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101886

United States Agency for International Development

*Proposed
Regional Support Mission for East Asia
Close-out Plan*

Bangkok, Thailand

*This is the first close out
plan - we need to have
McGraw and her people
review it right away -*

April 29, 1996

A.

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ACRONYMS

ADP	Automated data processing
ADPC	Asian Disaster Preparedness Center
AIDSCAP	AIDS Control and Prevention (centrally-funded USAID project)
ANE	(USAID) Asia/Near East Bureau
APCASO	Asia Pacific Council of AIDS Service Organizations
ARO	AIDSCAP Regional Office
ASEAN	Association of Southeast Asian Nations
AWACS	Agency Wide Accounting Control System
BMA	Bangkok Metropolitan Administration
CA	Cooperative Agreement
CO	Contracting Officer
CSR	Civil Service Retirement (system)
DAI	Development Alternatives Inc (RSM/EA contractor)
DTEC	(Thai) Department of Technical and Economic Cooperation
EARTP	East Asia Regional Training Project (RSM/EA project)
ENI	Europe and Newly Independent States (USAID regional bureau)
EXO	Executive Office (RSM/EA office)
EUP	Environment and Urban Programs (RSM/EA office)
FAAS	Foreign Affairs Agencies Services
FIMS	Finance and Information Management Services (RSM/EA office)
FN	Foreign National
FS	Foreign Service
FSN	Foreign Service National
FSNPSC	Foreign Service National Personal Services Contractor
FTE	Full time equivalent (employee)
FY	Fiscal Year
GC	(USAID) General Counsel
GS	General Schedule (class of USAID US direct hire employees)
GSO	General Services Officer
HG	Housing Guaranty
HHE	Household effects
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
HPN	Health, Population and Nutrition
IDI	USAID International Development Intern
IIE	International Institute of Education (RSM/EA contractor)
IQC	Indefinite quantity contract
KI/Asia	Kenan Institute/Asia
MACS	Mission Accounting Control System
NAD	(USAID) New activity description

NGO	Non-governmental organization
NIS	Newly Independent States
NLT	Not later than
NMS	New Management Systems (USAID software suite)
NPM	Non-presence Memo
NXP	Non-expendable property
OE	Operating expenses
OFDA	(USAID) Office of Foreign Disaster Assistance
OYB	(USAID) Operational year budget
PACD	Project Assistance Completion Date
PDE	Project Development and Evaluation (RSM/EA office)
PHN	Population, Health and Nutrition
PIET	Partners for International Education and Training
PIR	Project Implementation Report
PITO	Private Investment and Trade Opportunities (RSM/EA Project)
POV	Privately-owned vehicle
PPC	(USAID) Bureau for Policy and Program Coordination
PSC	Personal services contractor
PSP	Program and Strategic Planning (RSM/EA office)
PVO	Private voluntary organization
R4	Results Review and Resources Request
RAMC	Regional Accounting Management Center
RCO	Regional Contracting Officer
RDPMP	Regional Urban Disaster Prevention and Mitigation Project
RFA	Request for Applications
RHUDO	(USAID) Regional Housing and Urban Development Office
RLA	Regional Legal Advisor (RSM/EA office)
RP	Regional Procurement Office (RSM/EA office)
RSM/EA	(USAID) Regional Support Mission for East Asia
RTG	Royal Thai Government
RTSP	Regional Technical Support Project (RSM/EA project)
SO	Strategic Objective
SpO	Special Objective
STD	Sexually transmitted disease
TDY	Temporary duty
TR	Technical Resources Office (RSM/EA office)
UAB	Unaccompanied air baggage
USAEP	United States/Asia Environmental Program (USAID ANE Bureau Program)
USDH	US direct hire
USPSC	US personal services contractor
USTDP	US-Thailand Development Partnership Project (RSM/EA project)

I. Executive Summary

This proposed Close-Out Plan was prepared in response to the ANE Bureau's query on the possibility of closing the Regional Support Mission for East Asia (RSM/EA) this fiscal year. The conclusion is that it can and, in the interest of saving limited FY 1997 Operating Expense (OE) funding, it appears highly advantageous for the Agency to do so. **The Plan demonstrates that with timely decisions on the relocation of ongoing activities and services and the placement of USDH seeking onward assignments, the RSM/EA can close down by September 30, 1996 without any increase in vulnerabilities.** Second, the Plan would result in considerable cost savings which make a compelling case for closure by the end of FY 1996. The Plan recommends USAID/Philippines as being the most suitable site for relocating most of the RSM/EA's continuing activities and services. USAID/Cambodia and USAID/Indonesia are also recommended as appropriate locations for some activities.

As the rationale behind decisions to close the RSM/EA rests on the need to deal with a sizeable expected shortfall in FY 1997 OE, the financial considerations make a convincing case to close by September 30. **Savings in rents, allowances and overhead costs make it possible to close the RSM/EA this fiscal year without the need for any additional OE resources.** If the RSM/EA shuts down by September 30, 1996, there also would be no demand on the FY 1997 OE budget. Extending the RSM/EA beyond September 30, even as little as three months, requires an outlay of over \$640,000 in FY 1997 OE.

The close-out of the RSM/EA is functionally different from other bilateral mission close-outs in that most of the program activities and all of the services provided by the RSM/EA will continue. Thus, the primary concern is how and when to transfer these activities and services to others. As a result, timing of the close-out is, to a large extent, dependent on when the activities and functions can be transferred, i.e., when others are able to assume responsibility for the RSM/EA workload. Some functions and activities are more easily transferred than others, and all do not have to be transferred at the same time. In general, the RSM/EA believes that support services should continue to be provided from within the region because of the factors identified in the RSM/EA's December 1995 "Myth" paper. The RSM/EA also believes that responsibility for the design and implementation of non-presence country activities should similarly continue to reside in the region for many of the same reasons.

The RSM/EA currently manages six regional and two Thai-bilateral projects. Two of these eight projects will be finished by September 30, 1996. Another one, which will be substantially scaled back, is recommended for transfer to USAID/Cambodia for management. The RSM/EA also recommends that two other activities be transferred to and managed by USAID/Indonesia and the remaining three activities be transferred to and managed by USAID/Philippines. Based on preliminary consultations, the three receiving missions have indicated a willingness to take over management responsibility for the continuing projects as of July 1, 1996, including, in the

case of the Vietnam grants, fourth quarter obligation of potential FY 1996 funding. The RSM/EA is also in the process of developing a new FY 1996 regional HIV/STD prevention activity. We recommend that the design of this activity be transferred to either another mission in the region or to Washington and that it be considered for an FY 1997 start.

Defined as the RSM/EA "customer support" special objective, the Mission provides program/project and/or administrative services and support to designated bilateral missions and other USAID offices in the Asia region. Program support includes program office, project development and technical support responsibilities, and administrative support encompasses financial management, data and information management, legal, executive office as well as contracting and procurement responsibilities. The RSM/EA currently provides the full range of services to Cambodia and Mongolia (and the RSM/EA itself), financial management and executive office services to the RIG/Bangkok and the Development Counselor/Tokyo, contracting and legal services to Sri Lanka and contracting services only to Nepal.

The RSM/EA proposes to discontinue the majority of these services by June 30, 1996, and recommends that responsibility for providing all these services be transferred to USAID/Philippines with the following exceptions:

- The RSM/EA will provide its own financial management services through August 31, 1996 and its own executive office services through September 30, 1996.
- The RSM/EA proposes to continue providing legal services until the departure of the RLA on or about July 31, 1996, several options are recommended for providing these services to customer missions beyond that date.
- The RSM/EA recommends that contracting and procurement services for Sri Lanka and Nepal be transferred to a mission(s) in the South Asia region.
- The RSM/EA proposes to discontinue providing executive office services to all customers by June 1, 1996 to enable the EXO staff to focus on the close-out of residences and office space, the disposal of property and the shipment of files.
- The RSM/EA recommends that USAID/Philippines serve as the financial management, contracting and executive office support center for Cambodia in the near-term, as well as provide program services as required, until decisions are made regarding additional USDH staffing and USAID/Cambodia is adequately staffed to take on these responsibilities itself.

This Plan, its recommendations and the financial calculations associated with it are guided by a common set of assumptions as follows:

- The RSM/EA will close September 30, 1996 with residual housekeeping tasks completed not later than October 31, 1996.
- The RSM/EA will discontinue EXO services as of June 1, 1996 and all other program and administrative support (except RLA services) as of July 1, 1996.
- The RSM/EA will discontinue RLA services as of July 31, 1996.

- The entire RSM/EA portfolio, with the exception of two closing projects, will be transferred on or before June 30, 1996, including responsibility for possible FY 1996 obligations for Vietnam under the Victims of War and Displaced Children Projects
- The ten USDH requiring onward assignments will be made eligible bidders by May 31, 1996, allowing them to seek appropriate positions
- Nine of the twelve USDH at the RSM/EA will leave post on or before July 31, 1996
- Of the three remaining USDH, the Deputy Mission Director and the Controller will depart post on September 30, and The Executive Officer on October 31, 1996
- All but approximately 20 FSNs will depart by July 31, 1996
- Two FSNs will remain with the EXO after September 30 and leave not later than October 31, 1996
- At least 4 existing RSM/EA FTEs (Executive Officer, RLA and both Contract Officer positions) will be transferred to other missions in the region, requiring NSDD 38 approval by the Ambassadors in those countries, and the remaining 12 FTEs (of a total of 14 for the RSM/EA and 2 for RHUDO) will be either abolished or transferred elsewhere by the Bureau

On the basis of budgetary projections alone, the data suggest that it is more advantageous to the Agency if the RSM/EA closes on September 30, 1996. The RSM/EA believes that it is possible to close-out by September 30, 1996, in a careful and systematic manner without introducing vulnerabilities or requiring any disruption of services to customers because new homes can be found for the ongoing activities and support responsibilities now undertaken by the RSM/EA. And, based on preliminary consultations, the recommended recipients have all indicated that they are willing and able to take on these responsibilities by the dates necessary for the RSM/EA to close by September 30, 1996. USAID/Philippines has expressed interest in and appears capable of serving as that new home for most of the business carried out by the RSM/EA. USAID/Cambodia and USAID/Indonesia are prepared to take on some of these responsibilities as well. If decisions can be made soon on the transfer locations and timing, the RSM/EA can close-out by September 30, 1996 leaving only a very small core staff to finalize housekeeping actions necessary for "turning off the lights and locking the door." Importantly, no FY 1997 OE would be required for the RSM/EA. If decisions can be made quickly, ongoing activities and support functions can be transferred smoothly with a minimum of disruption. The RSM/EA therefore recommends that the September 30, 1996 target date for RSM/EA closure be approved and that decisions necessary for its implementation be made at the earliest opportunity.

II. Proposed RSM/EA Program Close-out Plan

A. TRANSFER OF SUPPORT RESPONSIBILITIES

The RSM/EA provides program, project development and technical resource support for Cambodia, Mongolia and the RSM/EA itself (In the discussion that follows we will refer to these services collectively as "program support ") While these program support services have been used extensively over the past year, the RSM/EA believes that the discontinuation of program support by June 30, 1996 is feasible and should not pose any problems for Mission customers USAID/Mongolia is scheduled for close-out during FY 1997 and USAID/Cambodia is slated to become a full service mission in the near future USAID/Cambodia should be able to obtain needed program services from Washington, other missions in the region or through readily available outside consultant services While these sources will not be as convenient or cost-effective as the RSM/EA, they are satisfactory alternatives USAID/Mongolia can also avail itself of these alternatives, however, given its limited staffing, we recommend that Mongolia be provided access to a single support center, such as USAID/Philippines

A 1 Cambodia

Description of the Transfer Process RSM/EA staff are currently serving as full-time members of Strategic Objective (SO) Teams for the Cambodia program and have been actively involved in the identification and development of Results Packages and Intermediate Results In addition, RSM/EA staff have helped to revise USAID/Cambodia's long-term development strategy Cambodia has also made extensive use of RSM/EA technical support in health and population RSM/EA staff have been influential in the development of USAID/Cambodia's Maternal and Child Health Strategic Objective and have played an active role in planning HIV/AIDS and birth spacing activities Finally, the RSM/EA has assisted in a number of design and implementation actions in the democracy sector over the past year

The RSM/EA proposes to continue these services as needed through June 30, 1996 Once the R4 is completed in early May, we expect any program support required over the rest of the year will be intermittent and primarily directed at the analytical work necessary in preparing for USAID/Cambodia's revised strategy to be written in the fall RSM/EA staff serving as SO Team members in USAID/Cambodia's program will phase-out their involvement in SO Team activity and help to identify suitable team member replacements After June 30, and depending upon the preferences of USAID/Cambodia, program assistance would be provided from USAID/Washington, other missions in the region or through short-term consultant services We have confirmed that this proposal would be acceptable to USAID/Cambodia

Key Assumptions 1) USAID/Cambodia is designated a full service mission and receives authority to staff itself accordingly during FY 1997, and 2) appropriate programmatic TDY assistance or consulting services are available to Cambodia when needed

