

CASE STUDY: Policy and Procedure Review

Introduction

The project purpose was to review and evaluate the client's Support Services Department (SSD) policies and associated procedures (P&P). The primary project objective was to deliver an analysis of the P&P documents by comparing them to internal and industry best practices and benchmarks. A secondary objective was to develop and provide recommendations for future improvement. The project activities were completed within a 16-week period and included reviews of the policies and procedures, and current key processes.

For the purposes of this project, it was necessary to establish common definitions of "policy" and "procedure" in order to promote understanding. Policy was defined as a set or system of statements used by organizations to help in guiding their decision making or behaviors. Procedure was defined as written instructions describing how to complete a defined task or process.

Methodology

The work was organized into two (2) phases. Phase 1 focused on the collection, inventory, and review of the client's P&P's relating to, or governing, their Support Services Department. Phase 2 focused on the observation and analysis of current SSD processes and procedure, and comparison of current practices against the written, or formal, P&P's, and industry best practices and benchmarks. Phases were used for organizing and planning purposes. Activities were not sequentially dependent; therefore phase 2 activities were conducted during the planned phase 1 timeframe, and vice versa.

Project activities included:

- 1) **Organizational Document Review and Analysis:** This activity involved the review and analysis of P&P documents, and parent policy documents. The review included comparison of the documents to each other, to organizational standards, and to industry best practices.
- 2) **Benchmark and Best Practice Research:** On-line research was conducted for industry examples of policy, procedure, operational best practices, and benchmarks. Policy and Procedure best practices were combined from various sources and used to compare the client's P&P documents.
- 3) **Organizational Knowledge Review:** Interviews were conducted with the client's key managers and personnel. Interviews were conducted in-person or via video-teleconference, depending on the needs and availability of the participants. The participants were asked to describe their understanding of the policies they support through their departments process, the processes themselves, their management practices, and measurements, and if they have written procedures of their processes.
- 4) **Direct Work Observations:** Work site visits were conducted to review and understand the processes used to support or comply with the policies. The work observations provided primary data for review and comparison to written P&P's.

Current Operations and Key Processes

The client's Support Services Department is comprised of four main units: 1) Facilities Management, 2) Postal Mail and Package Delivery, 3) Fleet Management and Surplus Asset Management, and 4) Construction Project Management.

Facilities Management

The Facilities Management (FM) unit oversees the continuous operations and general maintenance of the client's buildings. Their services include cleaning, maintenance of the Heating, Ventilation and Air (HVAC) systems, and upkeep of the buildings and grounds.

The maintenance of the various HVAC (Heating, Ventilation, and Air Conditioning) is a key FM process. The work is captured, and mainly controlled by the Worker Order system, but is a hybrid Work Order/Daily Routine process. The Work Order system drives the workload, and the general process is simple and straightforward. Staff come in for the day and conduct a walk-thru check of their area, then check their Work Assignments for the day (including any email notifications). Work orders are completed according to FIFO, unless there is an emergency, room setup, or higher priority Work Order (urgency communicated through email, a backorder part arrived, etc.).

Completing the Work Order itself is also straight forward. Staff will review the Work Order details, then go to where the work is needed. Upon completion of the work, they return to their desk, open the Work Order system, and close the Work Order by entering the required data.

Postal Mail and Package Delivery Services

The Delivery Services unit provides three distinct but related services: 1) Inbound reception of packages and freight, 2) Outbound shipment of packages and freight, and 3) Postal mail handling and distribution.

Upon receipt, shipping labels are scanned using the Web Tracking System (WTS), the recipient's name is entered into the system, which then auto-populates their building and room location. WTS then auto-generates and sends an email to the recipient notifying them their package has been received. The WTS System prints an internal tracking tag, which is then applied to the package. The package is then placed in the designated storage area later delivery.

Packages are delivered to the buildings throughout the day using an ad hoc delivery schedule based on the operator's availability. When ready, an operator loads packages into his/her vehicle, takes a WTS hand-held scanner from the charging tray, then delivers the package(s) to identified building(s). Packages are NOT delivered to a central location but are delivered to the room or office on the shipping label. If the recipient is present, a signature is received and noted on the hand-held scanner. If the recipient is not present, the package is left, and a "non-signature" delivery is noted on the hand-held scanner.

