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AGENCY FOR
INTERNATIONAL DEVELOPMENT

**WORKPLAN
FOR REVISING
AID PERSONNEL
HANDBOOKS**

DECEMBER 29, 1980

CONTRACT NO: AID/OTR-I-1859

WORK ORDER NO: 1

OTR - 0049-7 - 01 - 0231-00

ARTHUR YOUNG

ARTHUR YOUNG

ARTHUR YOUNG & COMPANY
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December 29, 1980

Ms. Phyllis Drohat
Office of the Director, Management Planning
Agency for International Development
1400 Wilson Boulevard
Rosslyn, Virginia

Reference: Contract No: AID/OTR-I-1859
Work Order No: 1
Project Work Plan

Dear Ms. Drohat:

Attached please find our proposed workplan for performing the AID Personnel Handbooks project.

We look forward to receiving your comments regarding our approach to this work order. If you have any questions regarding this workplan please contact Ms. Loretta Auer at (202) 828-7000.

Very truly yours,

ARTHUR YOUNG & COMPANY

By: ⁱⁿ G. Mendenhall ^{LA.}

Gerald Mendenhall
Partner

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I. STUDY BACKGROUND

I. STUDY BACKGROUND

This work plan documents Arthur Young & Company's approach to carrying out the engagement with the Agency for International Development to analyze and rewrite its ten Office of Personnel Management Handbooks to conform to current legislative and regulatory requirements in a clear and succinct manner. The workplan consists of three sections. Section I, this Introduction, describes the project objectives and scope, and restates AID's requirements as set forth in the scope of work. Section II contains our technical approach for accomplishing project objectives. And Section III explains our project control system which we will use to ensure that the analyses and rewriting of the handbooks occurs in an orderly fashion, on schedule, and within budget.

1. OBJECTIVES AND SCOPE

The objectives of analyzing and rewriting the AID Office of Personnel Management Handbooks are:

- . Development of optional approaches to the handbook's structure and level of procedural detail
- . Rewriting of the handbooks to incorporate current legislative and regulatory requirements in the preferred structure and at the chosen level of procedural detail
- . Development of an updatable version of the handbooks compatible with Wang 5 word processing equipment.

These three objectives will be achieved sequentially. The optional approaches to handbook structure and level of detail will be defined through brief review of the current personnel handbooks and interviews with selected Agency staff. These reviews and interviews will provide the data for development of optional handbook structures and levels of procedural detail with recommendations as to the appropriate level of procedural detail and relationship between Foreign Service and Civil Service guidance. The handbooks will be analyzed to determine missing, inappropriate, or obsolete text, then rewritten to conform to current legislative and regulatory requirements. Floppy discs (which are compatible with Wang 5 word processing equipment) will be delivered to facilitate AID's future revisions of the handbooks.

The scope of the study will involve review and analysis of the ten AID Office of Personnel Management Handbooks (Handbooks numbered 24 through 33). Selected Agency personnel will be interviewed to define handbook usage practices, needs, and existing usage problems. These interviews will include selected personnel officers, AID/W Bureau/Office staff, and AID/W staff from both the Civil and Foreign Services who have no personnel responsibilities but employ the

handbooks for reference. The special concerns of foreign nationals and non-AID staff within Joint Administrative Organizations will be identified through interviews with individuals in AID/W having overseas experience. Based on this data, generalized outlines and accompanying narrative descriptions of optional handbook structures and levels of procedural detail will be written in sufficient detail for AID review and determination. Each AID Office of Personnel Management Handbook will then be analyzed to determine:

- . Content
- . Impact of recent legislation
- . Guidance from the Office of Personnel Management
- . AID memoranda and notices
- . Other documentation relevant to handbook content or structure
- . Obsolete text
- . Civil Service policy issues not yet addressed.

Unaddressed policy issues will be presented to AID management for decision in issue papers developed in collaboration with the staff of the AID Office of Personnel Management. Handbook sections requiring revision based on structure, content, or clarity will be rewritten. Revised sections will be submitted to the AID Office of Personnel Management for comment and will be revised to reflect these comments. A subject index for each handbook and an integrated index covering all ten handbooks will be prepared. Deliverables will include a final, camera-ready copy of each handbook and a Wang 5 word processor compatible version on floppy disc.

2. STUDY REQUIREMENTS

AID requested in their Scope of Work that the following requirements be met:

- . A brief review of the current structure of the ten personnel handbooks with particular focus on the mix of Foreign Service and Civil Service related guidance, the extent of coverage by State/AID/USICA Joint Regulations, and the level of procedural detail relative to end-user requirements.
- . Interviews with selected Agency staff on the utility of the personnel handbooks, including personnel officers, staff within AID/W Bureaus/Offices required in their work to use personnel procedures, individuals in AID/W with overseas experience who can provide insights on the use of personnel handbooks by foreign nationals and non-AID staff within

Joint Administrative Organizations and AID/W staff -- both Civil Service and Foreign Service -- who have no personnel responsibilities but occasionally use the handbooks to reference personnel policies and procedures.

- . Preparation of options and recommendations on the structure of personnel Handbooks with generalized outlines and appropriate narrative description of each in sufficient detail for AID review and determinations. Such options and recommendations should specifically address questions of (1) level of procedural detail and (2) the relationship between Foreign Service and Civil Service text, i.e., integrated according to personnel function, fully separated, or a combination of both, with appropriate recognition of the impact of Joint Regulations.
- . Analysis of all new Civil Service policies and procedures emanating from statute, Office of Personnel Management or AID internal initiative
 - Analysis in-depth of personnel handbook content, recent legislation, guidance from the Office of Personnel Management, AID memoranda and notices, and other relevant documentation
 - Identification of obsolete personnel handbook texts
 - Identification of Civil Service policy issues not yet addressed and, in collaboration with PM staff, preparation of appropriate issue papers for consideration and decision by AID management.
- . Preparation of draft handbook texts
 - Following AID approval of recommended structure of personnel handbooks, the analysis of current and new personnel policies and procedures, and the resolution of outstanding policy issues, preparation of drafts for all sections which require revision, including those which require modification because of a lack of clarity.
 - As individual sections or chapters are drafted their submission to PM for preliminary review, consultation and comment.
 - After PM comment, revision of texts as necessary and resubmission to PM for initiation of Agency-wide formal directives clearance.
 - Preparation of a detailed subject index for each of the new handbooks, as well as one integrated index for all personnel handbooks collectively.

Preparation of Final Camera-copy handbook text

- After Agency clearance of individual personnel handbooks and approval by the Project Officer, preparation and submission of a final camera-copy text for printing by the Agency.
- Simultaneously, the contractor will submit to the Project Officer the final camera-copy text on floppy disc, compatible with the Wang 5 word processor in order that word processing technology can be applied to the maintenance of the personnel handbooks, thereby reducing workload and facilitating timely revisions.

These requirements addressed in the Technical Approach presented in Chapter II of this Work Plan.