Outstanding Issues None

Recommendations that 1) RSM/EA program support to USAID/Cambodia be discontinued by June 30, 1996, and 2) USAID/Cambodia be responsible for seeking required program services from alternative sources after that date

A 2 Mongolia

Description of the Transfer Process USAID/Mongolia has obtained assistance from the RSM/EA in the development and refinement of its Results Framework and the revision of its long-term development strategy RSM/EA staff are serving as full-time members of SO Teams for the USAID/Mongolia program and in two cases as the SO Team Leader The RSM/EA also has assisted in the obligation of funds and a number of implementation actions over the past year

The RSM/EA proposes to continue these services as needed through June 30, 1996 The RSM/EA staff plan to undertake at least two TDYs during May and June to complete reengineering activities associated with the Mission's project portfolio, and depending on the outcome of the R4 review, project development services may be needed as well Between now and June 30, 1996, RSM/EA staff serving as SO Team members in USAID/Mongolia's program will phase-out of involvement in SO Team activity and help identify suitable replacements for SO Team membership Beyond June 30, 1996, another mission or support center in Washington will need to be identified as a continuing source of program support services Program support could be provided via TDYs by Washington staff, another Mission in the region or the NIS Bureau and/or through short-term consultants However, the RSM/EA believes that the small number of staff could be burdened by having to obtain services from multiple sources and would be best served by designation of a single support center The most appropriate location for such a support center would seem to be USAID/Philippines which is best able to absorb both the program and administrative support requirements for this small program Reasons for this recommendation include the proximity of the Philippines to Mongolia, relatively easy travel connections, location in the same time zone and the availability of skilled staff capable of providing support at USAID/Philippines

Key Assumptions 1) both USDH and FSN presence in Mongolia will end during FY 1997 although the program may continue beyond FY 1997, 2) USAID/Philippines is able to meet USAID/Mongolia's program support needs after June 30, 1996 and is able to continue to provide support after the departure of USDH and FSN staff until the final close-out of the USAID/Mongolia program, 3) appropriate program support TDY assistance from USAID/Philippines will be available to Mongolia when needed

Outstanding Issues The Agency needs to decide the exact nature and timing of the mission and program close-out in Mongolia before the Mission can fully define its future program support needs. In addition, a designated multi-service support center should be identified for USAID/Mongolia to receive program support services after June 30, 1996.

Recommendations that 1) RSM/EA program support to USAID/Mongolia be discontinued by June 30, 1996, and 2) USAID/Philippines be designated to provide program support after June 30 to USAID/Mongolia and to assume oversight responsibility for any ongoing program beyond the departure of the current USDH employee in Mongolia.

B TRANSFER OF PROGRAM/PROJECT PORTFOLIO

The RSM/EA's regional portfolio consists of two types of projects. The Mission currently manages two regional "service" projects, one a Regional Training Project, which is being implemented by the International Institute of Education (IIE), and the other a Regional Technical Assistance Project, which is being implemented by Development Alternatives Inc (DAI). Both projects provide assistance to RSM/EA-supported USAID country programs either via core funding or buy-ins by the country programs.

The Mission's portfolio also includes two regional development assistance projects. The RSM/EA's Regional Housing and Urban Development Office (RHUDO) manages an Office of Foreign Disaster Assistance funded Regional Urban Disaster Preparedness and Mitigation Project with the Asian Institute of Technology based in Bangkok. In addition, the RSM/EA was in the process of designing a regional HIV/STD activity, which would involve Thailand, Cambodia, Laos and Vietnam.

In addition, the Mission manages three projects covering activities in non-presence countries (i.e., those without on-the-ground USAID staff) in the region. The projects comprise a portfolio of fourteen grants with US non-governmental organizations (NGOs), which are largely financed with Congressionally-mandated funds. The portfolio consists of approximately \$12.5 million in humanitarian assistance (prosthetics and displaced children) in Vietnam since 1992, about \$2.8 million in humanitarian assistance (HIV/AIDS and prosthetics) in Laos since 1992, and a little over \$1 million in humanitarian assistance (health and child survival) to displaced Burmese residing along the Thailand-Burma border since 1994.

Other regional program activities include providing oversight of the Asia Regional Office of the Global Bureau's AIDSCAP project (the Mission has very limited involvement in other Global Bureau activities in Thailand), closing down the USAID/ASEAN Private Investment and Trade Opportunities Project and limited participation in USAEP activities in Thailand.

Finally, the bilateral assistance program in Thailand formally ended September 30, 1995. Two bilateral activities, however, continue: the US-Thai Development Partnership Project (PACD)

September 30, 1996) and the Urban Environmental Infrastructure Guaranty Project (PACD September 30, 1998)

B 1 Regional Training and Technical Support Projects

Description of the Termination Process, Regional Training Based upon an analysis of demand and cost associated with the East Asia Regional Training Project (EARTP), which was conducted in early 1996, the RSM/EA had concluded that this project should be terminated early, before news of the RSM/EA close-out decision. The closing of the RSM/EA provides additional justification for this action. This analysis has been discussed with customer missions in order to develop alternatives which permit accommodation of a limited number of outstanding requirements. Customer missions have concurred with the proposed early termination.

There is only one obligating instrument under this project, a long-term institutional contract with the Institute of International Education. Termination of the project requires an early, full termination of the IIE contract. The steps leading to full termination have already begun as IIE prepares for the closure of its Bangkok office.

Contract and project termination procedures include transferring the six Mongolian trainees from IIE to PIET, preparation of appropriate documentation for the Office of Regional Procurement (O/RP), disposition of the project-funded commodities with the appropriate parties (IIE, DTEC and RSM/EA), receipt of a final report from IIE, preparation by the Mission of a project completion report and preparation of files for storage. All of these actions are scheduled for completion by June 30, 1996.

Key Assumptions and Outstanding Issues None

Recommendation that the RSM/EA proceed with its original plans to terminate the Regional Training Project and the IIE contract by June 30, 1996

Description of the Transfer Process, Technical Support A similar analysis of the Regional Technical Support Project (RTSP) was undertaken along with EARTP. Although RTSP provides funding for a limited number of key PSCs at the RSM/EA (the grant manager for Vietnam/Burma/Laos portfolio, program economist and local costs for the Michigan fellow), the principal procurement is a long-term institutional contract with Development Alternatives, Inc.

The underlying assumptions of the project have proven to be invalid. The demand for services from customer missions has lagged far behind original expectations, USAID programs in non-presence countries remain extremely restricted in terms of the scope of activities and level of funding, and funding for core support costs for DAI is limited.

Consultations with customer missions indicated strong support for the continuation of the DAI contract, at least to permit the timely completion of already executed long-term delivery orders (one in Mongolia and two in Cambodia) USAID/Mongolia expressed interest in possibly extending its existing delivery order but indicated no plans for future delivery orders USAID/Cambodia, on the other hand, would like to keep its options open for possible future delivery orders However, with the closing of the RSM/EA, continuation of the project requires the transfer of project and contract management responsibilities elsewhere

The RSM/EA recommends a partial termination of the DAI contract This would involve closing the DAI Bangkok office, completing existing delivery orders, and responding to requests for additional work on an "IQC" work order basis The RSM/EA has already advised DAI to close its Bangkok office no later than June 30, 1996 Existing buy-ins will be implemented as originally designed The contract would remain "open" through its current termination date of September 29, 1998, for possible buy-ins but there would be no additional core funding

RSM/EA staff have served as the Project Manager for all activities funded under the core (PSCs and DAI), as well as the Cognizant Technical Officer for the DAI contract The steps for the transfer of these responsibilities are provided in the timeline in the Annexes and include the preparation of appropriate documentation and the disposition of the project-funded commodities in the DAI Bangkok office with the appropriate parties (DAI, DTEC and RSM/EA), all to be completed by June 30, 1996



The RSM/EA recommends that the roles of Project Manager and Cognizant Technical Officer for the DAI contract be transferred to USAID/Cambodia and that contract administration be transferred to USAID/Philippines USAID/Cambodia has been the largest user of the DAI contract to date and is likely to be the only user in the future USAID/Cambodia has indicated a willingness to assume this responsibility, including providing contract management for Mongolia's one delivery order which ends in June 1998 This recommendation does not require RSM/EA TDY support If the project can not be moved to Cambodia, we recommend that the roles of Cognizant Technical Officer and Project Manager be transferred to USAID/Philippines Co-location of project and contract responsibilities is considered useful for the project, but not essential as DAI activities are off-site Under this scenario, periodic TDY monitoring by USAID/Philippines is recommended (semi-annually) to perform the oversight function adequately

Key Assumptions 1) transfer of the project to another mission involves Project Manager and Cognizant Technical Officer (for the DAI contract only) responsibilities, 2) all remaining actions under the project, eg, termination of PSCs and disposition of project commodities, will be accomplished by the RSM/EA in accordance with the approved close-out plan, and 3) USAID/Cambodia (and only USAID/Cambodia) will be permitted to undertake additional buy-ins to the DAI contract

Outstanding Issues None

Recommendations that 1) management of the "scaled back" Regional Technical Support Project and Cognizant Technical Officer responsibilities for the DAI contract be transferred to USAID/Cambodia by June 30, 1996, and 2) contract administration responsibilities be transferred to USAID/Philippines

B 2 Regional Urban Disaster Preparedness and Mitigation Project

Description of the Transfer Process The Asia Regional Urban Disaster Preparedness and Mitigation Project which is managed by The Asian Disaster Preparedness Center (ADPC) of the Asian Institute for Technology is a four-year initiative which was approved in September 1995. Because of its urban orientation, the project involves a Memorandum of Understanding between OFDA and G/ENV/UP in which OFDA provides funding and RHUDOs provide management support.

RSM/RHUDO/Bangkok has discussed with G/ENV/UP and RHUDOs in Asia the options for transferring management responsibilities for this project. The most feasible location for oversight of the disaster program would appear to be USAID/RHUDO/Indonesia. Ideally, grant management, financial management and programmatic oversight would be transferred to the same Mission unit, although this is not essential. Consultations with RHUDO/USAID/Indonesia have indicated that it is willing to assume full responsibility for this project.

The files and library materials would be divided between RHUDO/Indonesia and ADPC, with official files going to Indonesia and any support documentation which they deem necessary. This would be completed by early June.

Key Assumptions and Outstanding Issues None

Recommendation that full responsibility (grant, financial and project management) for the Regional Urban Disaster Preparedness and Mitigation Project be transferred to USAID/RHUDO/Jakarta by June 1, 1996

B 3 Regional HIV/STD Prevention Activity

Description of the Transfer Process Considerable progress has been made on the RSM/EA's HIV/STD Strategic Objective *Risk of transmission of HIV/STDs reduced in Cambodia, Laos, Thailand and Vietnam among at-risk groups critical to the regional spread of the AIDS epidemic*. The regional HIV/STD SO seeks to mobilize community-based programs to combat cross-border transmission and to encourage national governments to mount accelerated and sustainable responses to the AIDS epidemic in the region. The SO focuses resources on community-based interventions, regional linkages and the capacity of both public and private sector leaders. The SO was approved in May, 1995 and preparation of the revised (reengineered) SO and Intermediate Results Framework was completed in February 1996. Further progress on the SO,

however, has been halted until a memo authorizing the RSM/EA to implement the activity in USAID non-presence countries (Laos, Thailand and Vietnam) is approved by senior USAID management in Washington

Under the assumption that the ANE Bureau and the Agency agree to continue to design and implement this regional activity, transfer of responsibility for the HIV/STD SO involves a number of significant actions. From a seven-country PHN needs assessment carried out between September 1994 and March 1995, country-specific health profiles were produced for each country in the East Asia region (i.e., Thailand, Laos, Cambodia, Vietnam, Mongolia, southern China, and Burma). The profiles and accompanying background documents constitute a foundational library which has been greatly enhanced over the past year. This critical mass of Bangkok-based files, information, data, analyses and contacts must be catalogued, indexed, boxed, and transferred.

HIV/STD assessments have also been carried out in Laos and Cambodia over the last year with resulting trip reports and/or summary documents. A January 1996 interactive lessons learned seminar, entitled "Participation in the Design of a Regional Community-based HIV/STD Prevention Response," resulted in a draft report which represents a major step in participatory development of the strategic objective and consensus-building among government, non-government, university, research, and bilateral/multi-lateral organizations addressing HIV/AIDS issues in the region.

As the SO has evolved, such key documents as the New Activity Description (NAD), Non-presence Memo (NPM), memos describing the rationale for a cross-border and regional approach to HIV/STD prevention, Results Framework, and series of summary data tables have been prepared and undergone numerous revisions. These development papers need to be filed in hard copy and on disk for transfer.

Contacts and strong working relationships with community-based organizations, NGOs/PVOs, government offices, mass organizations, US embassy offices, UN agencies, academic and research institutions, and other bilateral/multilateral agencies have evolved during the design stage. Products of these contacts include peer reviews of country-specific and/or regional project designs, work-plans, and correspondence files.