U.S. Postal Mail is retrieved from the Post Office twice per day by the client's Mailroom Staff member. The first run occurs at 8:00am, and the second run is at 4:00pm. Three to six of the client's Mailroom Couriers manually sort the mail when they return to the client's Mailroom. Sorting is a three-step process: 1) selecting a piece of mail, 2) looking up the name on the mailing label in the client's directory to find the person's building location, and 3) placing the mail piece in the associated slot. Each the client's building has a labeled mail slot. Mail slots are organized into route groups.

Outgoing mail is collected from the building central hubs during delivery runs and returned to the Delivery Services mailroom and sorted. The outgoing mail is stamped if needed then placed in the "Stamped Mail" slot. It is collected and delivered to the Post Office on the 4pm run.

Fleet Management and Asset Surplus Warehouse

The client's vehicle fleet and asset management services are conducted by the Fleet Management and Asset Surplus Warehouse staff.

The workload for the Surplus Warehouse staff is determined according to the volume of Work Orders assigned to it. Work orders include the moving or removal of Non-Inventory assets (valued less than \$3000), Capital Assets (valued at, and above, \$3000), and the management of assigned fleet vehicles. Each day, the Warehouse Supervisor reviews the open Work Orders, determines which to fulfill, to whom they are assigned, and their priority. Work Order priority is as follows: 1) Vehicle Safety, 2) Urgency need, 3) First-In-First-Out (FIFO), and 4) Vehicle Preventive Maintenance (the client's vehicle PMs are scheduled and completed by the parent organization's Facilities Fleet Services). Simple repairs and maintenance (e.g., flat tire, replace wiper, etc.) of assigned vehicles are scheduled and completed by Warehouse staff utilizing the Work Order process.

After reviewing the Work Orders and determining their assignment, the warehouse supervisor prints 2 hardcopies. The assigned staff then proceed to fulfill and complete the Work Order. When a non-inventory Work Order is completed, the warehouse staff gives one copy to the requestor for their records and has them sign the other. The warehouse copy is stamped "Complete." If the Work Order requestor is not present when the Work Order is

completed, the warehouse copy is stamped “Complete”, and no signature captured. The warehouse staff then either completes another Work Order or returns to the warehouse.

Upon returning to the warehouse, any non-inventory items brought back are placed in a non-inventory bin, and the inventory sheet updated with the new contents and attached. The Work Order is then closed in TMA by entering the “Hours” and “Date” information. The warehouse hardcopy is filed in the top drawer of a file cabinet located in the main office lobby.

For Capital Asset, three copies of the Work Order, and two copies of the list of assets to be retrieved are printed. Printing the list of assets requires the supervisor to open the asset management system. The list is manually downloaded to an Excel spreadsheet, the assets associated with the Work Order are filtered and the list printed.

When Work Orders are completed, the warehouse staff gives one copy to the requestor for their records and has them sign the others. If the Work Order requestor is not present when the Work Order is completed, and no signature is captured. The warehouse staff then either completes another Work Order or returns to the warehouse.

Upon returning to the warehouse, the Capital Assets are off-loaded from the truck, and placed on a pallet in the warehouse. A copy of the Work Order and a copy of the Surplus Request Worksheet (the list of assets) are attached to the pallet/Bin/Item, with one Work Order per pallet.

The third Work Order copy is used to close the Work Order and remove the assets from the Surplus list. The assets are removed from the Surplus list by entering the CAE number. The final Work Order copy is then placed on the wall file located on the back wall of the office lobby. The completed Capital Asset Work Orders will be given to the parent organization’s Logistics Team when they pick up the inventory.

Construction Project Management

The Construction Project Management unit is responsible for organizing, overseeing, and managing all construction projects for the client. Projects vary in both costs (from less than ten thousand dollars to multi-million dollars) and type; Security Clearance Required or Not Required. Additionally, construction projects involve coordination with the parent organization’s construction needs and funding requirements. Project complexity is further elevated depending on building ownership, and funding sources.

Construction projects can be initiated in various ways; through the Jira Request system, via an email request, or verbally to one of the PM’s. The preferred, and main, request method is for departments to complete a Project Request in Jira. Through this system, the project initiator provides the Construction Project Management unit with the basic required project information, which is used to start the Chartering process. Upon receipt of the request, it is reviewed to determine what is specifically being requested.