3. STUDY OUTPUTS

The key outputs to result from this effort include:

<u>OUTPUT</u>		<u>DUE</u>
. Detailed Work Plan	-	10 working days after beginning the study
. Oral Progress Report	-	Weekly
. Letter Progress Report	-	Biweekly
. Options and Recommendations Report	-	5 weeks from start of study
. Civil Service Policy Issue Papers	-	As Required
. Revised Personnel Texts	}	As prepared, reviewed, and approved during weeks 5 through 16
. Handbook Indexes		
. Integrated Index		
. Camera-Ready Copies of Handbooks	-	17 weeks from start of study
. Floppy disc copies of Handbooks	-	17 weeks from start of study

II. TECHNICAL APPROACH

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In our technical approach, we have been specifically guided by the directions contained in the AID Scope of Work; specifically paragraph V. Additionally, we have incorporated much of the same information in this workplan below.

Our revised workplan consists of three major steps: Development of Handbook Structure Alternatives; Policy & Procedure Analysis; and Handbook Preparation. The Workplan Schematic (Exhibit II-1) provides a detailed outline of key processes and outputs in each step. In particular, the schematic is intended to portray the importance we place on attention to criteria refinement at each major juncture as well as to show the importance of periodic working meetings to reinforce/refine criteria as necessary. Further, it indicates the need to provide for continued close working contact with knowledgeable AID personnel to ensure that this complex project is staying within agreed-upon boundaries. The project schedule shows the best estimates times of important milestones.

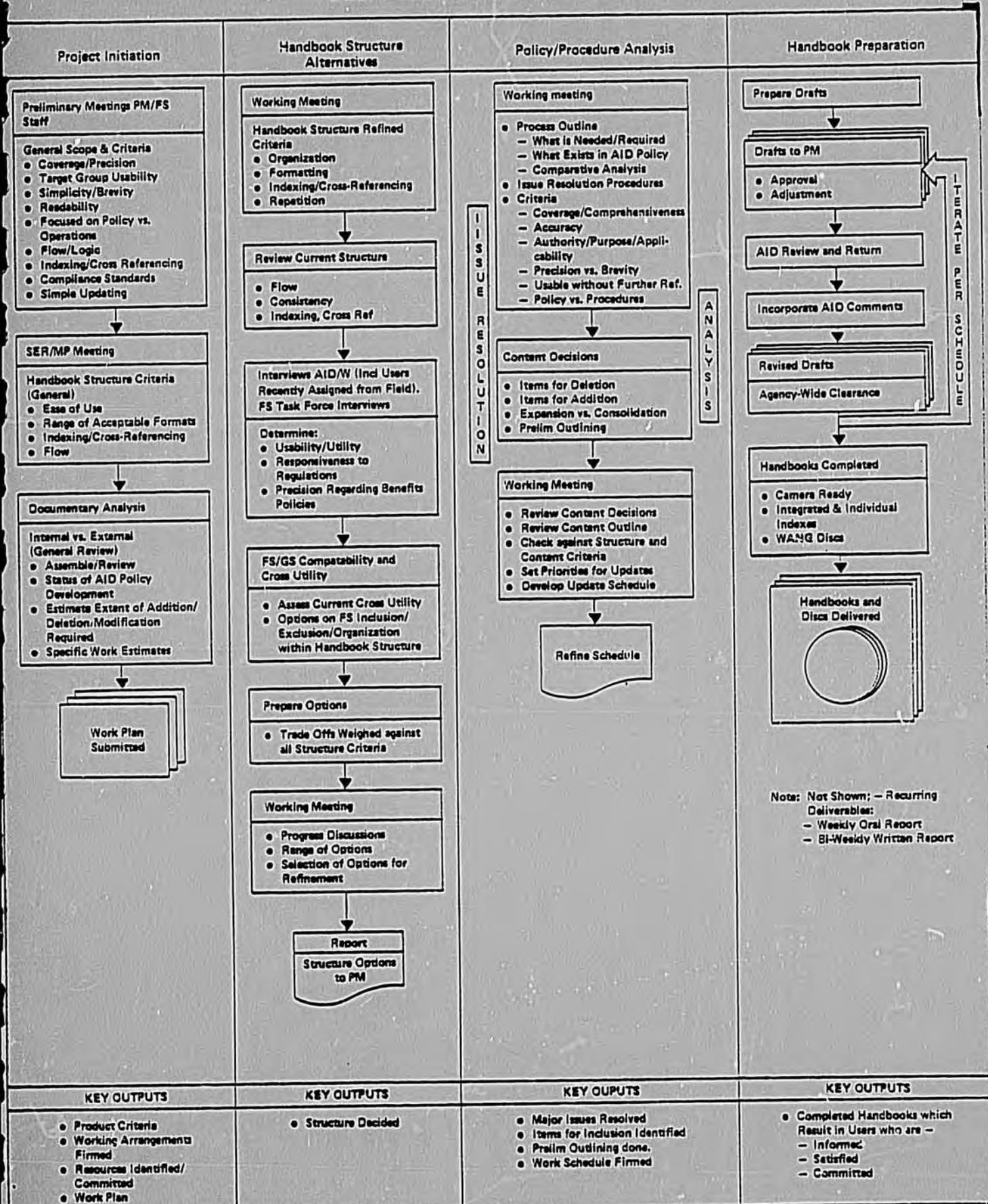
In developing this workplan we have been guided by the following important facilitating processes: First, a preliminary meeting with representatives of Personnel Management (PM), Management Planning (SER/MP), and Foreign Service (FS) staffs to achieve preliminary clarification of important product criteria and to discuss project methodology, controls, and scheduling and a preliminary analysis of available documentation (current Handbooks and pertinent external directives) to achieve a clearer sense of the size of the project as a first step in determining specific resources required. In performing the preliminary analysis of the handbooks, we have drafted an interview guide for use in the data collection phase, and have submitted this to the COTR for AID approval. The submission of this workplan completes the preparatory phase of this project. Upon AID's approval we will begin Phase I Development of structural Alternatives for the AID Personnel Handbooks.

1. PHASE I IDENTIFY AND RECOMMEND STRUCTURAL ALTERNATIVES FOR AID PERSONNEL HANDBOOKS

In this phase of the project we will work to identify various handbook structure alternatives to evaluate them, and to recommend specific structural options. To achieve this we will conduct a data collection effort which includes document review and interviews of selected AID personnel. Following is our specific plan to accomplish the task.

Work Plan Schematic AID Personnel Handbooks

EXHIBIT II-1



Task 1 HOLD INITIAL MEETING TO DISCUSS HANDBOOK STRUCTURE
CRITERIA AND DATA COLLECTION METHODOLOGY

After the work plan has been submitted and approved, we will hold a meeting with Personnel Management staff and the Foreign Service Task Force to discuss and refine handbook structure criteria and firm the schedule for the data collection plan. One outcome of the meeting should be mutual understanding and agreement on the general criteria for handbook structure, so that boundaries are established, and preliminary frames of reference are drawn. Some of the important criteria which should drive decisions about the structure of the manuals include:

- . The needs/problems of the users
- . Availability/accessibility of the material
- . Overall organization, including question of split between foreign service and civil service manuals
- . Need to prioritize content topics
- . Level of procedural detail desired vs. required, and identification of topics where procedural detail is crucial vs. the need for brevity
- . Readability/clarity
- . Simplicity.

In addition to the discussion of general criteria for handbook structure, the data collection methodology will be discussed and a preliminary interview schedule will be set.

Task 2 PERFORM DOCUMENT REVIEW RELATIVE TO HANDBOOK
STRUCTURE

We will conduct a review of AID and other Federal documents to help determine handbook structural approaches. The review will include four activities. We will compile lists of our findings and will highlight specific requirements which are targeted for inclusion. This document review will further prepare us to gather appropriate and complete data through interviews with key personnel. The four major activities are described below.