In addition to physical transfer of these documents, a series of briefings must be conducted with the receiving organization in order to describe the process, significant events, and conceptual adaptations of the strategic objective design as well as opportunities for future interaction and coordination with other key players in each country and the region.

The RSM/EA has also been engaged in technical discussions and work-plan development with the International HIV/AIDS Alliance ("the Alliance," based in London) since September 1995, in efforts to program the \$350,000 in ANE Bureau funds made available for regional assessments related to the SO design. The Alliance completed a first phase fact finding mission toward further assessment of the NGO sector in Cambodia and Thailand in April 1996. Review

of recommendations within the initial trip report and negotiations regarding next steps need to be conducted in tandem with the receiving organization, but these actions should not occur until the Non-presence Memo is approved and a decision is made to implement the SO. Furthermore, given the closure of the RSM/EA and the late date in the fiscal year, this activity can only be considered as an FY 1997 start.

The RSM/EA has identified the following four SO management options, all of which will require a project-funded PSC based in Bangkok and an in-depth review of the underlying design assumptions to determine whether an SO redesign is necessary given the geographical split between technical and management responsibilities:

- Option #1 Arrange for the SO to be managed in the subregion (USAID/Cambodia would be the logical location although the Mission Director is not at all enthusiastic about this option). The SO original design assumed a USAID direct hire presence in the sub-region to leverage donor resources, facilitate donor coordination and to provide technical leadership and program management.
- Option #2 Place a USDH Health Officer in Vietnam to manage the Regional HIV/STD project, the Vietnam/Laos Victims of War Project and the Vietnam Displaced Children Project.
- Option #3 Transfer the SO to another USAID mission in Asia that has the necessary HPN capacity and financial and contracting support (e.g., USAID/Philippines or USAID/Indonesia).
- Option #4 Transfer the SO to Washington but post one or more PSCs in the region to manage the project on a day-to-day basis.

All Bangkok-based files, information, data, analyses and lists of contacts associated with the SO must be catalogued, indexed, boxed and transferred to the organization that will be responsible for implementing the activity. All of the above actions are expected to be completed by July 31, 1996.

Key Assumptions 1) the ANE Bureau and the Agency agree to continue to design and implement the SO by approving the Non-presence Memo, and 2) the Agency has the capacity to manage the SO in the field.

Outstanding Issues Decisions on the Non-presence Memo and the future management of the regional HIV/STD SO should be made as soon as possible. This will allow for an orderly transition prior to the departure of relevant RSM/EA staff by July 31, 1996.

The ANE Bureau also provided \$350,000 to the AIDS Alliance (a grantee of G/PHN/HIV-AIDS) for NGO community-based HIV/STD activities in Southeast Asia. This grant was to be monitored by the RSM/EA in support of the new regional HIV/STD SO. The Alliance has made an initial visit (March 1996) to the sub-region to begin development of a work-plan. It is proposed that management of this activity be transferred to the recipient of the regional project.

Recommendation that if the Non-presence Memo is approved, the regional HIV/STD prevention activity (and the \$350,000 AIDS Alliance activity) be transferred to another mission in Asia (Option #3) The RSM/EA believes that while this arrangement is not the optimal solution, it is the only feasible one The transfer should occur no later than July 1, 1996 in order to complete all briefings by July 31, 1996 This activity should be designed as an FY 1997 start

B 4 Vietnam/Laos Victims of War, Vietnam Displaced Children and Burmese Displaced Persons Projects

Description of the Transfer Process There are five grants to US PVOs under the Vietnam Displaced Children's Assistance Project (410-0001), seven grants to US PVOs under the East Asia Rehabilitation and Prosthetics Project (410-0002), and two grants to US PVOs under the Assistance to Displaced Burmese Project (410-0006) The grantees, life of project funding and grant expiration dates are listed in the table below

Grantee	LOP Funding	Grant Expiration
Vietnam Displaced Children (410-0001)		
• World Vision	\$933,000	9/30/97
• Health Education Volunteers	\$430,345	9/30/96
• World Concern	\$2,214,862	3/31/97
• Holt Children's Services	\$2,047,000	9/30/97
• East Meets West Foundation	\$344,793	9/30/97
East Asia Rehabilitation and Prosthetics (410-0002)		
• World Vision/Vietnam	\$2,341,000	9/30/97
• World Vision/Laos	\$1,610,000	3/31/97
• Vietnam Assist to Handicap	\$1,450,000	3/31/97
• Vietnam Veterans of America Foundation	\$1,300,000	9/30/96
• Prosthetics Outreach Foundation	\$500,000	6/30/96
• Health Volunteers Overseas	\$964,000	12/31/96
• Save the Children	\$500,000	3/31/97
Assistance to Displaced Burmese (410-0006)		
• American Refugee Committee	\$383,574	12/31/96
• International Rescue Committee	\$716,426	12/31/96

Although the two Burmese project grants and four Vietnam grants will end by December 1996, the eight remaining grants in Vietnam and Laos do not expire until mid-to-late FY 1997 Furthermore, the RSM/EA has received initial notification from the ANE Bureau that additional funding will be forthcoming for Vietnam Initial indications from Washington are that between

\$1.5-\$2.0 million may be available for obligation for Vietnam under projects 410-0001 and 410-0002 in FY 1996. No further USAID grant assistance is planned for Burma or Laos in FY 1996.

In May 1996, G/PHN/HN will be conducting an evaluation in Vietnam of activities under both projects 410-0001 and 410-0002. A final report will be issued in June 1996. The findings from this evaluation may influence future funding for these projects.

The RSM/EA recommends that the management of these grants remain in the sub-region or region and that they be transferred as a package to facilitate management and administration, even though the Burma grants will end December 31, 1996. The reasons are as follows: 1) all three projects are high profile initiatives, 2) management within the region permits rapid responses to inquiries and close coordination and regular contact with the grantees and other interested parties to address and resolve issues rapidly before they become problems of potential embarrassment to USAID and the U.S. Government, 3) many of the grantees are inexperienced and require substantial support regarding Handbook 13 and general implementation matters, and 4) regular on-site monitoring by USAID staff is essential to remain abreast of the rapidly changing situation in Vietnam and Laos and to maintain close working relationships with NGOs, government counterparts and US Embassy officials.

If additional funds for Vietnam are obligated in FY 1996, the RSM/EA recommends that the receiving mission play the lead role in programming and obligating the funds. Program actions include standard grant procurement actions, such as the issuance of an RFA, proposal review, and grant negotiations. The RSM/EA has identified the following project management options:

- Option #1: Transfer program management to USAID/Philippines. The Philippines currently has the greatest capacity for management and administration of these programs along with the contracting and financial management support capacity. Moreover, Vietnam and Laos are easily accessible from Manila.
- Option #2: Transfer program management to USAID/Cambodia. While Cambodia would be the most accessible geographically, the Mission does not have a Contracts/Grants Officer, financial management capabilities, or the staff capacity necessary to adequately manage these programs.
- Option #3 - Transfer program management to ANE/EA or G/PHN/HN. This option would impose many oversight and management problems related to difficulties in establishing close and regular contact with the project grantees and other interested parties in the region.

Key Assumptions: 1) these activities will continue to be of political interest to Congress and the State Department, 2) the program evaluations conducted in May 1996 will be positive and additional funding will be obligated this year, and 3) project funds (from one of the two projects) will be made available to fund a full-time PSC program manager.

Outstanding Issues A decision regarding transfer of these programs should be made as soon as possible This will allow for the transfer of files and information as well as a joint introductory trip with the current grant manager to be made in an orderly fashion prior to his departure

Recommendation that responsibility for the Vietnam Displaced Children's Assistance Project, the East Asia Rehabilitation and Prosthetics Project and Assistance to Displaced Burmese Project and the accompanying portfolio of 14 grants be transferred to USAID/Philippines, including grant management, contracting and financial management responsibilities

B 5 Other Regional Activities¹

Description of the Transfer Process, ASEAN The ASEAN Private Investment and Trade Opportunities (PITO) Project, which ended in June 1995, is the only ASEAN project currently under RSM/EA management Two close-out tasks and one monitoring responsibility remain

- Under the US-ASEAN Business Council Cooperative Agreement, the recipient still has not submitted the Final Performance Report, despite repeated letters of request from the RSM/EA The last letter was sent on April 10, 1996, requesting the final report to be submitted not later than April 30, 1996
- The Technonet Asia grant expired in June 1995 At the beginning of March 1996, the RSM/EA followed up with the grantee to determine whether there were any outstanding payments to be made prior to the terminal disbursement date of March, 1996 The Mission was informed that there was about \$3,300 in disbursements to be made to sub-grantees but they had not yet received the subgrantees' claims They were told to submit the vouchers as soon as possible, but nothing has been received to date A formal letter will shortly be sent from the RSM/EA to request this financial information
- Almost \$300,000 in reflows have accumulated under the project Under the terms of the original agreement, monitoring use of these reflows is expected to continue for at least one year following project close-out or until the reflows are fully utilized The cooperative agreement expired in June 1995 Therefore, the report on the use of reflows is due in July 1996 If the funds have not been fully utilized, a decision will have to be made as to how to proceed with the activity

In addition, PITO project files and documents need to be prepared for shipment and sent to the receiving mission Based on preliminary consultations, the ASEAN Representative in Manila

¹ The RSM/EA also has very limited involvement in USAEP activities in Thailand Activities have been managed out of USAID/Philippines with local technical leadership being provided by the Foreign Commercial Service at the Embassy This arrangement will remain unchanged after the close-out Similarly, the RSM/EA has had very limited involvement in Global Bureau activities in Thailand All records on these projects in the RSM/EA will be prepared for shipment and sent back to appropriate project managers in the Global Bureau

has indicated his willingness to take on responsibility for this project. The RSM/EA will try to finalize as many of the above actions as possible before transferring responsibility.

Key Assumptions None

Outstanding Issues None

Recommendation that responsibility for the close-out of the ASEAN Private Investment and Trade Opportunities Project be transferred to the ASEAN Representative in Manila by June 30, 1996

Description of the Transfer Process, AIDSCAP The AIDSCAP Project's Asia Regional Office (ARO) in Bangkok is responsible for several subregional activities which are monitored by the RSM/EA. These activities include:

- Laos - a behavior change communication intervention activity entitled "Laos HIV/AIDS Education and Prevention" implemented through a sub-agreement with CARE/Laos to be completed by August 26, 1996 (\$216,603),
- Thailand - a five-year comprehensive "Bangkok Fights AIDS" program implemented through multiple sub-agreements to be completed by September 30, 1996 (\$5.183 million), and
- Cambodia - a series of HIV/STD prevention and control activities including HIV/AIDS surveillance, STD prevalence and sensitivity studies, and HIV counselling/testing policy workshops (budget estimate \$600,000) to be completed by September 30, 1996.

The RSM/EA is working closely with AIDSCAP/ARO to ensure the orderly completion and close-out of both the Laos and the Thailand programs as scheduled. Continued implementation delays with the CARE/Laos program may require a no-cost extension of that activity beyond the current August 26, 1996 completion date. If an extension is required, the RSM/EA recommends that the activity monitoring and termination be transferred to the Global Bureau (G/PHN/HIV-AIDS). A field visit in Laos is currently underway to determine the status of that activity. The RSM/EA will ensure that the extension is processed, if deemed necessary, prior to transferring responsibility for monitoring the activity.

Monitoring and technical oversight of the Cambodia activities have already been assumed by the HPN Officer (IDI) in USAID/Cambodia. No project monitoring transfer is necessary.

Key Assumptions 1) the Laos and Thailand programs will be completed as scheduled by September 30, 1996 and closed out in an orderly manner, and 2) the ongoing Cambodia activities will continue to be monitored by the HPN Officer in Cambodia.

Outstanding Issue None

Recommendation that monitoring the Laos HIV/AIDS activity be transferred to G/HPN/HIV-AIDS if the on-going field visit reveals a need to extend the activity beyond its current August 26, 1996 completion date

B 6 Thailand Bilateral Activities

Description of the Transfer Process, Urban Environmental Project The Urban Environmental Infrastructure Guaranty Program was approved in September 1993. This Global Bureau/RSM/EA program was exempted from Thailand's bilateral assistance close-out and given a PACD of September 30, 1998 to allow for utilization of loan authority. Under this project \$50 million in HG authority has been made available to the RTG, but the condition precedent to borrowing, namely the establishment of a credit guaranty corporation, has not yet been met. No additional loan guaranty authority is expected for Thailand. It was agreed with G/ENV/UP that existing authority would be maintained until June 1, 1997 in the event that the credit corporation is established and the RTG determines that it is in their interest to borrow. There is no additional cost to USAID for maintaining HG authority as described. Preliminary discussions were held with G/ENV/UP and the Asia RHUDOs regarding transferring this program. G/ENV/UP believes that management responsibility for the Thailand Program should be transferred to RHUDO/Indonesia by the end of June 30, 1996.