The purpose of the Project Charter process is to provide consistent management of construction projects from the beginning. Four Project Charter Request documents are used, and depend on the needs outlined in the project request. They are: 1) Furniture Request Charter, 2) Lease Request Charter, 3) Renovation / Construction Request Chart, and 4) Space Request Chart. The Charter Request is then reviewed in a five-step process: 1) A construction project Charter is initiated, 2) The Project Charter is reviewed by Construction Project Management, 3) the client’s Leadership reviews and either approves or denies the project, 4) If approved, supporting documents are acquired and signatures obtained, 5) The project is started.

Upon the approval of a Charter, a Construction Project Management team is assigned. When the project specifications are received, a Designer or Architect is consulted for pricing. When the project costs/price are accepted, permits are obtained (if required), then the contractor is selected, and construction is begun. Upon completion of the project and final inspection, the contract paperwork is closed out, payments to the contractors are made, and the project is marked complete.

Benchmarks and Best Practices

A best practice is a technique, method, process, or procedure shown to, or believed to, provide higher quality results than others. They are often based on experience and use standard measures or practices. Benchmarking is a common

practice used to measure things (products, services, people, organizations) against an accepted standard (best practice), and often are the standards against which performance is measured. Sources of best practices include governmental, national, and international organizations, relevant industry associations, and sister or competitor organizations.

A part of benchmarking is the identification and use of Key Performance Indicators (KPI). KPIs are specific measures used to assess the success of a given activity, process, department, organization, etc. The application of KPIs provides management with a means to understand how the operation(s) is performing over time. There are various types of KPI for each business discipline, but the most important KPIs are those that have meaning to, and are specific, to the organization's success. A measure for one organization may not be the right measure for another organization.

Policy Documents

Policies apply to a wide range of situations and people. A standardized format is recommended so everyone can more easily understand and find the information they need. Conversely, not adhering to a standard format increases the likelihood of confusion and misunderstandings resulting in non-compliance or more serious outcomes. Some recommended key elements of a standard policy format include:

- **Header:** The organization's name and for whom the policy is created.
- **Dates:** Indicating the creation, review, and updates.
- **Title:** Reflects the total content of the policy.
- **Authority's Approval:** Approver's name.
- **Policy Statement:** The who, why, what, when, and where of the policy.
- **Scope of the Policy:** To whom, and for what, the policy applies to.
- **Procedure:** The steps required to achieve the goals laid out in the policy statement.
- **Procedure Number:** To make referencing easier.
- **Different Parties and Responsibilities:** A list of various units that would be responsible for policy enforcement.
- **Directive:** Important instructions.
- **Page Numbering:** self-evident
- **Definitions:** Uncommon words should be clearly defined.
- **References:** Indicate if the policy was developed with references from other documents.

Procedure Documents

Procedures are written, detailed instructions about how to complete a task, and consistent, written documentation of processes in a step-by-step manner, is a recognized best practice in leading organizations. Other best practices include visual references and for each step, the expected time, and personnel required to complete the task. Providing images for the reader enhances understanding and accuracy, while the inclusion of time and personnel expectations guides the reader regarding the effort needed for success.

Grouping individual procedures into a single document creates the "Standard Operating Procedure" (SOP) for an organization. A document of this type provides a single source of information and is the organizational standard for completing tasks or processes. Some recommended key elements of a standard procedure format include:

- **Title:** This is the name of the process which the procedure is describing.
- **Purpose:** A description of the reason for the process.
- **Scope:** Information about what the procedure does and/or does not include or to its application.
- **Responsible Parties:** A list of people responsible for completing the procedure.
- **Requirements:** A description or list of requirements such as people, tools, equipment, etc.
- **Numbered Steps:** The order of process steps to be completed.
- **Tied to Policy:** What policy (if any) the procedure supports.
- **Defined Expectations:** Describe or explain the expected outcome of completing the process.
- **Clear Language / Easy to Understand:** Plain, simple language is best.
- **Included Visuals (Images or Other Media):** Include images, or videos, about how, where, and what to do.

- **Definition of Terms:** Define technical terms and jargon.

Facilities Management

Facilities Management (FM) and its practices are concerned with the maintenance, management, and operations of buildings and lands of an organization. The FM organization balances the changing needs and demands of the people they serve with sustainable, and safe and effective business requirements. It is comprised of the tools and services needed to support the continuing operations, and involves topics such as safety, sustainability, grounds, equipment, and infrastructure.