2.1 Review Current Handbook Structure

We will determine what approaches have been important in the past in documenting and updating personnel policies. We will assess these in relation to the general structural criteria that have been established.

Next, we will identify specific structural viewpoints and make a preliminary list of advantages/disadvantages of the current structural elements, and compare this to the costs/benefits of structural change. Some specific issues would include:

Overall organization of the manuals this includes items such as the following:

- Separation of policy and procedure questions that must be addressed include the degree to which regulations are included in the manuals, and the placement of these regulations
- Method of prioritizing material and determining level of procedural detail for each major topic
- method of updating
- method of indexing
- method of cross-referencing
- Inclusion of appropriate form completion guides
- Split between foreign service and civil service materials Questions that must be addressed on this issue include the consequence of placing all materials or some additional materials relating to foreign service personnel in separate manuals, or leaving most of the material where it is
- Flow and logic of topics in the manuals
- Definition of terms.

Formatting. This includes decisions on items such as the following:

- size and type of print
- paragraph and sentence structure

- format of chapter
- general layout of outlines narrative.

2.2 Identify new requirements through review of laws and regulations

We will review new personnel requirements as set forth in the Civil Service Reform Act and the corresponding Office of Personnel Management personnel regulations. We will develop a preliminary listing of major new requirements, and will identify corresponding sections of the handbooks that must be altered. This task will help to prepare the project team for the interviews with AID staff and for the following phase of the project, the comparative analysis and rewriting of the manuals.

2.3 Review AID Personnel Guidance

We will review any personnel guidance materials promulgated by AID which are not currently included in the handbooks; for example, any new guidelines developed since the enactment of the Civil Service Reform Act. We will analyze these new materials to determine where they fit in the overall organization of the handbooks. In addition after the interviews, we will determine the structural changes that must be made in these materials to compare to the new handbook format/structure.

2.4 Gather information on Structure of Personnel Handbooks of Other Federal Agencies

In this task we will perform research to determine how other federal agencies (e.g. OPM) have approached personnel handbook structure. We will identify and talk with appropriate individuals in one or two other agencies about personnel handbook guidelines, and discover the rationale for the structural elements. We will then analyze this information in light of AID's personnel needs, and determine if any of the approaches, might be appropriate in this instance. We will develop a list of possible approaches which could be useful options in determining handbook structure.

. Task 3. CONDUCT INTERVIEWS WITH HANDBOOK USERS

The next step in our data collection plan, is to conduct interviews with selected Agency staff. The purpose of the interviews is to assist us in developing valid optional approaches to handbook structure and in revising content. We will be determining users' perceptions of the current handbooks including the needs, problems and difficulties users may now experience; the level of current handbook usage, and any recommendations on structure and content which they may have. Following are specific activities which will occur during this task.

3.1 Develop Final Interview Guide and Gain AID Approval

We will develop and submit an interview guide. We have enclosed a sample draft guide in this work plan (Exhibit II-2). During this phase of the project we will meet with the Project Officer to gain input and feedback on the draft interview guide. We will incorporate suggestions and resubmit to AID for final approval. AID would then send an introductory memo to those individuals to be interviewed, to help prepare them for the interview. We are looking for as complete and valid information as is possible about actual handbook usage, and would like interviewees to have sufficient advance notice about the interviews.

3.2 Develop Final Interview Schedule and Protocol

With the designated AID Project Officer, we will develop the final interview schedule and protocol upon approval of the interview guide.

3.3 Conduct Interview With Designated AID Personnel

We will conduct interviews with selected Agency staff. We will target the audiences previously identified by AID as users, and our interviews will include the following four audiences:

- . Personnel Officers
- . AID/W Bureau/Office staff required in the course of their work to use personnel procedures
- . AID/W staff with overseas experience who can discuss use of the handbooks by foreign nationals and non-AID staff within Joint Administrative Organizations
- . Civil service and foreign service AID/W staff who are occasional users to reference personnel policies and procedures.

Our consultants will utilize the structured interview guides to gain desired information.

3.4 Summarize Interview Data and Prepare Structural Options

In this task we will compile and analyze the data gathered during the interviews. This data will help drive the remainder of the work effort. From the data summary, including the information gained from the interviews, the document review and the review of current handbook structure we will prepare several different options for handbook structure. We will examine the advantages and disadvantages of each option and prepare a draft report on structural options.

Code _____

SECTION I

Date: _____

INTERVIEW OUTLINE
AID PERSONNEL HANDBOOK REVISION

NAME _____ GRADE _____ OFFICE _____

POSITION _____ HOW LONG IN POSITION _____

FUNCTIONAL RESPONSIBILITY (RELATE TO HANDBOOK USAGE)

PREVIOUS POSITION _____ INTERVIEWER _____

USAGE PROFILE

1. Describe generally what use you make of the Handbooks. (more detailed inquiry into individual handbooks will follow.)

FREQUENCY OF USAGE	HANDBOOK	24	25	26	27	28	29	30	31	32	33
		General Personnel Policy	Employment and Promotion	Position Classification Pay and Allowances	Attendance and Leave	Training and Staff Development	Employee Relations and Benefits	Separations and Disciplinary Actions	Foreign National Personnel	Personnel Actions, Records and Reports	Overseas Position Management
Several times a day											
Once a day											
Three time a week or less											
Five times a month or less											
Six times a year or less											

2. Is non-use based primarily on no need? Inadequacy of Handbooks?

3. When you need Personnel Policy Information but cannot (or do not) use the manual, how do you get the information you need?

a. People? Who?

B. Other Documents? Which ones?

4. How accessible are the manuals to you as user?

___ Do you have your own set of manuals? _____

___ If so, are you responsible for updating? _____

___ If not, how/from whom do you gain access to them? _____

5. Describe the level of your involvement in the development of personnel policy and procedure.

___ Development of policy/procedure

___ Review and comment on draft policy/procedural guidelines

___ Final review/approval

___ I am not involved in personnel policy/procedure development.

6. What is your overall impression of the general utility of the Handbook set to you?

___ Very Useful? ___ Moderately Useful? ___ Mixed?

___ Marginally Useful? ___ Barely Useful? ___ Useless?

Explain:

(Note: Ask following question at end of interview)

7. If you could make one improvement in the handbook or the Handbook system, what would it be?

Code _____

Date: _____

SECTION II

AID PERSONNEL HANDBOOKS INTERVIEW OUTLINE

Person Interviewed: _____ Type _____.

Detailed Outlines for Handbooks #'s: _____.

General Comments:

- Major Observations

- Further Research Leads/
Additional Information Requirements

Interviewer: _____

Criteria Area	Current Condition	Desired Condition
Structural		
1. Organization/Flow		
Sequence of topics logical?		
If mix of foreign and civil service material, how appropriate?		
Table of Contents easy to use? - In enough/too much detail?		
Chapter divisions logical?		
2. Format		
Method of outlining the chapter (numbering and lettering system) clear and understandable?		
Able to locate specific topics in chapter quickly?		
Satisfactory method of highlighting important material?		
Logical location of forms, tables, attachments to chapter?		
Is use of different typefaces consistent and explainable? Which types are most useful?		
Reason for different page size? Does it affect ease of use?		
Method of pagination easy to understand and use?		