If the transfer recommendation is approved, the RSM/EA would send a letter to the RTG's Ministry of Finance in May explaining that no further USAID grant assistance will be available through the RSM/EA to develop a business plan, notifying the Ministry of the period of availability of the HG authority, and informing them of the change of responsible offices. In June the official project files and supporting documents would be transferred to RHUDO/Indonesia and remaining files under this project would be prepared for storage. All activities related to the transfer of this program will be completed by June 30.

Key Assumptions and Outstanding Issues None

Recommendation that responsibility for the Thailand Urban Environmental Infrastructure Guaranty Program be transferred to USAID/RHUDO/Indonesia by June 30, 1996

Description of the Transfer Process, US-Thai Partnership Project The PACD of the US-Thai Development Partnership (USTDP) is September 30, 1996. Managed by the Kenan Institute of the University of North Carolina, the project finances partnerships between US and Thai entities and leverages their resources to address key development problems in the environmental and HIV/AIDS sectors. An accelerated review and approval process is underway and the last grants for the activity are expected to be approved by June, 1996 in order to complete activities by September 30. Another major objective of the project is to leave in place a financially sustainable institution to continue US-Thai development cooperation once USAID disengages.

from Thailand Institutionalization of the Partnership is also proceeding well The Kenan Institute of Asia (KI/Asia) is now legally established as a local non-profit foundation and efforts are now underway to raise core funds for the period after the USAID project ends

A joint proposal has been developed by DTEC, Kenan and USAID to create an endowment for KI/Asia, with each party to the agreement contributing about \$2.5 million (USAID funds would be the resources remaining in the current Cooperative Agreement as of September) An Action Memorandum to the AA/ANE requesting approval to establish the USAID endowment was forwarded to Washington at the end of April, with a decision by the ANE Bureau expected by the end of May If the endowment is approved, the existing Cooperative Agreement would be terminated and funds transferred to a new grant agreement which would establish the terms and conditions of the endowment In addition to drafting and negotiating the grant agreement with KI/Asia, a pre-award survey of KI/Asia will need to be undertaken All of these actions would be completed by the RSM/EA by July 31, 1996

In addition, an external evaluation of the USTDP is planned, but its timing has yet to be determined The RSM/EA believes that the evaluation can be implemented with or without a USDH RSM/EA staff person in-country If the evaluation is completed before September 30, 1996, the RSM/EA will provide in-country oversight If it is conducted later, the RSM/EA believes the receiving organization should provide the oversight Given the potential application of the USTDP as a graduation model, the RSM/EA recommends that oversight responsibility be transferred to ANE/SEA in USAID/Washington upon termination of the USAID project on September 30, 1996

Key Assumptions None

Outstanding Issues Decisions need to be made on the endowment and the evaluation

Recommendation that responsibility for "custodial" oversight of the U S Thai Development Partnership, specifically the monitoring of KI/Asia progress, be transferred to ANE/SEA effective September 30, 1996

C DOCUMENT PREPARATION

Reports The RSM/EA will prepare status reports on the eight projects being transferred to other Missions or USAID/Washington as follows 1) 410-0001 Vietnam Displaced Children and Orphans, 2) 410-0002 Vietnam and Laos Rehabilitation and Prosthetics, 3) 410-0006 Displaced Burmese Assistance, 4) 410-0008 Regional HIV/AIDS, 5) 493-HG-00V Urban Environmental Infrastructure Guaranty Program, 6) 940-1008-A-00-5531-00 Asian Urban Disaster Mitigation Project, 7) the AIDSCAP CARE/Laos subproject and 8) 410-0004 Regional Technical Support

Shorter reports will be prepared on the two projects being terminated as follows 1) 410-0005 East Asia Regional Training, and 2) 493-0350 US-Thailand Development Partnership Project

Memos will also be prepared briefly summarizing the RSM/EA's limited involvement in ongoing USAEP, ASEAN, AIDSCAP and other Global Bureau activities

Finally, the Mission will prepare a short "lessons learned" paper based upon its experiences as a regional mission engaged in providing bilateral, regional and non-presence country development assistance as well as providing administrative and programmatic support to customer missions

TDY Assistance No program TDY assistance will be required

III. Proposed RSM/EA Operations Close-out Plan

This section presents the proposed close-out plans for the four RSM/EA offices which comprise the operations side of USAID's business. The Executive Office (EXO), The Office of Finance and Information Management Systems (O/FIMS), The Office of Regional Procurement (O/RP) and the Office of the Regional Legal Advisor (RLA). In all cases, care has been taken in the development of this Plan to identify potential areas of increased vulnerability associated with the RSM/EA's close-out and to take adequate measures to safeguard against them. For example, the transfer of time sensitive documents, e.g. unpaid financial vouchers, and other critical actions will take place personally by RSM/EA USDH staff, removal of security systems will take place under the direct supervision of a USDH Executive Officer.

A EXECUTIVE OFFICE

A 1 Description of the Transfer Process

The Executive Office currently provides support to Cambodia, Mongolia, RIG/Bangkok, the Development Counselor in Tokyo and the RSM/EA itself. The RSM/EA proposes that all EXO customer support, comprising procurement, travel, personnel, and property management functions, be transferred to another field mission NLT June 1, 1996 for Mongolia, the DC/Tokyo and the RIG/Bangkok. The RSM/EA also proposes that the PSC Executive Officer in Cambodia become a "full service" EXO as of June 1, 1996 and assume all EXO responsibilities for USAID/Cambodia, with back-up provided, as necessary, by the same receiving field mission as above, to facilitate the transition. Depending on overall future Mission staffing plans, we recommend that consideration be given to eventually replacing the PSC Executive Officer with a USDH Executive Officer, using the RSM/EA's EXO position FTE. RSM/EA EXO would transfer all relevant files to USAID/Cambodia and the receiving mission and schedule TDYs to both, as necessary in May and June.

The RSM/EA recommends that USAID/Philippines be designated as the receiving mission for EXO regional support. Manila has many of the features necessary to provide regional support, e.g. reliable communications and transportation links with customer missions. Moreover, the USAID Mission has well-trained FSN staff in this area, is itself in the process of downsizing due to declining program levels, and has indicated a willingness to assume these expanded responsibilities.

A 2 RSM/EA Closeout Functions

Shutdown of the RSM/EA will be done based on the following administrative functions. Teams will be formed for each function and detailed plans developed upon approval of a close-out plan. General tasks and proposed tentative begin/end dates for each team are listed below.

Customer Mission Support Transfer Team (Begin May 15 - End June 1)

- transfer all personnel files,
- transfer procurement files and provide TDY orientation/training, as appropriate, and
- transfer property management function and provide TDY training, as appropriate

USDH Departure Team (Begin June 1 - End October 31)

- finalize assignments and issue travel orders for all USDH (on or about July 1),
- schedule pack outs (July), and
- follow-up UAB/HHE/POV shipments (August)

FSN Personnel Termination and Out-placement Team (Begin June 1 - End October 31)

- issue termination letters (on-going),
- FSN out-placement service (begin on or about June 1), and
- transfer files/responsibilities to Embassy Personnel (September 15)

Property Disposal Team (Begin June 15 - End September 15)

- establish showing area for sales (June 1),
- engage transportation service (June 1),
- identify property to be shipped to Phnom Penh (June 1),
- remove all excess furniture from RSM/EA (begin June 1),
- remove USAID furniture from residences (begin June 15),
- conduct rolling sales every two weeks (begin June 15),
- computer system pack out, e.g., RISC 6000, satellite dish, wiring, telephone system, partitioning (begin on or about July 31),
- all office furniture removed (August 15), and
- wrap-up sales, final accounting (on or about September 15)

File Management and Records Team (Begin May 30 - End September 15)

- review procedures for file management (May 31),
- transfer/shredding of program/project files (June 30),
- transfer/shredding of administrative files (July 30), and
- transfer/shredding of financial files (August 30)

Office Construction/Restoration of Facilities Team (Begin July 1 - End September 15)

- negotiate arrangements regarding office restoration with landlord (on or about May 31),
- dismantle security doors (begin on or about July 1),
- restore facilities as necessary (September 1), and
- final walk through with landlord (September 15)

Dismantle Close-out Command Center Team (Begin September 15 - End October 31)

- final FSN personnel termination actions,
- pack up remaining computer equipment for shipment,
- USDH departures finalized, and
- turn out lights not later than October 31, 1996

A 3 Key Assumptions

- All USDH staff will leave post before July 31, 1996 with the exception of the Deputy Mission Director, Executive Officer and Controller
- RSM/EA EXO discontinues customer support services as of June 1, 1996
- All except for approximately 20 FSN employees depart as of July 31, 1996
- RSM/EA computer operations will be shut down as of July 31, and remaining USDH and FSN staff (Deputy Director plus reduced staff in O/FIMS and EXO Offices) will move to available space currently leased by RIG/Bangkok and have access to the RIG's LAN

A 4 TDY Support

The RSM/EA requires the TDY services of a retired EXO with mission close-out experience for up to three months, beginning o/a June 15, 1996. The scope of work will comprise oversight of the Property Disposal, Office Construction/Restoration and File Management Teams. RSM/EA requests USAID/Washington assistance in identifying suitable candidates.

A 5 Outstanding Issues

- Decision on transfer date and transfer location for customer support responsibilities
- USDH employees must be able to bid in 1996 assignment cycle
- Identification of onward assignments for USDH personnel
- USAID/Philippines and USAID/Cambodia's staffing requirements to absorb these responsibilities

Recommendations that 1) USAID/Philippines be given responsibility for providing EXO customer support services to Mongolia, DC/Tokyo, and RIG/Bangkok and to back-up Cambodia as of June 1, 1996, 2) Cambodia become a full service EXO operation as of June 1, 1996, and 3) eventually a USDH Executive Officer be assigned to USAID/Cambodia to replace the PSC Executive Officer, using the RSM/EA's EXO position FTE. (This will require NSDD 38 approval)

B OFFICE OF FINANCE AND INFORMATION MANAGEMENT SERVICES

B 1 Description of the Transfer Process

The Office of Finance and Information Management Services (O/FIMS) currently provides support to Cambodia, Mongolia, RIG/Bangkok, the Development Counselor in Tokyo, Pakistan/Afghanistan close-out and the RSM/EA itself. To effect a close-out by September 30, 1996, the RSM/EA proposes to transfer financial management responsibilities for all customer missions to a new accounting station on July 1, 1996, with the exception of RSM/EA and RIG/Bangkok operating expense (OE) operations and payments. OE accounting, reporting, and payment responsibilities for RSM/EA and RIG/Bangkok would transfer to the new accounting station effective September 1, 1996. It is expected that the transfer of records can be completed within 15 days after the transfer of authority. There are two reasons for this split in functions: (1) it reduces the burden considerably on the new accounting station, and (2) the RSM/EA is more familiar with the close-out (one-time) payments to be made. This plan will allow for the transfer of all financial management functions by September 15, 1996. The only functions which will not be transferred are the cashier and computer systems. These will be terminated as described below.

The RSM/EA recommends that USAID/Philippines become the accounting station for posts supported by the RSM/EA because of the Mission's proximity to existing customers, the high calibre of its FSN staff and its relatively low operating expenses.

Below is an outline of how O/FIMS proposes to transfer its responsibilities to the new accounting station (NAS).