Maintenance of organizational facilities is a major component of any FM operation, as is the case with CLIENT-SSD. Best practices for a maintenance organization include¹:

- **Identifying and Discovering Best Practices:** Understanding the entire maintenance process and seeking improvement solutions. Measures such as equipment downtime, quality standards, throughput help to understand where improvements are needed, especially when compared against industry standards.
- **Defining Standards and Developing Playbooks:** Answers to questions like “what does success look like” help define the Key Performance Indicators (KPIs) needed establish standards and develop SOP’s that are important and achievable for the organization.
- **Applying and Implementing Processes:** Continuous improvement of processes and practices keeps an organization at the forefront of its industries. Methodologies like Lean and/or Six Sigma with trained personnel are popular practices. They help identify and improve operations in a continuous manner.
- **Tracking Progress and Gauging Performance on Maintenance Practices:** Setting standards and publishing SOP’s is the first step, but without rules and guidance they will become obsolete or useless. Establishing policies to govern the development, implementation, promotes continued use of key measures and improvement.
- **Enabling and Automating Maintenance Practices:** Automation is the best practice across industries. Updating and adopting new equipment and tools helps reduce errors and increase performance.

Key to any maintenance program is the use of Work Orders; requests for a task (work) to be performed. They are a means of communication from one part of an organization to another. Work Order best practices include:

- **Centralized process:** A single system, accessible to, and utilized by, everyone in the organization.
- **Assigned tasks:** Appropriately assigning tasks to personnel with the knowledge and skills needed to complete the task is paramount to an efficient W.O. system.
- **Access to resources:** Organized and comprehensive data including history, recommendations, and instructions are parts of an optimized system. Formats and technology using support cloud-based storage and mobile access enhance efficiency.
- **Checklists:** Detailed checklists promote consistency and quality of service, regardless of who completes the W.O.
- **Documented procedures:** Access to a W.O.’s completion history is helpful with future repairs.
- **Prioritization:** A set system to indicate the importance of request aids in smooth operations. A defined and published prioritization system helps in communication to requesters and the scheduling of work. Operating without a defined prioritization system can allow for important work to be neglected.
- **Transparency:** The ability of the requester to see the status of their Work Order helps with communication and customer service.

Postal Mail and Package Delivery Services

The logistics industry is concerned with the flow of goods from point to point and the resources required to successfully meet the needs of the customer. It is a strategic business function and a vital part of an organization’s operations. Logistic processes include the receipt/intake, warehousing/storage, and distribution/delivery activities of an organization, with mail and package delivery being sub-sets of the operations.

Effective mailroom management is a key component to providing optimal delivery services to the organization. Proper techniques increase an organization’s ability to process and track deliveries, while reducing the risk of costly mistakes

and errors. Some best practices for mailroom management include standardizing the mailroom organization, training staff on procedures, and automating delivery management.

Key Performance Indicators for delivery services include:

- **The Number of Deliveries**- This is a measure of the completed deliveries in a given timeframe (per year, week, day, etc.). It is the foundation for other delivery metrics.
- **On-Time Deliveries**- Calculated as a percentage of the number of deliveries, this measures the efficiency and effectiveness of the service, and helps to highlight areas requiring focus or improvement.
- **Order Accuracy**- This provides a measurement of the process and tells management how the process works.
- **Transit Time to Distance**- This metric provides information regarding the route and driver effectiveness.
- **Vehicle Capacity vs. Available Capacity**- This is a measure of how well vehicles are utilized and provides information useful in vehicle management.
- **Average Time Per Delivery**- Another process measure, ATD offers insight in the supply chain effectiveness.
- **Average Cost of Delivery**- This measure considers the costs of fuel, staff, distance, and the number of deliveries. It is especially helpful to management to track and maintain performance against established budgets.

Fleet Management and Asset Surplus Warehouse

Another sub-category of logistics involves the operation and management of warehouses and storage facilities. Warehouse operations vary in size and function depending on the needs of the organization. KPI’s warehouse operations can be divided into five distinct categories: Inventory, Receiving, Put-away, Order Management, and Safety. Individual measure for each category include^[18, 19]:

Inventory	Receiving	Order Management
Inventory accuracy	Receiving efficiency	Picking accuracy
Shrinkage	Receiving cycle time	Total order cycle time
Carrying cost of inventory	Cost of receiving per line	Order lead time
Inventory turnover	Put-away	Backorder Rate
Inventory to sales ratio	Put-away cost per line	Fulfillment accuracy rate
Accuracy rate	Put-away cycle time	On-time shipping rate
	Safety	Cost per Order
	Accidents per year	Rate of returns
	Time since last accident	