Criteria Area	Current Condition	Desired Condition
<p>3. Indexing/Cross Referencing</p> <ul style="list-style-type: none"> . Method of indexing <ul style="list-style-type: none"> - Easy to use? - Consistent? - Appropriate choice of subjects and key words? - Appropriate level of detail of subjects and key words? . Method of cross referencing <ul style="list-style-type: none"> - Easy to use? - Consistent? 		
<p>4. Updating</p> <ul style="list-style-type: none"> . Method of updating <ul style="list-style-type: none"> - Easy to use? - Consistent? - Timely? . What should be included in update information? <ul style="list-style-type: none"> - Authority/Origin? - Date? - Identification of subject area changed? . Procedures followed for updating appropriate? <ul style="list-style-type: none"> - Too complex? - Clear? 		

Criteria Area	Current Condition	Desired Condition
<p>5. Content Organization</p> <p>Inclusion/Exclusion of Major Subject Areas</p> <ul style="list-style-type: none"> . Impact of Civil Service Reform Act - what topic areas should be added, revised or deleted? . Impact of Foreign Service Act - what topic areas should be added, revised or deleted? . Other topic areas which need inclusion or revision? 		
<p>6. Size/Volume</p> <ul style="list-style-type: none"> . Level of detail relative to policy vs. procedure (length vs. brevity). <ul style="list-style-type: none"> - Appropriate as is? - Too little/too much detail? . Inclusion of reference documents (regulations, circulars) <ul style="list-style-type: none"> - Appropriate as is? - Documents to be added, dropped, revised? Which ones? 		

Criteria Area	Current Condition	Desired Condition
<p>7. Information Quality</p> <ul style="list-style-type: none"> . Is information readable to users? <ul style="list-style-type: none"> - Minimum use of jargon? - Terms defined clearly? - Short and simple sentence structure? . What information is not current and correct? (Add any items not covered in number 5) 		
<p>8. Cross-Utility to Different Users</p> <ul style="list-style-type: none"> . Personnel Officers AID/W . Administrative/Personnel staff required to use handbooks. . AID/W civil service staff who are occasional users . . AID/W foreign service staff who are occasional users. . Foreign Nationals . Non AID staff in Joint Admin. Organizations 		

3.5 Present Range of Structural Options to AID

We will hold a working meeting with appropriate AID personnel to present a range of options on handbook structure. During the meeting, AID personnel and the Arthur Young project team will work to identify which options would be maximally effective.

3.6 Submit Report on Structural Options

After the meetings with AID personnel we will prepare and submit our complete examination of structural options and our final recommendations for the selection of the options.

2. PHASE II CONDUCT CIVIL SERVICE POLICY AND PROCEDURE ANALYSIS

During this phase of the project we will analyze new civil service policies and procedures emanating from recent legislation, from the Office of Personnel Management, and from AID memoranda. The purpose of this phase is to make final determination on content changes to the handbook and to gather the necessary update information to do so. Following is our plan to accomplish the task.

TASK 1 HOLD INITIAL MEETING TO DISCUSS METHODOLOGY, SCHEDULE AND RESOURCES

We will hold an initial meeting with key AID personnel to discuss the content analysis methodology and the schedule, and to define the personnel resources at AID who will be coordinating the flow of documents between AID and the Arthur Young Project Team.

At the meeting we will discuss the general criteria to be used in performing the policy/procedure analysis. Some of the types of criteria we would use to provide a framework in performing the content analysis include the following:

- . Degree of comprehensiveness/coverage required per major topic
- . Applicability of material to topic area
- . Need for precision vs. the need for brevity.
- . Ability to use the handbooks without necessity for further reference
- . Appropriate authority for material
- . Degree of policy vs. procedure

These criteria for each major topic decision regarding the inclusion/excluding of materials. In addition, we will confirm policy issue resolution procedures.

TASK 2 PERFORM ANALYSIS OF RECENT CIVIL SERVICE POLICY AND PROCEDURES AS CONTAINED IN LEGISLATION AND AGENCY GUIDANCE

In this task the project team will focus on the required content changes to be incorporated in the revised AID personnel handbooks. Activities will include the following:

2.1 Perform Comparative Analysis

In this task we will analyze recent documentation to help determine what content changes need to be made in the handbooks. We will compare current handbook content with recent legislation, guidance from the Office of Personnel Management, AID memoranda and notices and other relevant documentation. We will identify obsolete text in the AID personnel handbooks and will develop a comprehensive listing of changes which must be made, in each handbook, including addition of new material, revision of existing material, and/or deletion. We will gather updated materials to be included in the new handbooks in this task also.

2.2 Identify Unresolved Personnel Policy Issues and Prepare Issue Papers for Decision by AID Management

In the course of the comparative analysis, we will identify, in conjunction with AID personnel, unresolved personnel policy issues. In collaboration with AID Personnel Management staff, we will prepare appropriate issue papers for consideration and decision by AID management.

3. PHASE III PREPARE HANDBOOKS

This final project phase involves rewriting the handbooks according to the schedule, priorities, and criteria determined earlier. This will involve an iterative process of preparing drafts for initial Personnel Management approval, and the gaining of Agency wide approval of revised drafts prior to final preparation. Following is our specific plans to complete the project.

TASK 1 PREPARE DRAFT HANDBOOK TEXTS

This task involves the rewriting of sections of the Handbooks requiring revision.

1.1 Prepare Initial Draft Texts

Based on AID approval of the recommended structure for the handbooks, the analysis of civil service personnel policies and procedures and the resolution and personnel policy issues, we will write draft text for all sections requiring revision, including those which require modification for greater clarity.

1.2 Submit Drafts to Personnel Management for Review and Approval

We will submit initial drafts of sections/chapters first to Management Planning for initial review and comment then to Personnel Management for their initial review and comment. Substantive changes requested by Management Planning will be addressed prior to submission of documentation to Personnel Management for review.

1.3 Revise Drafts and Resubmit to PM for AID Review

After we receive PM's comments and revisions, we will revise the texts as necessary and resubmit for PM approval and for initial AID review. We will incorporate AID comments and resubmit for formal directive clearance.

1.4 Prepare Handbook Indexes

We will prepare a detailed subject index for each of the new handbooks, in addition to an integrated index for all personnel handbooks collectively.

