP). This, together with the Internet's ubiquity, makes it an excellent tool for distributing and sharing information
Kiosk	A self-service terminal typically used for one of three functions: to support non-cash



Term	Definition
	transactions (such as ordering tickets or making reservations), to dispense non-cash items (such as documents, tickets or coupons), or to provide access to information (such as rate quotations, product information or interactive sessions with product specialists). Kiosks typically do not dispense cash.
Local Area Network (LAN)	A geographically limited communication network that connects users within a defined area. A LAN is generally contained within a building or small group of buildings and is managed and owned by a single enterprise. The shorter distances within a building or campus enable faster communications at a lower cost than wide-area networks (WANs). Although an increasing number of LANs use Internet standards and protocols, they are normally protected from the public Internet by firewalls.
Redundant Array of Independent Disks (RAID)	A method of mirroring or striping data on clusters of low-end disk drives; data is copied onto multiple drives for faster throughput, error correction, fault tolerance and improved mean time between failures. With the exception of RAID 0, all RAID levels provide automated recovery of data in the event of a disk failure. There are currently six levels of RAID defined. Each RAID level provides additional performance enhancement and redundancy features.
Remote Access	The ability to connect to a network from a distant location. Generally, this requires a computer, a modem and remote-access software to allow the computer to connect to the network over a public communications network (such as a phone or cable network).
Service Level Agreement (SLA)	An agreement that sets the expectations between a service provider and its customer. It describes the products or services to be delivered, the single point of contact for end-user problems and the metrics by which the effectiveness of the process is monitored and approved.
Storage Area Network (SAN)	A storage network that consists of two tiers: The first tier — the storage plumbing tier — provides connectivity between nodes in a network and transports device oriented commands and status. At least one storage node must be connected to this network. The second tier — the software tier — uses software to provide value added services that operate over the first tier.
Technology Architecture	The physical depiction of the technology environment for the enterprise showing actual hardware and systems software.
Technology Drivers	Represent change agents for the enterprise architecture and include emerging technologies offering new solutions for business needs.
Virtual Private Network (VPN)	A system that delivers private communications services on a shared, public-network infrastructure, and provides customized operating characteristics uniformly and universally across an enterprise. The term "VPN" is generically used to refer to voice VPNs. To avoid confusion, those used for data, rather than voice, communications are more properly referred to as "data VPNs" or "IP VPNs." VPN service providers define a VPN as a wide-area network of permanent virtual circuits, generally using asynchronous transfer mode or frame relay to transport IP. VPN technology providers often define "virtual private networking" as the use of encryption software

Term	Definition
	or hardware to bring privacy to communications over a public or untrusted data network.
Virtual Local Area Network (VLAN)	A set of systems that, regardless of higher-layer addressing or location, is designated as a logical local-area network (LAN) and treated as a set of contiguous systems on a single LAN segment. VLANs can be proprietary or standardized using the Institute of Electrical and Electronics Engineers' 802.1q specification. Typical grouping parameters for VLANs include the port number of the hub, switch or router, the higher-layer protocol such as Internet Protocol (IP) or Internetwork Packet Exchange (IPX), the Media Access Control (MAC) address, and the traditional subnet. The goal of VLANs is to provide simpler administration and partitioning at the MAC layer.
Vision	A succinct and strategic statement describing the targeted end state of the Office of the CIO in five years.
Wide Area Network (WAN)	A communications network that connects computing devices over geographically dispersed locations. While a local-area network (LAN) typically spans a single building or location, a WAN covers a much larger area such as a city, state or country. WANs can use either phone lines or dedicated communication lines. See Local Area Network (LAN).