Transfer of Accounting Transaction Processing to NAS

- Memoranda will be issued to all employees who have not filed their travel vouchers for any unliquidated but obligated funds (May). This will be done in coordination with the voucher staff since a voucher may be in process.
- A comprehensive Section 1311 review will be completed on all unliquidated obligations (May). A list of actions will be prepared and follow-up taken in June for projects and July/August for OE. Records need to be kept on the status of all pending actions to be hand-carried to the new accounting station.
- Accruals for OE will be done for June closings (September accruals will be done by NAS).
- Copies of all prior end-of-year financial reports from FY 1990 will be boxed for shipment to the new accounting station now (May).
- Backup tapes for prior end-of-year for MACS and MACSTRAX will be boxed and held (May). These will be hand-carried to the new accounting station after closing.
- Copies of all working files for completely closed projects will be destroyed now (May).
- Copies of all working files for partially closed projects will be separated and held pending the completion of the Section 1311 review. If the project is closed as a result of the Section 1311 review, then the working files can be destroyed. If the project is not

closed as a result of the Section 1311 review, then the working files need to be boxed and transferred (July)

- Copies of Section 1311 review and accrual work papers for FY 1995 and FY 1996 to date will be boxed and shipped after completion of the Section 1311 Review (May)

Transfer of Payment Processing Responsibilities to NAS Responsibility for all Project and OE payments for the customer missions (except RSM/EA and RIG/Bangkok OE payments) will be transferred on July 1, 1996 to the new accounting station RIG/Bangkok and RSM/EA OE payment responsibilities will be transferred effective September 1 FSN payroll processing by RAMC will continue with emphasis on completing the leave audits and severance paperwork and calculations ahead of the departure date of the employees (July) All CSR reporting will be completed as soon as possible and submitted to FM/P to facilitate retirement and lump-sum payments for CSR employees

Transfer of Payment Records ("Official Files") to NAS All payment records prior to FY 1990 will be destroyed (May) All payment records for FY 1990-1995 will be shipped to the new accounting station (beginning June) All payment records for FY 1996 will be shipped or hand-carried to the new accounting station at closing (September)

Transfer of Advice of Charges (AOC) Operations to NAS The file of delinquent AOCs will be hand-carried to the new accounting station o/a September 15 with copies of all delinquent AOCs Based on the latest AOC delinquency report received from USAID/W, the RSM/EA will send cables to all accounting stations that have not acknowledged the posting of any AOCs We will maintain a list of pending AOCs Follow-up will be done every thirty days until September 15, or until the AOC is resolved

Transfer of Receivables to NAS A separate file will be prepared for 1) each outstanding advance over 30 days, documenting the amount, 2) outstanding bills for collection, 3) pending lost check claims, and 4) pending claims for unused airline tickets Monthly follow-up will be done between now and August 31 to liquidate as many of the advances as possible Transfer will be made to USAID/W or the new accounting station afterward, as appropriate

Termination of Cashier Operations Class B Cashier operations will stop as of August 31 The RSM/EA plans to arrange for the EXO to be a sub-cashier to the US Embassy cashier A deposit of all cash will be made to the USDO accounts as required Final vouchers will be submitted to RAMC for processing, and final reconciliation with RAMC will be completed by September 15

EXO will be designated as a subcashier to the Embassy cashier for the remaining period to pay for the various petty cash requirements for the closeout Accommodation exchange will be handled by the Embassy after August 31 FSN payroll payments after August 31 will be arranged with RAMC Checks for vendors will be delivered and any undelivered checks turned over to the Embassy cashier A memorandum with a list of all checks delivered to

the Embassy cashier (countersigned) will be hand-carried to the new accounting station o/a September 15

All records older than FY 1990 can be destroyed All check stubs and receipts for petty cash will be boxed and sent to the new accounting station FY 1990-FY 1995 records can be shipped as soon as possible (May) FY 1996 records will be shipped after reconciliation with RAMC (September 15)

Transfer of Audit Function to NAS All working files on audits in progress and those with open recommendations will be transferred to the new accounting station on July 1, 1996 Prior to that date, O/FIMS will continue to follow-up on the few outstanding audit recommendations, e g , the Mongolia Energy Project O/FIMS will chair one final Management Control Review Committee meeting (June) O/FIMS will also prepare a draft audit plan for FY 1997 for customer missions (June) and send it to the new accounting station

B 2 Termination of RSM/EA Computer Operations

A complete inventory of equipment will be prepared and verified with recommendations for disposal/transfer to a customer mission (Japan and Mongolia requirements have already been identified), transfer to another USAID, transfer to another US agency at post, or auction Redistribution of new Pentium PCs and printers needs to take place so all excess (386 PCs) equipment slated for auction can be transferred to EXO as soon as possible for disposition The IBM and VSAT equipment will be transferred to the location identified by the NMS team in Washington All other equipment will be transferred based on instructions from M/OMS The data entry log will be hand-carried to the new accounting station after September 15

B 3 Key Assumptions

- FSN Staffing Levels O/FIMS will be able to retain the critical staff necessary to ensure a smooth transfer Based on the estimated workload, O/FIMS staff can be reduced from its current level of 21 to 11 as of June 30 when we propose to discontinue services to our customer missions and close the accounting records for that month Further reductions between the date we stop providing services and the date we vacate our office space (for EXO to dispose of the last property) may be possible The USDH Controller will remain at post until September 30 He will take the final records to the new accounting station on or about September 16, and only one FSN will be needed to finalize the last Nonexpendable Property Report The Controller will review and sign that report after returning to Bangkok from transferring the records He will depart post o/a September 30 for his onward assignment

- RIG Presence in Bangkok The smooth closure assumes the RIG will stay in Bangkok at least through October 31, 1996, and that the RIG will allow us to attach the remaining staff to their LAN system so that we can dispose of the majority of the RSM/EA's computer equipment
- USDH Staffing Levels The USDH Controller remains through September 30, 1996
- NMS Operations Due to the closing of the RSM/EA, it is assumed that O/FIMS will not begin using NMS prior to the transfer of the above-listed functions

B 4 Outstanding Issues

- Designation by the Washington NMS team of the transfer location for the IBM and VSAT equipment
- Designation of the NAS and agreement on the date of transfer
- Instructions from M/AS/OMS on the disposition of computer equipment
- USAID/Philippines staffing requirements to absorb these responsibilities

Recommendation That USAID/Philippines be designated the new accounting station (NAS) and that the transfer of RSM/EA financial management responsibilities to the NAS, as outlined above, begin as of July 1, 1996

C OFFICE OF REGIONAL PROCUREMENT

C 1 Description of the Transfer Process

The Office of Regional Procurement is responsible for providing the full range of procurement support to ASEAN, Nepal, Sri Lanka, Cambodia, Mongolia, Vietnam/Laos/Burma, and the RSM/EA. This support includes procurement planning, contract/grant negotiation and award, administration, and close-out. Because there are different considerations for each, the contracts and grants portfolio can best be grouped into three categories:

- Category #1 - ASEAN This category has only one active contract. The USAID project manager and the accounting station for the contract are already in USAID/Philippines. It thus is logical to move the CO function there as well.
- Category #2 - Nepal and Sri Lanka Responsibilities for these two countries should be relatively easy to transfer because there are capable FSN contract specialists at each Mission who will continue to keep actions moving and maintain continuity and support. A cognizant RCO needs to be identified and the posts can begin to work with that

individual. Given the considerable workload associated with these two countries (see table below) a new CO position will need to be created to serve these countries. (This could be done by transferring one of the RSM/EA CO FTEs to the subcontinent.) The RSM/EA recommends that a CO position be established at USAID/Nepal to cover both Nepal and Sri Lanka. A less preferable alternative is to add a second CO position to USAID/India. The USAID/Nepal option is preferable because the Mission has the largest and most experienced FSN contract specialist staff on the subcontinent and the Sri Lanka FSN contract staff are already working with them.

- Category #3 - Cambodia, Mongolia, Vietnam/Laos/Burma and RSM/EA. The transfer of Category #3 contracts and grants is more complicated. The RCOs and FSN staff for these activities are located in the RSM/EA and when RSM/EA support ends, the issues of timely workload progress, continuity and adequate staffing become problematic wherever the workload is transferred. In addition, there are a number of USAID/Thailand and RSM/EA contracts and grants, including the cooperative agreement for the US-Thai Partnership which will require close-out actions.

The RSM/EA recommends that the responsibilities for Cambodia, Mongolia, and Vietnam/Laos/Burma be transferred to USAID/Philippines and a second CO position be established there using the second of the two CO FTEs at the RSM/EA. Depending on the future staffing situation in Cambodia and its workload, the Agency's program plans for Mongolia in FY 1997 and beyond, and the Agency's future program plans in Vietnam, Laos and Burma, it may make sense in the future to transfer this position to another country in the region. In addition, we recommend that responsibility for finalizing close-out of USAID/Thailand and RSM/EA contracts/grants which are not completed by the time the RCOs depart, be transferred to M/OP in USAID/W or USAID/Philippines. We also recommend that two retired USAID contract officers eligible for warrants be hired on or about July 1 for up to three months each, one each for Nepal and the Philippines, to facilitate the transfer until the recommended USDH positions can be established and filled at these missions. Finally we recommend that where possible, contract and grant management be co-located with financial management and that the transfer posts have the capability to operate the NMS.

The timeline in Annex B presents the steps required for the orderly transfer and termination of all acquisition and assistance functions. These are described in narrative below.

Transfer active contracts/grants (Date on or before July 1, 1996)

- Official contract/grant files for Nepal and Sri Lanka are maintained at those locations. Thus no physical move of files is required. Notification letters will need to be sent to all contractors/grantees notifying them of the change in CO.
- Official files for all other supported Missions are at the RSM/EA. Prior to transfer, notification to contractors/grantees regarding new CO and accounting station location will be made.
- All active contract/grant files will be inventoried, final filing completed, and then boxed for shipment to the receiving CO.

Transfer on-going workload (Date on or before July 1, 1996)

- Nepal and Sri Lanka have FSN staff who will continue to process procurement actions and will have the institutional knowledge to advise the new CO of status, issues, etc
- Actions in process for other supported Missions will be organized and current status noted in the file. These will be hand-carried to the new CO. The RSM/EA believes that it is prudent for a CO from the RSM/EA to make a short TDY to the receiving Mission to discuss in more detail the status of ongoing actions and negotiations

Close-out contracts/grants (Date on or before July 31, 1996)

- Contracts and grants for USAID/Thailand and RSM/EA have ended or will soon end/terminate. Close-out procedures have been or will be initiated for these files. However, in some cases close-out may not be completed prior to July 31. We recommend that any remaining files be transferred to M/OP in USAID/W or alternatively, to USAID/Philippines

The following table lists the number of current active contracts and grants or cooperative agreements (CAs) for each country supported by the RSM/EA as well as the number of actions either in progress or planned through October 1996

RSM/EA O/RP Activity

Country	Number of Contracts	Dollar Value
Sri Lanka		
Active Contracts	13	
Active Grants/CAs	14	64.1 M
Current and Planned Actions Contracts	11	12.9 M
Current and Planned Actions Grants/CAs	18	14.0 M
Nepal		
Active Contracts	32	
Active Grants/CAs	30	60.1 M
Current and Planned Actions Contracts	25	12.9 M
Current and Planned Actions Grants/CAs	15	5.7 M
Cambodia		
Active Contracts	18	
Active Grants/CAs	35	128.8 M
Current and Planned Actions Contracts (buy-ins) ¹	2	5.0 M
Current and Planned Actions Grants ²	7	15.0 M
Mongolia		
Active Contracts	3	
Active Grants/CAs	3	26.9 M
Planned Actions Under review		
Vietnam/Laos/Burma		
Active Grants/CAs	14	14.9 M
Planned Actions ³	4	1.5 M
ASEAN		
Current Contracts	1	15.1 M
Planned Actions None		

RSM/EA/Thailand		
Active Contracts	8	
Active Grants/CAs	2	15 0 M
Planned Actions None		

SUMMARY

Total Active Contracts		75
Total Active Grants/CAs		98
Total Active Contracts, Grants/CAs		173
Total Estimated Value of Active Contracts/Grants		325 0 M
Total Current and Planned Actions through October 1996		82 ⁴
Estimated Value of Current and Planned Actions through October 1996		67 0 M

¹ Plus continued modifications on Road Construction Contract ² Four modifications and three new grants ³ Three modifications and one new grant ⁴ Plus Mongolia's planned actions, once defined

C 2 Key Assumptions

- That an adequate number of O/RP staff are available to continue work up to the point of transferring actions to the receiving posts and are also available to assist with Thailand and RSM/EA close-out actions
- Decisions on receiving COs are made on a timely basis
- In those cases where close-out of a contract or grant requires extended time, ie, for audit, the close-out action will be transferred to either M/OP in USAID/Washington or to one of the receiving COs
- Adequate TDY support will be available on a timely basis during the July-September time frame to assist with final close-out in the RSM/EA and/or to provide additional CO services at the receiving mission

C 3 TDY Support

Two retired USAID COs with warrant authority beginning on or about July 1, 1996 for up to three months each

C 4 Outstanding Issues

- Decisions on transfer dates and transfer locations
- Onward assignment of RCOs at Bangkok
- NSDD 38 approval for the establishment of two new USDH positions

Recommendations that 1) contracting responsibility for the ASEAN contract be transferred to USAID/Philippines by July 1, 1996, 2) contracting responsibility for Nepal and Sri Lanka be transferred to USAID/Nepal (or USAID/India) along with one of the two RSM/EA CO FTEs by July 1, 1996; 3) contracting responsibility for Cambodia, Mongolia, Vietnam, Laos and Burma be transferred to USAID/Philippines along with one of the two RSM/EA CO FTEs; and 4) responsibility for USAID/Thailand and RSM/EA contract and grant close-out actions be transferred to USAID/Washington or USAID/Philippines

D. REGIONAL LEGAL ADVISOR

Description of Transfer Process The RLA currently provides services to Cambodia, Mongolia, Sri Lanka and the RSM/EA itself. Relatively few actions are required to transfer responsibility for RLA support. Once the RLA knows who will assume legal responsibility for each customer Mission, he can complete all required actions, such as briefing successor(s) on on-going legal issues, transferring relevant files, and disposing/transferring library materials and files of predecessors.

Transfer of the RLA's regional responsibilities does not have to coincide with the transfer of responsibilities by other RSM/EA offices. Accordingly, we propose that the RLA continue to provide legal services to all customers until he leaves post on or about July 31, 1996.

The RSM/EA understands that various alternatives for providing legal services in the future are under consideration by GC and the ANE Bureau. These include 1) arranging for the RLA to remain in Bangkok, perhaps connected to RIG or the Embassy, 2) transferring the RLA position to Cambodia, Indonesia, or the Philippines, or 3) eliminating the RLA position and dividing the workload between the RLAs in Bangladesh and Indonesia.