Construction Project Management

Projects can be, and often are, complex endeavors, especially construction projects. There is no one way to manage a project, but the Project Management Institute (PMI) recognized there are best practices; knowledge, tools, and techniques, which can be applied. They are collected and codified in the “The Project Management Body of Knowledge” (PMBOK). PMI is recognized as the leader in the field of Project Management, and offers professional certifications in Project, Program, Portfolio, and Risk management, as well as focused certifications in Agile, Scheduling, and Construction management to name a few. A *Construction Professional in Built Environment Projects* (PMI-CCP) certification is the gold standard in construction project management certifications.

A key tool and best practice used to integrate the various elements of projects is the Project Charter. A Project Charter is “A document issued by the project initiator or sponsor that formally authorizes the existence of a project, and provides the project manager with the authority to apply organizational resources to the project activities.”

Elements of a Charter include:

- Customer Requirements
- Business Needs
- Project Purpose
- Assigned Project Manager
- Organizational Participants
- Project Assumptions
- Project Constraints
- Business Case

- Milestone Schedule
- Stakeholders
- Budget

The Project Charter is the first input to the development of the overall Project Management Plan which includes but not limited to individual project management plans such as: Project Scope, Schedule, Costs, Quality, Staff, Communications, Risk, and Procurement. When completed, these plans form the Project Management Plan are used to monitor, control, and manage the project performance.

Regardless of the type of project undertaken, recognized key success factors related to project performance include^[44]:

- Effective communication
- coordination and commitment
- Top management support
- Effective planning
- Communicate with all stakeholders
- Create a risk response team
- Hold a project kick-off
- Use a detailed work definition document
- Create a detailed work plan
- Experienced & competent personnel
- Teamwork
- Good leadership
- Document everything
- Ask for feedback
- Communicate the impact of project add-ons
- Manage new agreements
- Hold a wrap-up meeting

The use of metrics in project management enables PMs to improve their understanding by reducing uncertainty and increasing their ability to make decisions. Using relevant metrics improves team and contractor performance by focusing on SLA's and providing needed, timely, information in the decision-making process. The choice of project metrics should align with an organization's goals and strategies. Common project metrics include:

- Productivity
- ROI
- Earned Value
- Actual Cost
- Schedule Variance
- Cost Performance

Data Analysis

Comparisons of the client's P&P's against industry and organizational standards and best practices.

Policy Documents Analysis

Thirty policy documents specifically governing client's SSD operating units (Facilities Management, Delivery Services, Construction Project Management, and Surplus Warehouse) activities were identified and analyzed. The following analysis does not consider the validity, need, or appropriateness of the policies. The intent is not to indicate how the client should run or manage the organization, rather the analysis is focused on the policies as written, and comparison to themselves, industry and organizational standards, and best practices for policy documents.

Document-to-Document Comparisons

The client's policy documents are organized into sections. All of the reviewed documents contained at least two sections, with 13 (43%) having no more than two sections, 9 (30%) having no more than three sections, and 9 (17%) having no more than four sections. 1 document had six sections, with the remaining 2 documents having 5 sections.

The eighty-nine (89) sections (the sum of all thirty document sections) were made up of twenty-two (22) different section names; 14 (64%) are unique, meaning they appeared in only one document; five (17%) are less common, meaning they appeared in two or three documents; and three (10%) are most common, meaning they appeared in 40% or more of the documents.

"Overview," "Procedure," and *"Policy"* were the three section names most common among the documents.

"Overview" is the most frequently used section name and appears in 28 (93%) of the policy documents and appears in the same location as the first section in each of the documents. *"Procedure"* is the second most frequently used section name and appears in 24 (80%) of the documents and is usually placed as the second or third section (10

documents each) and four times appearing later in the document. The third most frequently section name is *"Policy,"* appearing in 12 (40%) of the documents and usually as the second section when it is used.

Document vs. Best Practices

The client's policy documents were compared against the thirteen (13) elements recognized as best practices described in the Benchmarks and Best Practices section above. A color-coded comparison was conducted using a rating scale from 1 to 3 as follows: 1- Exists; Acceptable As-Is (green); 2- Exists. Needs Work; Not Explicit (yellow); or 3- Poor; Does Not Exist (red). A score of 13.0 represents the highest possible score for any Policy document, indicating it explicitly showed all best practice elements. A score of 30.0 represents the highest possible score for any Best Practice Element, indicating it was present and acceptable as-is in all Policy documents.