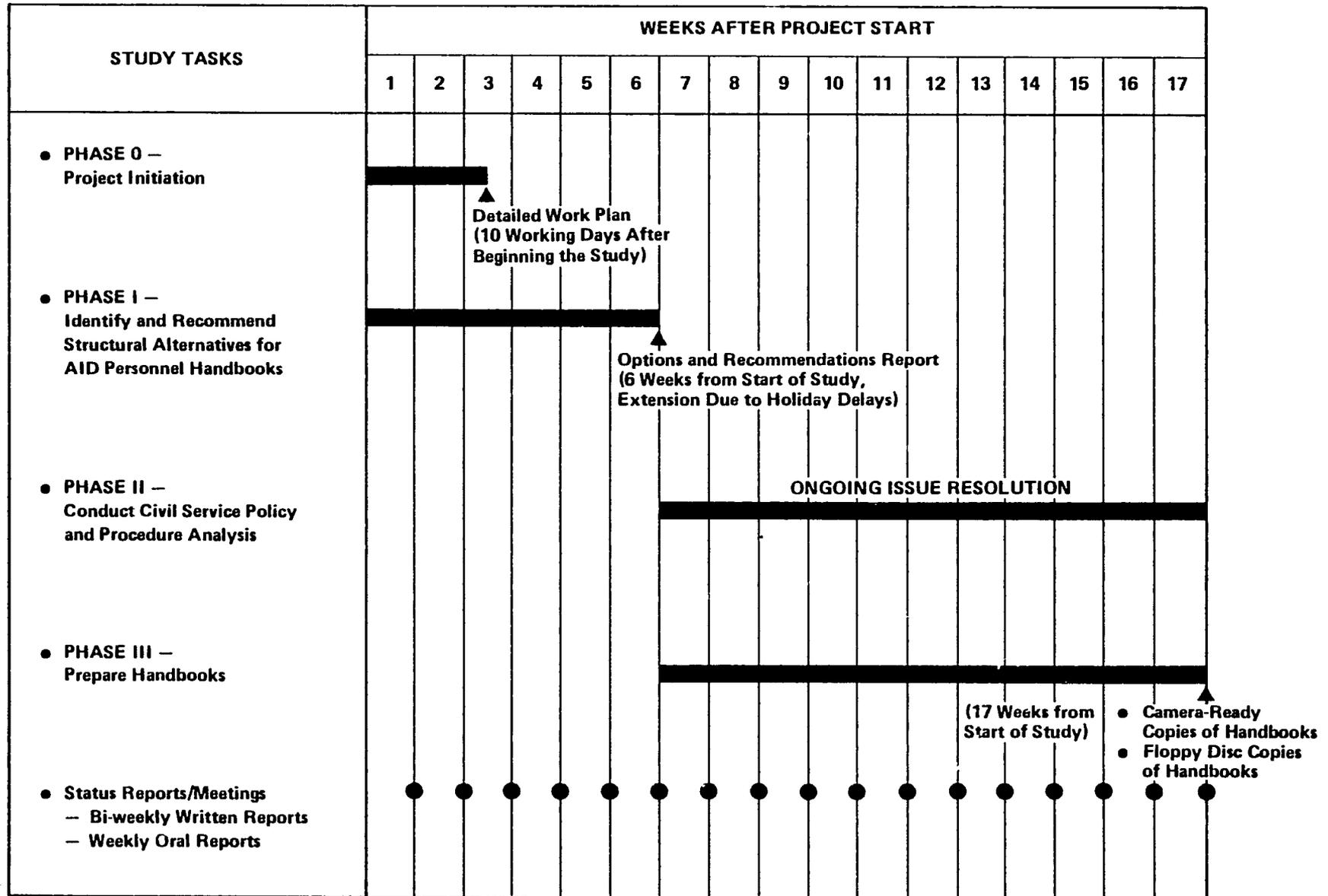
TASK 2 PREPARE AND SUBMIT FINAL TEXT AND WORD PROCESSING DISCS

After Agency clearance of individual personnel handbooks and approval by the AID Project Officer we will prepare and submit a camera ready text for printing by the Agency. In addition, we will submit the text on Wang 5 word processor discs.

4. Project Schedule and Deliverables

Exhibit II-3 on the following page graphically presents the overall schedule for the proposed project and required deliverables. On completion of Phase I a more detailed schedule will be developed for the actual handbook preparation effort. Exhibit II-4 presents the initial project budget in terms of staff hours.

REVISION OF AID PERSONNEL HANDBOOKS PROJECT SCHEDULE



III. PROJECT MANAGEMENT AND CONTROL SYSTEM

III. PROJECT MANAGEMENT AND CONTROL SYSTEM

1. OVERVIEW OF PROJECT MANAGEMENT APPROACH

The basic objective of our management policies and practices is to ensure that each engagement will satisfy client needs. This is accomplished by achieving successful execution of several basic management functions. These are further discussed in the paragraphs below.

(1) Planning

Effective project planning requires explicit attention to task schedules, work flow, and manpower utilization. Initial planning, regardless of how well done, is inevitably subject to review and adjustment based upon the results of orientation and review meetings conducted at the outset of a project and subsequently, upon the progress as measured at significant milestones. Provision for both contingency planning and backup must be an essential element of planning in every project plan. The Project Director and Work Order Manager will have primary responsibility for the development of these plans; however, review sessions involving project team members and the MP Project Officer and PM Project Officer will also be used to provide a forum for the identification of potential problems and their resolution as well as establishing ongoing work performance milestones and measurement criteria.

Our approach to planning involves the simultaneous consideration and definition of two highly interrelated requirements: work requirements and personnel requirements. These may be summarized as follows:

. Work Requirements

- Define specific objectives of the Work Order
- Delineate detailed work plan in terms of specific tasks and subtasks
- Identify milestones and deliverables
- Define performance review criteria
- Organize tasks in a time-phased work plan
- Establish delivery schedules

- Develop time-phased schedule and budget

Assignment of Personnel to Perform Task Order

- Identify consultant skill mix and experience level requirements
- Match personnel with specific skills and experience requirements
- Determine personnel availability using individual work project system
- "Fine-tune" work plan based on personnel assigned.

(2) Execution and Project Control

In our Workplans, we set forth the essential elements and details of the work to be performed. The Work Order Manager is the individual directly responsible for the implementation and operation of this plan. This responsibility includes the monitoring and collection of internal progress reports, receipt of data from the consulting team, distribution of information and reports, and maintenance of project control. The Work Order Manager reports, in turn, through the chain of command to the Project Director who then reports to the Partner-in-Charge. Although day to day execution of the workplan is primarily the responsibility of the Work Order Manager, each individual who is assigned is accountable for the completion of his/her assigned responsibilities. For the revision of AID's personnel handbooks, Mr. Gerald Mendenhall will be the Partner-in-Charge, Ms. Loretta Auer will be the Project Director, and Mr. Wayne Ploger will serve as the Work Order Manager.

The purpose of these project coordination efforts is to ensure that deadlines and deliverable dates are met and that unnecessary work is avoided. In each engagement, the Work Order Manager in conjunction with the Project Director establishes exact staffing patterns for each task and allocates available time, via individual task budgets. Each consultant is then monitored against this personal budget on an on-going basis.

Effective project control requires explicit attention on an on-going and timely basis to project costs, work accomplishment, task schedules and timely delivery of products or completion of services. Project performance is monitored in Arthur Young & Company by means of progress reports which every consultant is required to submit on a weekly or bi-weekly basis depending on the particular needs of each engagement. These reports, reviewed and consolidated by management, are augmented with periodic review sessions. Cost and budget performance are monitored and controlled through the Firm's automated project accounting

system. For this personnel handbook revision effort progress reports will be prepared on a biweekly basis since weekly oral briefings will be held with the MP designated progress review group.

(3) Performance Evaluation

There are two aspects of performance which are of concern in the provision of technical consulting services:

- . The effectiveness of the consulting services in achieving the specific Work Order objectives sought
- . The effectiveness of the consultant himself.

Individual performance evaluations are conducted internally by Arthur Young & Company for each project or study worked on by a consultant. These performance appraisals are conducted by the Project Director and Work Order Manager on the project to which the individual is assigned. The appraisal, in turn, is reviewed by the supervisory principal or partner to whom the individual reports organizationally. Because of the obvious relationships between a consultant's performance and the effectiveness of the services provided, we frequently supplement the existing staff performance evaluation systems with an evaluation provided by the client.