The RSM/EA believes that its existing and projected RLA workload is too large to be adequately absorbed by the two RLAs in the region given what the RSM/EA knows of their respective workloads. The RSM/EA also believes that it is most cost-effective to co-locate the RLA within a USAID mission, especially with the contracts staff responsible for the same portfolios. Therefore, of the three options under consideration, we believe that moving the position to another East Asia Mission is the most preferable.

Key Assumptions None

Outstanding Issues Designation of the RLA transfer location and transfer date and NSDD 38 approval

Recommendations that 1) the RLA position be transferred to another country in the East Asia region, and 2) until a decision is made and can be implemented, the RLAs in Bangladesh and Indonesia be given responsibility, for the near term, to service RSM/EA customers as of July 31, 1996

IV. Financial Implications of the Close-out Plan

The RSM/EA examined three possible closing date scenarios to determine the financial implications of the proposed RSM/EA close-out. The first scenario uses the September 30, 1996 closing date that the RSM/EA was asked to consider. The second allows for an additional three months to December 31, 1996 and the third continues the RSM/EA through March 31, 1997. The most cost-effective date for a planned close-out would appear to be September 30, 1996.

A Scenario 1 A September 30, 1996 Closing Date

An RSM/EA close-out by September 30, 1996 would prove to be a net cost saving for the Agency. The RSM/EA has calculated that approximately \$23,000 could be saved in FY 1996 through implementation of the proposed Close-Out Plan (Scenario 1). This savings could be realized through significant reductions in FSN salary costs, office and residential rents, operational travel, planned ADP purchases and others. These savings more than offset the increased costs associated with closing the mission such as FSN severance payments, USDH departure travel and shipment costs, shipment of files and property as well as clean up and restoration costs. Depending on the timing of actual departures and collections on prepaid items for example, the RSM/EA may be able to realize an even larger savings from a close-out this September. Likewise, the realization of any real savings this fiscal year is dependent on timely decisions on the transfer of RSM/EA responsibilities and the identification and authorization of onward assignments for the RSM/EA USDH staff.

While the cost savings in FY 1996 can be significant, the greatest advantage for the Agency would come in FY 1997. An RSM/EA close-out as of September 30, 1996 will mean NO requirement for OE in FY 1997. The entire budget for RSM/EA operations in FY 1997 can be considered a savings. Given the budget concerns surrounding the FY 1997 OE account, this reduction in demand could be a significant contribution, particularly as there is no increased FY 1996 cost necessary to achieve it. The RSM/EA believes these budget factors argue strongly for a decision to move ahead with a transfer of RSM/EA functions and activities leading to mission closure by September 30, 1996.

Budget Table (See also Annex C for more detailed budget information)

RSM/EA FY 1996 Operating Expense Budget
Under Proposed September 30, 1996 Close-Out

<u>EXPENSE ITEM</u>	<u>FY 1996 PLANNED</u>	<u>FY 1996 WITH A SEPT 30 CLOSE</u>	<u>DIFFERENCE</u>
USDH Benefits	\$264,226	\$347,867	\$83,641
FSN Salaries	\$1,239,724	\$948,731	(\$290,993)
FSN Severance	\$65,842	\$688,619	\$622,777
USPSC Salaries	\$35,620	\$69,620	\$34,000
Housing Costs	\$475,464	\$109,250	(\$366,214)
Office Operations	\$529,914	\$521,003	(\$8,911)
Operational Travel	\$131,000	\$65,415	(\$65,585)
Procurement (NXP)	\$50,610	\$18,920	(\$31,690)
TOTALS	\$2,792,400	\$2,769,425	(\$22,975)

In preparing all three budget scenarios, the following staff departure assumptions were used

Staffing (for three possible closing date scenarios)

	<u>September 30</u>	<u>December 31</u>	<u>March 31</u>
<i>USDH Staff Departures</i>			
June	-1	-1	-1
July	-8	-1	-1
August	-0	-1	-1
September	-2	-0	-0
October	-1	-6	-0
November	-0	-0	-0
December	-0	-2	-0
January	-0	-1	-6
February	-0	-0	-0
March	-0	-0	-2
April	-0	-0	-1

FSN Staff Departures

June	-11	-8	-8
July	-15	-0	-0
August	-8	-0	-0
September	-13	-3	-0
October	-2	-15	-0
November	-0	-8	-0
December	-0	-13	-3
January	-0	-2	-15
February	-0	-0	-8
March	-0	-0	-13
April	-0	-0	-2

USPSC Staff Departures

June	-1	-1	-1
July	-3	-0	-0
August	-1	-1	-1
September	-0	-3	-1
October	-0	-0	-0
November	-0	-0	-0
December	-0	-0	-0
January	-0	-0	-2
February	-0	-0	-0
March	-0	-0	-0
April	-0	-0	-0

The budget for a September 30 RSM/EA close-out, in addition to the staff departure schedule above, is based on the following assumptions

RSM/EA Operations

- Transfer of RSM/EA functions and responsibilities will begin on June 1, 1996 and continue until July 31 1996 as defined in the proposed close-out plan, after which the RSM/EA will concentrate on close-out of the office and disposition of property

Office Space

- It is assumed that the RSM/EA sections of the office building will be returned to the landlord by September 16, 1996. The RSM/EA would be able to request a refund of prepaid rent and would make every effort to recover those funds prior to the end of the fiscal year. (This refund is not reflected in the budget tables.)
- After August 1, the proposed RSM/EA staff remaining for the close-out will be consolidated onto the floor occupied by RIG/A/Bangkok (which has agreed to let us share their space).
- A warehouse will be rented for three months over the July-September period to serve as a staging area for the disposal of the nonexpendable property (transfer to other USAIDs, other US government agencies at post, and sale).

Residential Leases

- All residences will be vacated by July 31, 1996. It has been assumed that onward assignments and travel authorizations would be approved at least 30 days prior to the proposed departure dates of USDH staff in order for the RSM/EA to notify the landlords and attempt to recover any advance lease payments in the current fiscal year. Any amounts recovered would reduce the amount required for the close-out. (These refunds are not reflected in the budget tables.)

Procurement

- The Mission has canceled as many items on order as possible after learning of the closure on March 28.
- The Mission does not plan any additional procurements unless there is a critical need for something to keep the Mission operating up to the agreed upon closure date.

Travel

- One 90-day USPSC will be needed to assist with executive office close-out functions.
- Two USPSC retired contract officers with warrant authority are recommended for up to 90 days, one each for the two proposed receiving missions. (This cost has not been provided for in the budget tables.)
- Two one-week TDYs by each RSM/EA office to the receiving post will be required.

B Scenario 2 A December 31, 1996 Closing Date

Although the RSM/EA is not aware of any significant programmatic reasons for having the RSM/EA operate beyond September 30, 1996, especially given the willingness of the proposed receiving missions to assume RSM/EA functions and responsibilities, other factors may dictate a longer close-out period. A modest phase-down in FY 1996 will result in specific cost savings some of which can be used to cover certain OE costs associated with an FY 1997 RSM/EA close-out. However the requirement for FY 1997 OE can not be avoided and becomes substantial with even a three month extension into FY 1997. A close-out on December 31, 1996 would require approximately \$640,000 in FY 1997 OE funding.

The budget for a December 31 RSM/EA close-out, in addition to the staff departure schedule above, is based on the following assumptions:

Office Space

- It is assumed that the RSM/EA sections of the office building will be returned to the landlord by December 15, 1996. The RSM/EA would be able to request a refund of prepaid rent and would have no problem recovering those funds but they would be recovered in FY 1997.
- After November 1, the proposed RSM/EA staff remaining for the close-out will be consolidated onto the floor occupied by RIG/Bangkok (which has agreed to let us share their space), assuming the RIG is still in Bangkok.
- A warehouse will be rented for three months over the November-January period to serve as a staging area for the disposal of nonexpendable property (transfer to other USAIDs, other US government agencies at post, and sale).

Residential Leases

- All residences will be vacated by October 31, 1996. It is assumed that onward assignments and travel authorizations would be approved at least 30 days prior to the proposed departure dates of USDH staff in order for the RSM/EA to notify the landlords and attempt to recover any advance lease payments. Any amounts recovered would reduce the amount required for the close-out but the refunds would be recovered in FY 1997.

Procurement

- The Mission will proceed with only those procurements essential to the close-out.

Travel

- One 90-day USPSC will be needed to assist with executive office close-out functions
- Two USPSC retired contract officers with warrant authority are recommended for up to 90 days, one each for the two proposed receiving missions (This cost has not been provided for in the budget tables)
- Normal operational travel continues through FY 1996, and FY 1997 travel is limited to two one-week TDYs by each RSM/EA office to the receiving post

(See Annex C for budget details)

C Scenario 3 A March 31, 1997 Closing Date

A third scenario with a March 31, 1997 closing was considered because of the decision to make USAID/Cambodia a full service mission in the near future. The implication was that USAID/Cambodia as a full-service mission would have its own Executive Officer, Controller and, possibly, Contracts Officer. In order to allow the mission to staff up and prepare to take on these responsibilities the option of keeping the RSM/EA open until they were able to absorb them was included. This would preclude the need for another mission (such as USAID/Philippines) to assume these duties as an interim measure. There is however considerable cost associated with this alternative. Over \$1 million in scarce OE resources would be needed by the RSM/EA. An OE requirement of this magnitude would seem to outweigh any programmatic considerations.

The budget for a March 31, 1997 RSM/EA close-out is based on the staff departure schedule above and uses the same assumptions as the second scenario for a December 31 close-out but extended for an additional three months. It assumes the RSM/EA will continue its operational role through December 31, 1996, and the transfer of responsibilities will begin in early January 1997. *(See Annex C for budget details)*

ANNEX A PERSONNEL DEPARTURES

The table below presents the proposed departure schedule for the RSM/EA staff, identified by office as follows

- Director's Office (DIR)
- Office of Program and Strategic Planning (PSP)
- Office of Project Development and Evaluation (PDE)
- Office of Technical Resources (TR)
- Regional Housing and Urban Development Office (RHUDO)
- Executive Office (EXO)
- Office of Finance and Information Management Services (FIMS)
- Office of Regional Procurement (RP)

Name and Type of Employee	Office	Departure Date (o/a)
US Direct Hires		
Julie Otterbein	RHUDO	April 24
Richard McLaughlin	PSP	June 20
Denny Robertson	PDE	July 31
Lawrence Hardy	PDE	July 31
Julie Klement	TR	July 31
Linda Lion	DIR	July 31
Peter Sullivan	DIR	July 31
Tom Stephens	RP	July 31
Mike Nichols	RP	July 31
Monty Palmer	FIMS	July 31
Gary Byllesby	FIMS	September 30
Gene Morris	DIR	September 30
Margaret Healey	EXO	October 31
US PSCs		
Curtis Borden	TR	June 30
Jane Begala	TR	July 31
Robert Horvath	TR	July 31
Lawrence Dolan	TR	July 31
Nenette Whitaker	EXO	August 14
FSNs		
Suthira	TR	June 11
Veraanong	FIMS	June 30
Preecha	FIMS	June 30
Somsri	FIMS	June 30
Swatdirat	FIMS	June 30
Kirati	FIMS	June 30
Sanguansri	FIMS	June 30
Suporn	FIMS	June 30
Kannika	FIMS	June 30

Name and Type of Employee	Office	Departure Date (o/a)
Pitsamorn	FIMS	June 30
Thidaporn	FIMS	July 22
Rairiwan	TR	July 31
Sopit	PDE	July 31
Rarintup	PSP	July 31
Prapha	DIR	July 31
Busaba	RP	July 31
Charunee	RP	July 31
Narintr	RP	July 31
Somluck	RP	July 31
Yuvanit	RP	July 31
Wichen	EXO	July 31
Saiphon	EXO	July 31
Tospon	EXO	July 31
3 of 5 drivers	EXO	July 31
Pichamon	FIMS	August 7
Chiraphan	EXO	August 14
Tharnthip	EXO	August 14
Sunthorn	EXO	August 31
Paradee	EXO	August 31
Panthip	EXO	August 31
Duangchai	EXO	August 31
Buncha	EXO	August 31
1 driver	EXO	August 31
Thanomsri	FIMS	September 7
Salilak	FIMS	September 13
Kanchana	FIMS	September 13
Mayuree	FIMS	September 13
Prapha	FIMS	September 13
Pornpan	FIMS	September 13
Somkiat	FIMS	September 13
Manop	EXO	September 13
Siraprapa	FIMS	September 30
Vasana	EXO	September 30
Patana	EXO	September 30
Somchai	EXO	September 30
Nat	EXO	September 30
1 driver	EXO	September 30
Suroj	EXO	October 31
Amara	EXO	October 31