Elements rated "1- Exists; Acceptable As-Is" were given a score of 1.0 point. Elements rated as "2- Exists. Needs Work; Not Explicit" received .5 points. Therefore, a document with all the content expected, but no explicit section headings would receive a total score of 6.5 points, and a Best Practice Element receiving all 2's would have a total score of 15.0. If a Best Practice Element was missing, the document did not receive points for that element.

The overall average score for all thirty documents was 6.94. This means the written policies contain a little more than half of the information expected when compared against best practices. No policy received a perfect score. Eight policies received a score of either 6.75 or less, thirteen received the median score of seven, and nine received a score of 7.5 or more. One policy received the highest score of 8.5.

Seven elements appear in all thirty documents. All documents had a *"Header,"* a *"Title,"* and *"Page Numbering"* which were rated as "Acceptable As-Is" and received the maximum score of 30.0. Some form of *"Policy Statement"* was evident on all documents, but not always explicit, resulting in a score of 21.5 for that element. Elements *"Parties & Responsibilities,"* *"Directive,"* and *"References"* also appeared in all documents in some form but were not explicit in any and rated as "Needs Work; Not Explicit" (except for one document where "Responsibilities" was made explicit and therefore resulted in a score of one-half point higher than the other two), resulting in scores of 15.0. They received this rating because although they were indicated in some form, there was no formal section or content making them explicit to the reader. *"Policy Scope"* was present, but not explicit, in 28 (93%) of the documents, while *"Procedures"* and *"Procedure Number"* were present either explicitly or in some form in 87% of the documents. Two elements missing from all thirty documents were *"Dates"* and *"Authority Approval,"* while *"Definitions"* did not appear in over 29 (97%) of the documents.

Parent Policy Template vs. Best Practices

Thirteen policies from the parent organization were identified as relevant to, or mirror of, the policies reviewed above. The parent documents all had explicit sections for the *"Policy Statement"* and the *"Parties & Responsibilities."* *"Headers"* and policy *"Titles"* were also present on all the parent policy documents. *"Procedure Numbers"* appeared in two of thirteen documents, with one document having numbered procedures, but not being explicit in nature. Using the same criteria and scoring described above for best practices, the parent policy documents have an average score of 7.8, meaning they contained a little more than half of the information expected when compared against best practices. Four documents received a score of 7.0, while five documents received a score of 7.5, and four documents received a score of 8.0 or greater.

Four elements appear in all thirteen documents. All documents had a *"Header,"* a *"Title,"* a *"Policy Statement"* and a *"Parties & Responsibilities"* section which were rated as "Acceptable As-Is" and received the maximum score of 30.0. *"Page Numbering"* and *"Authority Approval"* received "Needs Work; Not Explicit" because although they were not explicit as viewed, they are expressly noted in the "About" information for the on-line library. *"Directive"* is also a best practice element that appeared in all documents in some form but was not explicit in any and rated as "Needs Work; Not Explicit." *"Procedures"* were present in some form in 10 (77%) of the documents. *"Definitions"* and *"Procedure Numbers"* are the two sections that are not present in the majority of documents (62% and 77%, respectively).

Documents vs. Parent Policy Template

Using the same scale as above, the client's policy documents were compared against the parent Template Elements. The best possible score for any parent Template Element was 30.0, while the best possible score for any individual document was 11.0.

The overall average score for all thirty documents was 2.9. This means the written policies contain less than one-third of the information expected when compared against parent standard policy template. None of the client's documents scored above 5.0 against the parent standard template. Twenty documents scored 3.0 or less, six documents scored 3.5, and four documents scored 4.0 or greater.

Parent Template Elements: "*Frequently Asked Questions*," "*Enforcement*," and "*Policy History*" were not present in any of the client's policy documents. The template element "*Policy Statement*," received the overall highest score of 14.5 with seven of the client's documents explicitly matching the element, and fifteen having a policy statement in some form, but not explicit. "*Reason for Policy*" was the next highest scoring element, with a score of 14. A majority of documents express the reason for policy, but do not have an explicit section identifying it to the reader. Likewise, the elements "*Responsibilities*" and "*Related Information*" are present in a majority of documents in some form but are not explicit in their presentation.