In this section we have presented a brief summary description of the Technical Assistance Management System (TAMS) developed by Arthur Young & Company. This summary, although providing only an overview of the major components of the system, should indicate the emphasis which Arthur Young & Company places on the management aspect of its consulting assignments.

2. PROJECT CONTROL SYSTEM

We have established a specific set of control functions through which the AID personnel handbook revisions will be accomplished. In tailoring the control functions to meet AID's requirements, consideration was given to several influencing factors including the following:

- . Revision of 8 personnel handbooks, including researching, rewriting, reformatting, gaining approval and preparing final camera ready copy and Wang 5 discs, resulting in final preparation of approximately 1000 pages.
- . Preparing indexes to all 10 personnel handbooks, including an integrated index to all the manuals.
- . Coordinating with and gaining approval from three different offices within AID.

Identifying and resolving personnel policy issues prior to final handbook approval.

With these considerations in mind, Arthur Young developed control functions as follows:

1. Staff Scheduling
2. Issue Resolution
3. Handbook Change Control
4. Cross Reference Control
5. Workpaper Control
6. Project Financial Reporting.

These control functions represent an interrelated set of control components that have been established specifically for the AID handbook revision project.

The remaining pages of this section contain narrative and graphic presentations of each control function. The graphic presentations contain, where appropriate, flowcharts depicting the control process, and documents which will be used to execute particular control functions.

1. STAFF SCHEDULING

A. PURPOSE

The purpose of the Staff Scheduling Control Function is to assist the project management team in maintaining qualified staff for assignment to develop AID personnel handbooks, and to provide project management with a means of monitoring regularly the individual staff assignments during the procedures development effort.

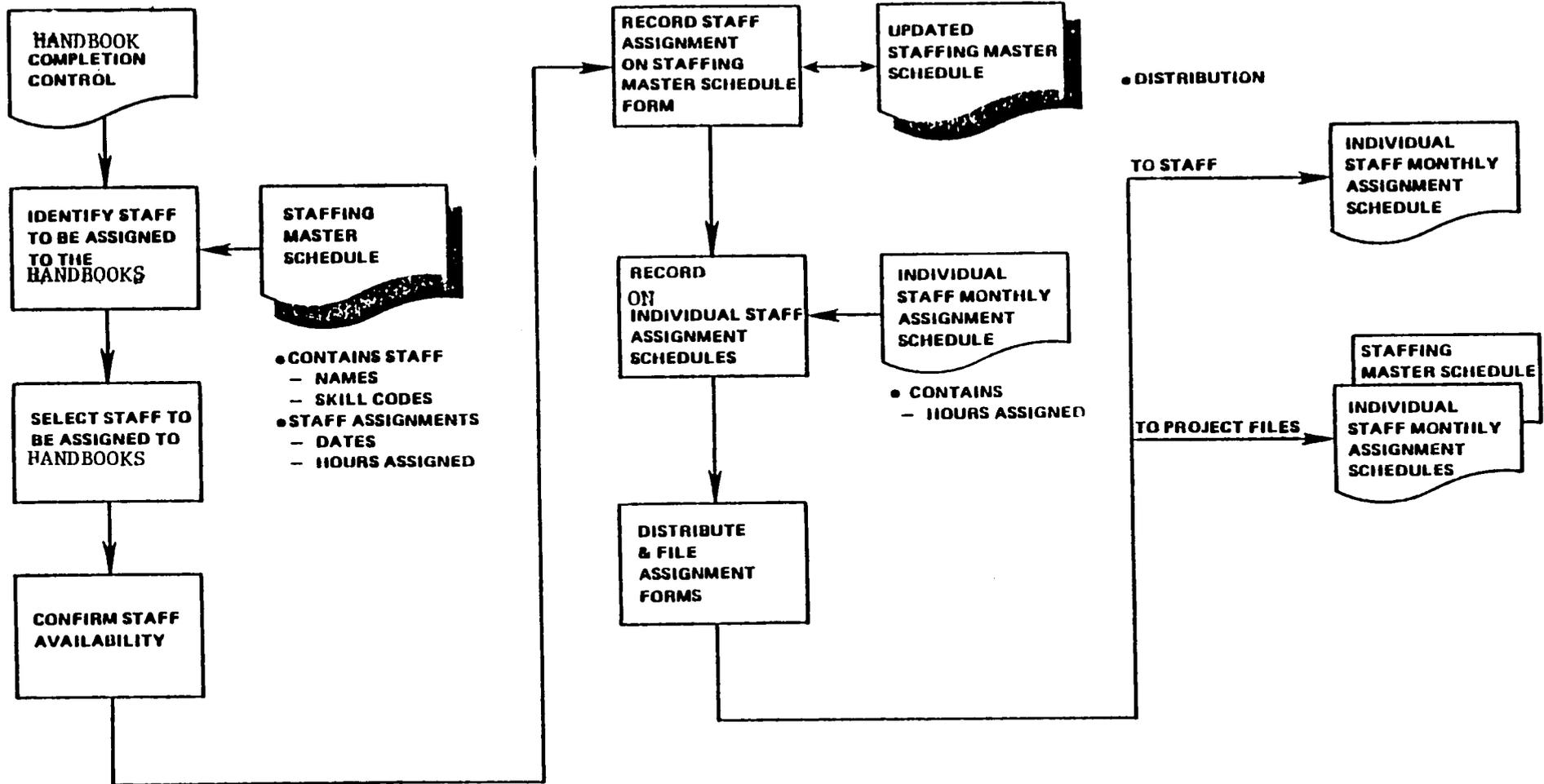
B. PROCESS OVERVIEW

Exhibit III-1 which follows presents in graphic form the key steps required in the staff scheduling control function. The Exhibit highlights ascertaining personnel and skill availability and the distribution of assignments to project staff.

C. KEY DOCUMENTATION

As presented in Exhibit III-2, the key document employed in the staff scheduling function is the staffing master schedule maintained by the Project Manager in the Project Manager's Notebook.

**AID PERSONNEL HANDBOOK REVISION PROJECT
STAFF SCHEDULING PROCESS**



2. ISSUE RESOLUTION CONTROL

A. PURPOSE

The purpose of the Issue Resolution Control Function is to ensure an orderly and timely resolution to personnel policy issues identified by the project team and by AID officials which will impact the handbook completion schedule. The function is designed to provide a mechanism for issues of a technical nature to be resolved.