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FOR RSM PROGRAM ASSISTANCE

EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
A Terminate and Closeout out East Asia Regional Training Project (410-0004)								
1 Submit Documentation for Full Termination of IIE Contract (PIO/T)	X							
2 Settle Disposition of Project-funded Commodities		/- - /						
3 Review/Approve Final IIE Report				/- /				
4 Write Project Closeout Report			/--- /					
5 Prepare Files for Shipment/Storage			/----- /					
B Technical Support Project (410-0005)								
1 Submit Documentation for Partial Termination of DAI Contract (PIO/T)	X							
2 Prepare Plan for Transfer of CTO Responsibilities to Field Mission		/- - /						
3 Prepare Documents to Extend USAID/Mongolia Delivery Order	/----- /							
4 TDY to Receiving Mission to Transfer CTO Responsibilities			/-- /					
5 Settle Disposition of Commodities		/--- /						
6 Transfer Project Files to Receiving Mission		/-- - /						
7 Submit Documentation to Terminate RTSP Personal Services Contractors		/ -- /						
8 Complete Interim Final Report			/- -- /					
9 Residual Termination Actions for PSCs			/- --- - /					



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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
C Transfer Project Dev Support for USAID/ Mongolia to receiving Mission								
1 Complete FY96 Economic Growth SO O/PDE Actions	/-----/							
(a) PIO/T for DAI DO Extension								
(b) PIO/Ps to transfer current LT trainees								
(c) EARTP Buy-in for Energy Training								
(d) PIO/T to decommit \$\$ from IIE								
(e) PIO/Ps for 2nd group of LT trainees								
(f) ProAg amendment for EPSP								
(g) ProAg amendment for Energy Project								
(h) Prepare summary SO Implementation Report								
2 Complete FY96 Democracy SO/PDE actions	/-----/							
(a) Finalize SO Charter for FY96 Obligations								
(b) Prepare SOAG Agreement								
(c) Provide TAF guidance for new grant								
(d) Prepare PIO/T for TAF grant								
(e) Prepare summary SO Implementation Report								
3 Orientation TDY with Receiving Missin Staff		/---/						
4 Transfer PDE Support to Field Mission			/- ---/					
5 Ship RSM/EA Working Files			/- ---/					
D Transfer/Terminate Project Dev Support To USAID/Cambodia								
1 Regional Project Oversight (DAI) Transferred to Receiving Mission			/-----/					
2 Ship RSM/EA Working Files		/-----/						
E Destroy/Transfer Remaining RSM/EA Project Dev Files								
1 Establish Team to Review All Files	X							
2 Review Guidance	X							
3 Destroy/Transfer Files		/-----/	- - /					

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
F Transfer of Program Office (PSP) Support Responsibility								
1 Prepare & transfer Mongolia Strategy, CP, BPD, etc w/reports to receiving MU		/- - - -/						
2 Prepare pending Mongolia support issues paper for receiving MU		/ - - - -						
3 Prepare & transfer Cambodia Strategy, CP BPD, etc w/reports to receiving MU		/ - - - -/						
4 Prepare pending Cambodia support issue paper for receiving MU		/ - - - -/						
G Prepare PSP Records for Storage								
1 Inventory PSP materials in files		/ - - - -/	- - - - -/					
2 Prepare inventory materials for storage and transfer to receiving MU			/ - - - -/					
3 Prepare disk backup of PSP computer files including reports, data, etc			/ - - - -/					
H Prepare for Closure of PSP Library								
1 Update materials inventory		/ - - - -/						
2 Determine disposition of Library		/ - - - -/						
3 Prepare material for shipping/disposal			/ - - - -/					
I Prepare Close-Out Reports								
1 Prepare RSM Close-Out Plan	/ - - - -/							
2 Coordinate compilation of status and/or transfer reports on prosthetics, victims of war, Burma Border, HG, Regional disaster assist, Lao HIV/AIDS and Regional HIV/AIDS activities		/ - - - -/						
3 Coordinate compilation of status and/or close-out reports on Thai Partnership and regional support projects		/ - - - -/						



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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
4 Prepare status reports on ASEAN and USAEP activities/issues			/ - /					
5 Prepare "Lessons Learned" paper		/-----/						
J Transfer of Residual Global Bureau Oversight Responsibility								
1 Solicit Report on all G Bureau Activities in non-presence countries		/-----/						
2 Inventory all Global project materials in the Library and filing files	/-----/							
3 Prepare inventoryed materials for storage or transfer		/-----/						
K Prepare Report(s) on Opportunities to Reuse RSM/EA Materials		/-----/						
L Transfer Regional HIV/STD Prevention Project (SO1)								
1 Prepare status report on progress to date								
- Finalize 'Lessons Learned' Seminar report with AIDSCAP	/---/							
- Prepare final report on possible implementing partners and resources within the region (including recommendation for location of management offices)		/ --- /						
2 Partnerships for transfer								
Ongoing donor coordination	/-----/							
Participation in ESCAP/UNAIDS regional donor forum	X							
- Work with ANE staff to integrate/adapt SO1 in results framework		/-----/						

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
Work with Global/ATSP design team to integrate SO1		/- -/ (Retreat)	/--/ (Vancouver)					
- Complete NGO sector assessment in Thailand, Cambodia, Laos (via the Alliance) (\$350,000)		/--- -/ (Thailand)	/- --- / (Cambodia)					
3 Identify and complete project transfer to receiving MU								
- Complete catalog and working bibliography for AIDS - SO1 library (and transfer)	/-----	---/						
- Prepare historical files (hardcopy and disk) of all relevant documentation reports data background documents (and transfer)	/-----							
Complete catalog and working bibliography for country-specific PHN assessment	/-----	- /						
Prepare compilation of AIDS - SO1 contacts/rolodex (and transfer)	/-----	- /						
TDY to receiving MU to facilitate transfer			/ /	/ - /				
M Project monitoring of area of affinity and regional activities/AIDSCAP CARE/Laos.								
1 Monitor CARE/Laos sub-grant project	/--- -/							
2 Review draft final report for CARE/Laos proj.				/ - /				
3 Recommendation for extension/project design after 8/26/96		/---/						
4 Proposed technical evaluation of regional resource center (PDA) and regional training training center (DPU) and recommendations (to ANE)	/--- /	/-----						
5 Reengineering training for relevant AIDSCAP/ARO staff	/---/							

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
Cambodia								
1 Monitor ongoing AIDSCAP sub agreement	/-----/	- /						
N Facilitation of AIDSCAP/Thailand close-out plan								
1 Monthly meeting to discuss draft quarterly report and progress	x	x	x					
2 Review detailed transition workplan	/-- /							
3 Monitor key steps/deliverables	/-----/							
4 Review draft final report				/- --/				
O Program ANR funds								
1 Review report	/-----/							
2 Alliance review next steps of workplan through 9/30/96 in conjunction with transfer site		/-----/						
3 AOCASO revisit workplan (in conjunction with receiving MU)		/-----/						
P Transfer of HG Oversight								
1 Agreement with RHUDO/Jakarta to assume HG oversight	/-----/							
2 Prepare and send letter to MoF on status of USAID assistance, HG authority, and responsible USAID office	/- ---/							
3 Transfer of HG official files		/----- /						
4 Prepare Thai program files for storage		/-----/						
Q Transfer of RDPMP Oversight								
1 Agreement with ENV/UP and OFDA to transfer management to Jakarta	/-- /							
2 Notify AIT/ADPC of transfer	/---/							

RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
3 Transfer of official files to Jakarta		/ - - /						
4 Transfer of other disaster-related files to ADPC		/ - - /						
R Termination of USTDP Project								
1 Completion of Action Memo proposing endowment	- /							
2 Decision by ANE on endowment	/ - - - /							
3 If ANE approves endowment, terminate old CA and prepare new one		/ - - - - /						
4 Prepare close-out report				/ - - - /				
5 Prepare files for storage				/ - - - - /				
S Prepare for Closure of RHUDO Library								
1 Dispose of Library with TDRI, MOSTE Chula U etc		/ - - - - /						
T TDY								
1 Cambodia Grants Management	/	/	/	/				
2 Vietnam DCOF/WVF Evaluation	/	/						
3 Vietnam/Laos Introduction of grantees to new management				/ - /				
U Non current Grant Files - Triage								
1 Review, box destroy, transfer			/ - /					
V Current Grant Actions								
1 Quarterly Reports			/ /			/		
2 Annual Workplans						/	/	
3 Write progress reports for continuing grantees				/ - /				

RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
4 Grantee closeouts								
a POF		/	/					
b VVAF					/	/		
W Future Grant Actions								
1 Write RFA TBD		/	/					
2 Issue RFA TBD			/	/				
3 Review Proposals TBD				/	/			
4 Execute PIO/Ts TBD				/	/			
5 Negotiate Grants - O/P					/	/		
X Closeout and Transfer to new MU								
1 Cull materials, books, files				x				
2 Copy material off computer					x			
3 Box and transfer					/	/		
Y Closure of ASEAN PITO Project								
1 Follow-up with US ASEAN Business Council for PITO final report	x	x	x					
2 Follow-up with US ASEAN Business Council for report's under the ASEAN PITO Project			x					
3 Write up remaining reflows monitoring task for receiving MU			/	/				
Z Closure of ASEAN PITO Files	/	/						
1 Review ASEAN PITO Project and other ASEAN program files	/	/						
2 Review materials in ASEAN library and prepare inventory list	/	/						
3 Transfer materials to receiving MU				x				

RSM/EA PROPOSED CLOSE-OUT PLAN

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OFFICE EXO

EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
A Transfer of Cambodia Support								
Responsibilities to USAID/Cambodia								
1 USDH		/-----/						
2 FSN		/-----/						
3 TCN/USPSC		/-----/						
4 Property Management	/-----/							
5 MACS Flight Assist to Embassy	/-----/							
6 Commissary Liaison to Embassy	/-----/							
B Transfer of Mongolia Support								
Responsibilities to Receiving Mission								
1 Procurement		/-----/						
2 Travel and Transportation		/-----/						
3 Personnel								
a USDH		/-----/						
b FSN		/-----/						
4 Property Management	/-----/							
C Transfer of Japan Support								
Responsibilities to Receiving Mission								
1 Personnel Reporting		/-/						
2 Travel Authorizations		/-/						
D Transfer of RIG Support								
Responsibilities to RIG								
1 Procurement		/-----/						
2 Personnel		/-----/						
3 Building Maintenance		/-----/						



RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
E RSM/EA Personnel								
1 For US Direct-Hire Employees								
a Submit to USAID/W a tentative transfer schedule for each employee	/---/							
b Each employee submits a cabled COAR	/---/							
c Request from USAID/W authority to issue travel authorization		/---/						
2 For Cooperating Country Employees								
a Conduct termination procedures in accordance with 3FAM 900 and the approved local compensation plan		/-----/	/-----/	/-----/				
b Provide maximum practical assistance to employees to secure new employment		/-----/	/-----/	/-----/				
F RSM/EA Procurement & Supply								
1 Amend or terminate Mission instruments in order to ensure adequate but not excessive commodities and/or service till close-out date	/-----/	/-----/						
2 Review open purchase orders to determine need for cancellation revised delivery schedule, or other appropriate actions	/-----/	/-----/						
3 Curtail all new procurement other than for minimum needs through final close-out date		/-----/	/-----/	/-----/				
4 Check and update procurement files for - open actions, -- claims, -- warranties and titles, - inventory records, -- receiving and inspection reports, and -- disposition instructions of commodities, spare parts		/-----/	/-----/					
		/-----/	/-----/					
		/-----/	/-----/					
		/-----/	/-----/					
		/-----/	/-----/					
		/-----/	/-----/					

RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
5 Determine disposition of procurement and supply files		/-----/						
6 Complete all contract close out requirements including Controller review prior to close-out certification by responsible contract officer		/-----/			/-----/			
G RSM/EA Personal Property								
1 Inventory all personal property issued/stored, program/administrative appropriated/trust-funded expendable on loan and contractor procured		/-----/						
2 List quantity, description, and condition code of expendable/nonexpendable property by Personal Property Disposal Records		/-----/						
3 List passenger and non-passenger vehicles				/-----/				
4 Dispose of OE property		/-----/		/-----/				
5 Dispose of trust-funded personal property		/-----/		/-----/				
6 Dispose of all property in the custody of contractors under the terms and conditions of the project agreement		/-----/		/-----/				
7 Disposal of automobiles		/-----/		/-----/				
8 Prepare final report and submission to USAID/W								
H RSM/EA Real Property								
1 Terminate, transfer or assign all leases determined by scheduled departures		/-----/		/-----/				
2 Restore leased premises to original condition if lessor so requests		/-----/		/-----/				
3 Turn off utilities and phone lines				/-----/	/-----/			
4 Return office spaces to landlord				/-----/	/-----/			



RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
I RSM/EA Records Management								
1 Maintain all classified and administratively controlled records separately from unclassified files	/-----/							
2 Maintain updated vital record disposition and send copy to the agency' Record Management Officer	/-----/							
3 For Current Files Mark Official Files with yellow-band band showing retention period, Mark working files		/-----/						
4 Dispose of all inactive official files	/-----/							
5 Determine selected records held by the RSM/EA needed by other missions assuming RSM/EA residual functions	/-----/							
6 Advise Agency Records Management of records to be transferred to Government agencies and obtain clearance for transfer of these records (no official files other than to a U S Government office)			/----/		/----/			
7 Arrange for and ship records using most effective and economical way to transport		/-----/						
8 Arrange for and destroy records eligible for destruction		/-----/						
9 Segregate and deliver to custody of receiving officer those records for residual functions	/-----/							
10 Ship records to be retired	/-----/							
11 Submit to Agency Records Management Office a final memo on disposition of files Description and volume residual operations and of records transferred to USAID/W - Final accounting of volume of records prepared					/-----/			