Procedure Documents Analysis

Fifty-six individual documents containing 161 written procedures covering the SSD operating units were identified and analyzed. Eleven documents contain multiple written procedures ranging in quantity from 53 to 2, with forty-five documents containing one written procedure. One document contained procedures for both Facilities Management and Delivery Services, while the remaining fifty-five documents contained procedures associated with a single SSD unit as follows: eighteen documents associated with Delivery Services, eighteen documents associated with Facilities Management, nine documents associated with Construction Project Management, four documents associated with the Surplus Warehouse, and eight documents associated with some other SSD unit like "Administration."

49 (88%) of the documents are formatted using MSWord, with the remaining seven (13%) provided in Postscript Document Format (.pdf). The MSWord format provided a means to determine the age of the document, by accessing the "document creation date" from the documents internal data. No procedure was indicated when it was created, edited, or otherwise reviewed and updated. The internal document data provides the best indication of when the procedure was documented. The most recent creation date is October 2022, and the oldest document was created in April 2014. More than half (52%) of the procedure documents were created in 2014 and 2016 (27% and 25%, respectively), with 2022 adding another 10 (18%) documents.

The contents of the client's procedure documents were compared against the eleven elements recognized as Best Practices described in the Benchmarks and Best Practices section above. A score of 11 represents the highest possible score for any Procedure document, indicating it explicitly showed all eleven best practice elements. Of the 161 procedures, twelve were considered "guidelines" rather than "procedures" after review and for this reason they were removed from analysis. Therefore, a score of 149 represents the highest possible score for any Best Practice Element, indicating it was present and acceptable as-is in all Procedure documents.

The overall average score for all 149 procedures was 4.24. This means the written procedures contain a little more than one-third of the information expected when compared against best practices. No procedure received a perfect score. Fifty-six procedures received a score of 4.0 or less, another sixty-two received the median score of 4.50, and thirty-one received a score of 5.0 or more. The highest score of any procedure was 8.0.

7 of 11 Best Practice element categories (64%) had documents where the evaluation score of "Poor; does not exist" was most common; meaning it appeared in more than 50% of the reviewed documents. 3 of 11 key element categories (27%) had documents where the evaluation score of "Exists; Acceptable As-Is" was most common; meaning it appeared in more than 50% of the reviewed documents. All 149 procedures were evaluated to use clear and understandable language, meaning there did not appear to be overuse of jargon or technical terms. Nearly all procedures were easily identifiable through the use of a "Title" (99%) and used "Numbered Steps" (78%).

Matching Policy to Procedure

The last phase of analysis focused on matching policies to procedures. Policies were reviewed and analyzed to determine the actions required to fulfill its requirements. Procedures were then reviewed and analyzed to determine if the actions described completely or partially met the needs of a policy.

Out of the fifty-six documents and 149 procedures reviewed and analyzed previously, 14 procedures from 12 documents were matched with 13 policies. Matching procedures were not found for seventeen policies. Four policies were noted as “obsolete” through supplied data files and scrutiny of the policy document. Four policies were matched with procedures meeting the needs of the policy, and five procedures partially met the needs of the policy.

Key Findings

This section contains the key findings and interpretations based on the data analysis. A complete list and explanation of the project findings can be found in the complete Project Report.

Inconsistent Policy and Procedure Document Formats: The reviewed Policy documents are inconsistent in general formatting and information. The policies and procedures are written with clear and concise language, but the differing formats detract from the readers comprehension since they cannot rely on the information being presented in the same place. If a reader must search for the information, they are more likely to miss it and less likely to comply with or follow the instructions.

Misnomer of “Procedure” Sections: While the majority of policy documents reviewed contain a “Procedure” section (80%), identifying this section as such is a misnomer. As noted above, a procedure description includes step-by-step instructions regarding how to complete a task or process. Well written procedures establish a way of doing something and include steps to follow in a definite order. The procedures in the reviewed documents do not provide this information. This is prevalent across all the client’s and parent reviewed policies.

Missing or Out-of-Date Formal, Written Procedures: Not all processes and activities have associated written procedures. While some do exist, more often than not they are out of date, not centrally located, or easily accessible. There is no single source of procedure access or information. Many of the written procedures that do exist lack details or are not true procedure or process documents.

Reliance on Manual Processes and Lack of Systems Integration: The Work Order process for all units is manual in nature. One Business Unit prints their Work Orders daily, gets a manual signature (when possible), and manually stores and files them when completed. They also must download and search for inventory items to attach to Work Orders using Excel spreadsheets because the two computer systems used do not communicate with each other. Another BU also relies heavily on the use Excel spreadsheets as the main tool to track and manage projects. They have access to software designed to help manage projects, but its capabilities do not appear to be fully utilized or used by all PMs.