B. PROCESS OVERVIEW

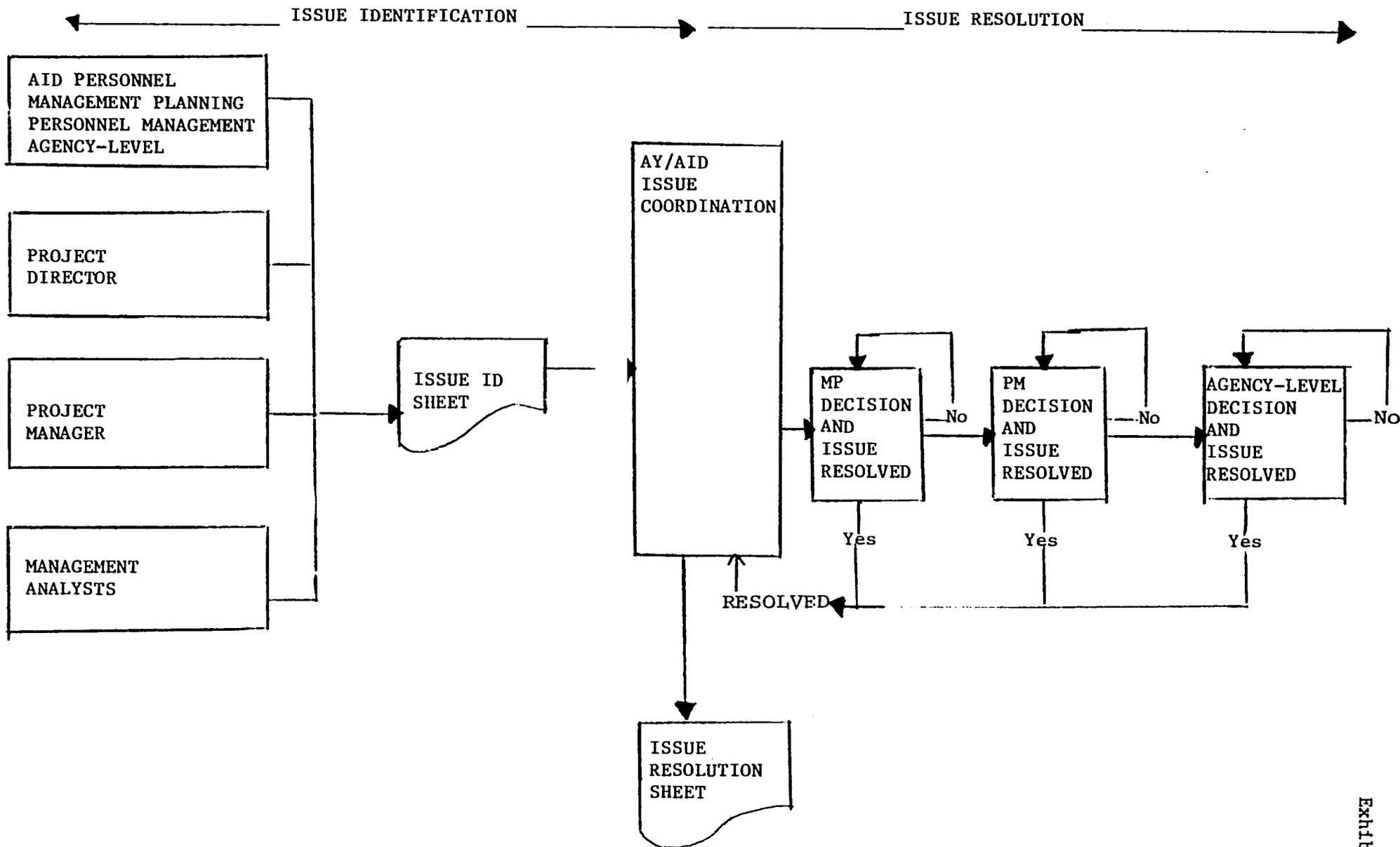
Exhibit III-3 presents in graphic form the general process of the Issue Resolution Control Function. The exhibit highlights the successive decision-making steps and chain of command through which issue identification and resolution will be coordinated.

C. KEY DOCUMENTATION

The key documents required for the Issue Resolution Control Function are listed below along with their corresponding Exhibit references.

- . Issue Control Log, Exhibit III-4.
- . Issue Identification Sheet, Exhibit III-5.
- . Issue Resolution Sheet, Exhibit III-6.

AID PERSONNEL HANDBOOK ISSUE IDENTIFICATION AND RESOLUTION



AID PERSONNEL HANDBOOKS ISSUE - CONTROL LOG

PAGE _____

HANDBOOK NUMBER	CLASSIFICATION	TITLE OF ISSUE	ORIGINATED BY	DATE ORIGINATED	LEVEL OF RESOLUTION	DATE SUBMITTED FOR RESOLUTION	DATE RESOLVED	IMPACT ON PROJECT SCHEDULE

AID PERSONNEL HANDBOOK ISSUE IDENTIFICATION

Title of Issue: _____ Handbook No. _____

Classification: _____ Log Control No. _____

- | | |
|---|---|
| <input type="checkbox"/> Employment | <input type="checkbox"/> Position Classification |
| <input type="checkbox"/> Performance Appraisal System | <input type="checkbox"/> Pay and Allowances |
| <input type="checkbox"/> Separation/Termination | <input type="checkbox"/> Benefits |
| <input type="checkbox"/> Disciplinary Procedures | <input type="checkbox"/> Employee Rights/Grievance Procedures |
| <input type="checkbox"/> Attendance | <input type="checkbox"/> Training/Development |
| <input type="checkbox"/> Leave | <input type="checkbox"/> Foreign National Personnel |
| | <input type="checkbox"/> Other _____ |

Request Date for Final Response _____

Originated by: _____

Date Submitted: _____

Description:

Impact on Status of Work:

Preliminary Alternatives to Resolve Issue Based on Information From AID staff:

AID PERSONNEL HANDBOOK ISSUE RESOLUTION

Title of Issue: _____ Handbook No. _____

Log Control No. _____

Decision:

Deferred Until _____

Deferred Until Clearing Process

Deferred Until Meeting of _____

The above decision alters the final approval for inclusion of related material
in the above handbook date from _____ to _____

Action Taken:

Resolved by _____

Date _____

3. HANDBOOK CHANGE CONTROL

A. PURPOSE

The purpose of the Handbook Change Control Function is to establish a standard method of initiating, evaluating, and monitoring changes requested during and after the revision effort. Due to the nature of the effort, many changes may be expected. These changes cannot always be avoided; they should be regarded as a necessary factor in handbook development work. They arise from the many alternatives to be considered and the requirements from different areas which must be based on incomplete information. As the project progresses, it may become desirable to reconsider some of the decisions already made as "frozen". These changes must be considered in a systematic manner, and implemented on a well regulated basis, in order to avoid unnecessary confusion, wasted effort, and accidental violation of some of the personnel requirements.

There are several reasons why the Handbook Change Control Function may become active. Some examples are:

- . To add a new policy and corresponding procedure to the system, through the issue resolution process
- . To revise an existing policy/procedure
- . To modify requirements in order to resolve an inconsistency.

There are possibly other factors which may impact the process change control function, but these will be determined only after the project specifics become known.

B. HANDBOOK CHANGE PROCESS - OVERVIEW

The control placed on changes to the handbooks will help ensure that the project proceeds in a timely manner and that decisions on handbook content are made so that revisions can be accomplished without undue delay. We will submit a first draft of handbook section(s) to Management Planning for their review. After receipt of MP's comments, we will make the suggested changes and needed revisions, and resubmit to MP for approval. After approval is obtained, the document will be submitted to the Office of Personnel Management for their review. On receipt of PM's comments we will resubmit the document after the required changes are made. Finally, the document will be reviewed on the Agency-wide level, and will be returned to Arthur Young for any revisions. Concurrently, Management Planning will review the document. Arthur Young will make final changes and resubmit the section(s) for final approval.

C. KEY DOCUMENTATION

The documentation required for Handbook Change Control are the following:

- . Handbook Change Control Log, Exhibit III-7
- . Handbook Change Transmittal Form, Exhibit III-8.

Copies of this documentation will be maintained in files ancillary to the Project Manager's Notebook.