RSM/EA PROPOSED CLOSE-OUT PLAN

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OFFICE

Financial & Management Information Services

EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
Transfer of Accounting/Reporting Services								
A USAID/Cambodia OAR/Mongolia and AID/Japan, ASEAN Transfer active data, files reports to new accounting station			/	/				
B RSM/EA, RIG/A/Bangkok Transfer data, files reports to new office					/	/		
C Transfer of other closed Mission records (Pakistan, Afganistan, Laos 'Vietnam, Singapore, Burma, East Asia Regional, and Hong Kong)			/	/				
D Transfer active data, files, reports to new accounting station					/	/		
Files Management								
A Review all files in storage and identify which are to be destroyed, sent to storage or sent to the new accounting station		/	/					
B Review all files in the office to identify which are to be destroyed, sent to storage or sent to the new accounting station	/	/						
C Ship official files to storage			/	/				
D Ship files to new accounting station					/	/		

RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
Payment Processing								
A Continue payments for OAR/Mongolia USAID/Cambodia AID/Japan	/	/						
B Continue payments for RSM/EA & RIG	/		-	/				
C Notify payees of new addresses	/ /							
D Issue final CSR report					/ /			
E Issue final IRS Tax Report					/ /			
F Finalize audit of FSN/USPSC leave	/							
Cashier Activities								
A Continue regular cashier services		/						
B Reconciliation with RAMC					/ /			
C Deposit final cash					/ /			
D Appoint subcashier			/ /					
E Turnover vendor checks to Embassy					/ /			
Financial Analysis Records								
A Review files and find all reports with open recommendations and/or reports on active projects/activities	/ /							
Destroy files that do not meet criteria	/							
- Send files that meet criteria to new post					/ /			
B Perform annual ICA/Assesment?			/	/				
Prepare final assessment report				/	/			
C Follow up on old audit recs	/		/					
D Prepare FY 97 audit plan				/ /				
E Hold final MCRC meeting					/ /			

RSM/EA PROPOSED CLOSE-OUT PLAN

NS

EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
Computer Operations								
A Prepare list of all equipment	/	/						
B Transfer equipment for auction to EXO		/	/					
C Transfer excess equipment not needed		/	/					
D Final transfer of equipment					/	/		
E Backup tapes through 6/30 transferred			/	/				
F Transfer file data tapes/files					/	/		
G Manuals and dataentry logbook					/	/		
Other Close-Out Activities								
Final detailed disbursement reconciliation	/	/						
Settle outstanding issues		/	/					
Section 1311 review - identify issues	/	/						
Settle outstanding issues		/	/					
Prepare list of old Advice of Charges	/	/						
Send cables to settle old AOCs	/	/						
Finalize list of outstanding Bills for Collect	/	/						
Prepare individual files and follow-up/trsf				/				
Transfer remaining bills for collection					/	/		
Follow-up on outstanding advances				/				
Transfer remaining advances					/	/		
Compile list of lost checks	/	/						
Follow-up on lost checks	/	/		/				
Transfer lost check file					/	/		
Compile list of outstanding ticket refunds	/	/						
Follow-up on outstanding ticket refunds	/	/		/				
Transfer outstanding ticket refunds					/	/		

RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
Other Close-Out Activities (Cont)								
Close old Vietnam/Laos Trust Funds	/	/						
Final closeout certification memo to FM								
Ship set of reference materials to?					/ - /			
Reconcile NXP Report with EXO					/ /			
Finalize all counterpart reports		/						
Compile list of pending medical claims	/ /							
Follow-up on pending medical claims	/			/				
Transfer pending medical claims					/ /			

RSM/EA PROPOSED CLOSE-OUT PLAN

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OFFICE

O/RP

EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
A Transfer of Regional Contract Office Responsibility								
1 Transfer administration of Nepal and Sri Lanka contracts and grants		/-----/						
2 Transfer administration of Cambodia/Mongolia/Vietnam/Laos/Burma contracts and grants		/-----/						
3 Transfer administration of ASEAN and other residual contract and grant activities		/-----/						
B Finalize on-going workload								
1 complete any remaining negotiations and awards		/-----/						
2 complete any outstanding audits or arrange for transfer		/-----/						
3 complete any outstanding contract and grant administration issues		/-----/						
C Terminate appropriate contracts/ grants/ PSCs								
1 prepare final settlements		/-----/						
2 initiate any audits required		/-----/						
D Close out remaining contract/grants								
1 follow close out procedures			/-----/					
2 resolve any outstanding issues that develop during closeout			/-----/					

RSM/EA PROPOSED CLOSE-OUT PLAN

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EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
E End TDY support and acceptance of new work requirements		/-----/						
F Close-out O/RP office								
1 Box up files and send to storage			/-----/					
2 work with EXO on disposition of office equipment and supplies				/-----/				
3 to the extent the office has the staff capacity, provide support to receiving contract offices regarding status of transferred contract and grant actions			/-----/					

RSM/EA PROPOSED CLOSE-OUT PLAN

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OFFICE RLA

EVENT/ACTION	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC
A Transfer responsibility for providing RLA services								
1 Ascertain who will assume legal responsibility for each customer mission			/ - /					
2 Brief successor RLA(s) on on going legal issues			/ - - /					
3 Transfer relevant files			/ - /					
B Close RLA library and files								
1 Determine disposition of library materials and files			/ - - /					
2 Prepare library materials and files for shipping or disposal, as appropriate.			/ - - /					
C Provide advice on legal issues	/-----/		/-----/					
		(until departure from post)						

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RSM/EA
 FY 1996 Operating Expense Budget
 Current vs Option 1

Expense Item	FY 1996 Planned	FY 1996 9/30/96 close	Difference
USDH Benefits	\$264,226	\$347,867	\$83,641
FSN Salaries	\$1,239,724	\$948,731	(\$290,993)
FSN Severance Pay	\$65,842	\$688,619	\$622,777
USPSC Salaries	\$35,620	\$69,620	\$34,000
Housing Costs	\$475,464	\$109,250	(\$366,214)
Office Operations	\$529,914	\$521,003	(\$8,911)
Operational Travel	\$131,000	\$65,415	(\$65,585)
Procurement (NXP)	\$50,610	\$18,920	(\$31,690)
Totals	\$2,792,400	\$2,769,425	(\$22,975)



RSM/EA
 FY 1996 and FY 1997 Operating Expense Budget
 Current vs Option 2

Expense Item	FY 1996 Planned	FY 1996 12/31 close	Increase (Savings)
USDH Benefits	\$264,226	\$277,597	\$13,371
FSN Salaries	\$1,239,724	\$965,088	(\$274,636)
FSN Severance Pay	\$65,842	\$346,193	\$280,351
USPSC Salaries	\$35,620	\$71,493	\$35,873
Housing Costs	\$475,464	\$139,450	(\$336,014)
Office Operations	\$529,914	\$580,004	\$50,090
Operational Travel	\$131,000	\$70,415	(\$60,585)
Procurement (NXP)	\$50,610	\$18,920	(\$31,690)
Totals	\$2,792,400	\$2,469,160	(\$323,240)

Expense Item	FY 1997 Per BPD	FY 1997 12/31 close	Increase (Savings)
USDH Benefits	\$346,382	\$113,969	(\$232,413)
FSN Salaries	\$1,128,374	\$7,038	(\$1,121,336)
FSN Severance Pay	\$274,041	\$397,381	\$123,340
USPSC Salaries	\$0	\$0	\$0
Housing Costs	\$506,383	\$14,500	(\$491,883)
Office Operations	\$590,233	\$93,725	(\$496,508)
Operational Travel	\$131,000	\$15,000	(\$116,000)
Procurement (NXP)	\$57,300	\$0	(\$57,300)
Totals	\$3,033,713	\$641,613	(\$2,392,100)

Grand Total for option 2 (FY96 + FY97) **\$3,110,773**
 Amount Increased from FY96 Planned \$318,373

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RSM/EA
 FY 1996 and FY 1997 Operating Expense Budget
 Current vs Option 3

Expense Item	FY 1996 Planned	FY 1996 3/31 close	Difference
USDH Benefits	\$264,226	\$251,609	(\$12,617)
FSN Salaries	\$1,239,724	\$868,066	(\$371,658)
FSN Severance Pay	\$65,842	\$346,193	\$280,351
USPSC Salaries	\$35,620	\$31,493	(\$4,127)
Housing Costs	\$475,464	\$140,050	(\$335,414)
Office Operations	\$529,914	\$569,304	\$39,390
Operational Travel	\$131,000	\$70,415	(\$60,585)
Procurement (NXP)	\$50,610	\$18,920	(\$31,690)
Totals	\$2,792,400	\$2,296,050	(\$496,350)

Expense Item	FY 1997 Per BPD	FY 1997 3/31 close	Difference
USDH Benefits	\$346,382	\$115,000	(\$231,382)
FSN Salaries	\$1,128,374	\$252,854	(\$875,520)
FSN Severance Pay	\$274,041	\$429,154	\$155,113
USPSC Salaries	\$0	\$40,000	\$40,000
Housing Costs	\$506,383	\$25,700	(\$480,683)
Office Operations	\$590,233	\$177,000	(\$413,233)
Operational Travel	\$131,000	\$20,000	(\$111,000)
Procurement (NXP)	\$57,300	\$0	(\$57,300)
Totals	\$3,033,713	\$1,059,708	(\$1,974,005)

Grand Total for option 3 (FY96 + FY97) **\$3,355,758**

Amount Increased from FY96 Planned **\$563,358**

Mike Royal

This was ultimately
overtaken by events. The
RSM ~~was~~ is actually
going to close as planned.
This is for your RSM
Closeout file -
Carol



U S AGENCY FOR
INTERNATIONAL
DEVELOPMENT

M. Moran
Went to
4/22/96

April 22, 1996

Office of the
Executive Secretariat

NOTE FOR A-DA/AID, LARRY BYRNE

The Administrator returned the attached
with the following comment

Larry,

"Comments "

Carla Goddard for
Aaron S. Williams
Executive Secretary

Attachment.

April 19 Memo from Margaret Carpenter to
the A/AID re Overseas Mission
Restructuring

320 TWENTY FIRST STREET N W WASHINGTON D C 20523

96002783

FILE: ANE

dc(fr)

INFO: Atwood - folder
R logs



U S AGENCY FOR
INTERNATIONAL
DEVELOPMENT

APR 19 1996

SECRETARIAT

1996 APR 19 15 24

MEMORANDUM

TO: A/AID, Brian Atwood
FROM: AA/ANE, Margaret Carpenter *MC*
SUBJECT Overseas Mission Restructuring

Comments
JD

At Larry Byrne's suggestion, ANE and M have begun to meet to discuss implementing your recommendations to the Secretary on the restructuring of our overseas missions. While we believe that we can meet most of the timelines, in the case of the recommended FY96 closeout of the Bangkok Regional Support Mission (RSM), we foresee the need for up to nine months additional time for some part of the staff in order to assure the smooth transfer of functions to other locations.

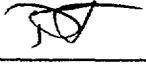
The RSM provides varying degrees of support for eight other missions or programs in East and South Asia (Mongolia, Tokyo AID Rep, Cambodia, Vietnam, Laos, Burma border, Nepal, Sri Lanka), as well as the regional IG office, which just moved from Singapore to Bangkok a few months ago. The RSM also has residual close-out functions for the Pakistan and Afghan programs and the Thai bilateral program. RSM support includes essential functions like accounting and financial management, legal support, and contracting. The RSM also provides technical support and project design and evaluation for limited or non-presence programs. All of these functions must now be transferred elsewhere in the region or to Washington.

While the Agency may decide to consolidate some mission support functions in Washington, our initial assessment is that we should transfer most of the functions and some of the FTEs associated with them to other bilateral mission in the region (such as Manila or Jakarta). This would allow us to reduce the staff assigned to regional support without jeopardizing program continuity and accountability. We should be able to cut the RSM staff substantially by the end of this fiscal year. However, we now expect that the NSDD 38 and assignments processes will make it difficult to select and move personnel to other missions to accomplish the proper transfer of authority. We therefore foresee the need for a small core of USDHs and FSNs who could wrap up the process no later than June FY97. The continuity of support is especially important for Cambodia, which is heavily dependent on the RSM, has a limited pool of skilled FSNs, and is

already a post where we worry about accountability

The RSM thus raises complicated issues affecting much of Asia I would appreciate a chance to talk with you and Larry about these challenges as soon as possible

cc A-DA/AID, Larry Byrne

CLEARANCE ES PGoddard  Date 4/19