Key Recommendations

This section provides key recommendations in accordance with the project deliverables. All recommendations are based on the analysis and findings provided in this report.

Create and Revise Consistent Policy Documents: It is recommended that the client should develop and implement a standard policy format in line with the parent template and best practices. Key format elements not currently in place

should include (but not limited to): Dates; Reason for Policy; Policy Scope; Responsibilities or Responsible Parties; and References.

Develop and Implement Additional, Specific Policies: It is recommended that additional and specific policies be developed and implemented for the client's Support Service Department

Conduct a Complete Review and Revision of All procedures: The client's procedures are inconsistent in both format and content, not easily accessible, and mostly out of date, if not missing completely. It is recommended the client develop and implement a standard procedure format in line with best practices outlined above.

Revise the Web Page to Include Direct Links to Policy and Procedure Documents: A noted best practice for website navigation is "To keep it simple." As the name implies, the rule is to be able to navigate to any location simply within the website. The current SSD web page does not have an easy way to find or navigate to the client's policies, and more importantly, the specific policies. Nor is there any connection or direct access to any procedure documents staff may need to access. It is recommended that the include direct links to the client's Policy Library. SSD should also create a Procedures Library and supply a link for users.

Increase Tablets/iPads Use: SSD practices regarding Work Orders is not completely uniform across the SSD units. Some staff access their Work Order list, go the work site, complete the work, then return to their desk (at some point) to enter the data to document and close the order. Other staff print their Work Orders, complete the work, then return to their desks (at some point) to document the work and close the order.

Both practices have wasted efforts and resources built into them. The printing of Work Orders wastes paper because, while the copies are used to capture a signature, they are simply put into a cabinet drawer. There is no indication the signature is used for anything. Effort, time, and potentially, data accuracy is wasted in both the CCRF and Surplus Warehouse practices, because staff must return to their desks to close out the Work Order. The use of computer tablets would allow the staff to have access to all their Work Orders, record the work, and close them out in real-time. This would reduce the time and effort associated with the Work Orders.

Install Mailroom Scan and Sorting Technology: The current mailroom practice involves the manual scanning of addresses to determine their location, and then the manual sorting into the correct location slot. Current scan and sort technology can easily be integrated with the current client's employee database to allow for automated scan and sort. This would speed up the scan and sort steps, increase accuracy of mail delivery, and reduce costs associated with the staff required to perform the action.

Integrate Software: Develop an integration or connection between the parent Asset Management system and Web Work Order systems. The current manual process of accessing and downloading the entire Surplus Asset list, then searching the list using Excel spreadsheets is not only time consuming, but also rife with opportunities for mistakes. The creation of a link between the two systems will address both the data integrity and time usage issues.

Develop and Implement a Structured Management Operating System (MOS): The MOS is a coordinated series of closed loop steps and activities followed by managers and supervisors for the purpose of ensuring the smooth and efficient operations of business activities and the delivery of products or services. A well-structured management operating system provides timely, accurate reporting of key performance indicators tied to strategic operating goals for all levels of the organizational structure.

A primary objective of the MOS is to provide supervisors, managers, and executives at all levels with the information necessary for effective control of the operation. Desired improvements can be achieved by prompt corrective action of irregularities brought to the attention of management by the system. Through awareness of operating problems and prompt remedial action, management can place the proper degree of responsibility on supervision, and supervision in turn can more easily determine and correct the problems being faced by the staff. The diligent application of the system will aid in identifying significant improvements in productivity. The effectiveness of the system is directly dependent on the degree of application, attention, and follow-up by all levels of the management and supervisory team.

Enhance, Install, and Manage Using KPI Dashboard's in All SSD Units: The current SSD Dashboards provide Strategic level information, but do not include goals or standards by which to make comparisons. It is recommended that operational level dashboards be developed and installed for all areas.

The development and use of Key Performance Indicators (KPI's) in relation to the on-going operations in all SSD units will not only provide leadership the ability to objectively evaluate the performance of a department or work unit, but also provide objective feedback to an individual. The continuous collection and reporting of KPI's provides leaders with a continuous source of information, thus freeing up time and effort often spent looking for data to support an evaluation given only once per year.