AID HANDBOOK CHANGE CONTROL LOG

HANDBOOK NUMBER	TITLE OF CHANGE	SCHEDULED COMPLETION DATE	1ST DRAFT TO MP		2ND DRAFT TO PM		3RD DRAFT AGENCY-WIDE		REMARKS
			DATE SENT	DATE APPROVED	DATE SENT	DATE APPROVED	DATE SENT	DATE APPROVED	

EXHIBIT III-7

AID PERSONNEL HANDBOOKS
CHANGE TRANSMITTAL FORM

HANDBOOK NUMBER: _____

TITLE OF CHANGE: _____

DESCRIPTION OF CHANGE:

SUBMISSION OF:

FIRST DRAFT TO MP

SECOND DRAFT TO PM

THIRD DRAFT FOR AGENCY-WIDE CLEARANCE
WITH CONCURRENT MP CLEARANCE

SUBMITTED BY: _____

DATE: _____

CHANGE NUMBER: _____

4. CROSS REFERENCE CONTROL

A. PURPOSE

The purpose of the Cross Reference Control Function is to ensure that cross references appear in the appropriate places in the handbooks.

B. PROCESS OVERVIEW

As relationships among handbook contents are established during the handbook revision effort the project team will maintain an ongoing log. This log will form the basis for development of cross-referencing indexes among the AID Personnel Handbooks.

C. KEY DOCUMENTATION

The key documentation used in achieving cross reference control includes the AID Personnel Handbook Cross Reference Control Log, Exhibit III-9.

AID PERSONNEL HANDBOOKS
CROSS REFERENCE CONTROL

TITLE OF REFERENCE	REFERENCE ID NUMBER	CROSS REFERENCE TO THE FOLLOWING HANDBOOKS/PAGE #'s

5. WORKPAPER CONTROL

A. PURPOSE

The purpose of the Workpaper Control Function is to ensure that all pertinent documentation applicable to a given procedure is maintained in a central point. This control function requires that maintenance of all documentation for a procedure, i.e., input forms, process flowcharts, output forms, and procedure drafts are in Arthur Young workpaper binders.

B. PROCESS OVERVIEW

The process of workpaper control requires that the documentation of a process/procedure be physically placed and referenced in a workpaper binder. Completed workpaper binders will be stored in a central location.

C. KEY DOCUMENTATION

The key documentation required for the Workpaper Control function is the Arthur Young MS Workpaper Binder shown in Exhibit III-10.

6. PROJECT FINANCIAL REPORTING

A. PURPOSE

The purpose of the Project Financial Reporting Control Function is to ensure the financial integrity of the project. This assurance takes the form of control over staff hours and expenses, consultant and subcontractor hours and expenses, timely preparation of invoices, and close monitoring of the project budget with actual expenses incurred.

B. PROCESS OVERVIEW

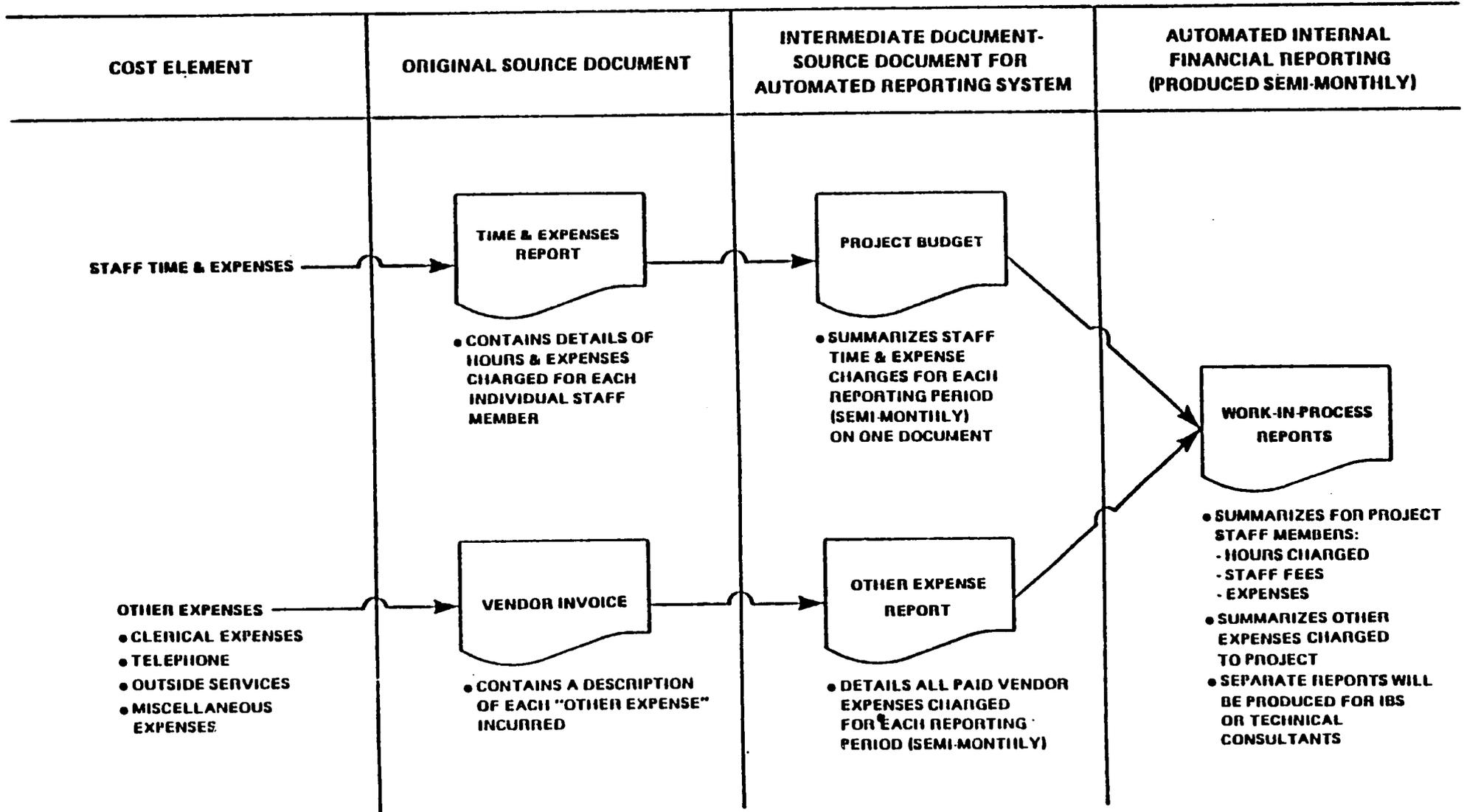
The Project Financial Reporting Control function is portrayed graphically in Exhibits III-11 and III-12. The graphics highlight the process through which staff changes are recorded and invoices are prepared. In addition, the Project Manager has the responsibility for continual monitoring of the Project's financial progress.

C. KEY DOCUMENTATION

The key documentation required for the Project Financial Reporting Control Function is the Engagement Budget shown in Exhibit III-13.

The engagement budgets and all expense reports are maintained in a file ancillary to the Project Manager's Notebook.

**AID PERSONNEL HANDBOOKS
PROJECT FINANCIAL REPORTING**



NOTE: ALL REPORTS ARE RECONCILED TO SOURCE DOCUMENTS

AID PERSONNEL HANDBOOKS
PROJECT INVOICE PREPARATION PROCESS

