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	U·S·DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Number: OPM-13 Transmittal Number: 456 Date: 6/27/88

Subject: Operations Evaluation Staff

Approval: Acting Director

Title: Director

1. Purpose. This directive establishes policies, assigns responsibilities, and prescribes procedures for implementing the Operations Evaluation Program within the Office of Surface Mining Reclamation and Enforcement (OSMRE). The purpose of the program is to examine how national agency policy is being implemented by all units and to provide the Director, Deputy Director, and Assistant Directors with constructive recommendations for improvements in policy implementation.

2. Definitions.

a. Unit Evaluation. An examination of specific unit operations to determine compliance with established policies/procedures, and to ensure national consistency of application and interpretation of the Surface Mining Control and Reclamation Act of 1977 (SMCRA), other applicable laws, and associated regulations.

b. Operations Evaluation Staff (OES). The unit reporting to the Deputy Director that is assigned the responsibility to organize and conduct evaluations.

c. Evaluation Review Panel. The OSMRE individuals selected by the Deputy Director to review the draft final evaluation report for policy and programmatic implications and to report their conclusions to the OES.

d. Field Unit. The 13 Field Offices, associated area offices, and the Eastern and Western Field Operations offices.

e. Headquarters Unit. The Staff Offices, Divisions (including any associated unit located in the field), and the Assistant Directors' offices located at the OSMRE Headquarters level.

f. Evaluation Team. A group of individuals, selected by the OES Chief, and approved by the appropriate Assistant Director for Field Operations (AD-FO) and the Deputy Director (DD), OSMRE, assigned to conduct an evaluation of a field unit or Headquarters unit.

g. Evaluation Report. The document prepared by the OES that contains the findings and recommendations resulting from the unit evaluation.

h. Evaluation Action Report (EAR). A report on the actions taken to resolve each recommendation contained in the evaluation report.

i. Action Official. The person(s) identified in each recommendation as responsible for taking action to resolve the issue.

3. Policy/Procedures.

a. Policy. It is the policy of the OSMRE that an Operations Evaluation Staff be established and maintained to assist the Director, the Deputy Director, the Assistant Directors, Office Heads, Division Chiefs and the Field Office Directors (FOD's) in evaluating the implementation of the OSMRE's operations at the field and headquarters level. To assure consistency, all evaluations shall be done under the following guidelines:

(1) All evaluations shall be conducted in an objective, timely and professional manner, in accordance with the standards established for such evaluation by this directive, including Appendix No. 1 (Operations Evaluation Handbook).

(2) All evaluations shall be fully documented, using the prescribed procedures, formats and forms in Appendix No. 1, and contain supporting data and analyses so that reviewing officials can understand the basis for the conclusions and recommendations.

(3) The evaluated unit and the appropriate AD's shall be given an opportunity to review and comment on the preliminary findings and recommendations of the evaluation team through an on-site closeout meeting (including a Discussion Draft Report) and a subsequent Working Draft Report. Comments received shall be considered by the OES in preparing the final report.

(4) The final report will be approved by the appropriate AD or the DD in the case of an evaluation of Eastern/Western Field Operations and the Headquarters staff offices.

(5) The results, findings, conclusions, and recommendations of the evaluations shall be considered in the development of policy, procedures and directives and in the operational planning and budgeting process.

(6) OSMRE units shall notify the OES of all reviews or audits scheduled by outside parties (e.g., OPM, DOI) in order for the OES to avoid scheduling conflicts and to be able to use the results of such reviews or audits.

b. Responsibilities.

(1) Director is responsible for the general direction of the Operations Evaluation Program. This includes approving the evaluation program policy directives, the annual evaluation schedule and the annual panel of potential evaluation team members. The Director will oversee and ensure effective cooperative efforts including implementation actions based upon recommendations from the evaluation teams.

(2) Deputy Director - is responsible for directing the development of operations evaluation program policy and procedures, and providing policy direction to the OES. The DD approves the topics to be examined during a unit evaluation. The final evaluation design plan is approved by the DD. The DD also is responsible for reviewing evaluation findings and recommendations and ensuring that all final recommendations are acted upon.

(3) Assistant Directors for Field Operations (AD-FO) are responsible for overseeing evaluations conducted in their units, reaching agreement on the annual evaluation schedule, concurring in the OES Chief's selection of applicable evaluation team members, approving the final reports covering Field Offices, and ensuring that all final recommendations on matters under their purview are acted upon.

(4) Headquarters Assistant Directors are responsible for overseeing evaluations conducted in their units, concurring in the OES Chief's selection of applicable evaluation team members, reviewing and commenting on the draft findings and recommendations for which they have been designated as the action official, approving the final reports covering Headquarter's units and ensuring that all final recommendations on matters under their purview are acted upon.

(5) Chief, Operations Evaluation Staff is responsible for developing and supervising the operation of the OES. This includes the development of directives and instructions; coordinating, monitoring and reviewing all evaluations performed by the staff; ensuring that logistical arrangements for the evaluation are completed in a thorough and timely manner; establishing and maintaining a filing system for all unit evaluation reports; and ensuring training on evaluation techniques for team members. The Chief also is responsible for submitting to the Deputy Director and the Director a quarterly report on the status of the evaluations and associated recommendations. The Chief also will ensure that the Director and Deputy Director are informed immediately of any finding with Agency-wide significance.

(6) Evaluation Review Panel is responsible for reviewing each draft final report prepared by the OES and advising the OES concerning the policy and programmatic soundness of the report's findings and recommendations.

c. Procedures.

(1) Standards. Consistent criteria is established according to laws, regulations, policy directives and instructions to determine what evaluation activities will be undertaken and that these activities can be measured according to set standards. The unit evaluation process is to be accomplished according to the standards and procedures outlined below and detailed in Appendix No. 1 (Operations Evaluation Handbook). There are five phases to the process:

(a) Concept Phase. The end product of this phase is an evaluation concept proposal on the scope of the review. This will be submitted to the DD and the appropriate AD for comment. There are two components of this phase.

1 Preliminary Research. The OES will review applicable reports, reviews, audits and analyses to gather information on the operation of the unit to be evaluated. This information will be summarized and used to develop the proposed scope of the review.

2 Topic Selection. The OES will recommend to the DD and the appropriate AD a scope of topics to be evaluated based upon the preliminary research. After obtaining changes/additions from the DD and the AD, the OES will prepare a final concept plan.

(b) Pre-Site Evaluation Phase. The end product of this phase is the evaluation design plan, including the final concept plan and evaluation schedule. There are three components of this phase.

1 Background Research. The OES will conduct research on and analysis of reports, memoranda, directives, and policy guidance documents maintained at Headquarters that relate to the topics to be evaluated at the unit. At the same time, the staff will develop further the design of the evaluation, e.g., the objectives, methodology and possible constraints and impediments.

2 Pre-Site Survey. The OES will conduct a pre-site survey at the unit to assist in developing the final design plan.

3 Analysis and Evaluation Design. The OES will analyze the background material and the pre-site survey and develop a final evaluation design to be approved by the DD. The design will consist of the formulation of the evaluation schedule, topic assignments, sample sizes of key statistics, or list of personnel to be interviewed initially (both OSMRE and external contacts), and the concept plan topics.

(c) Fieldwork and Analysis Phase. The end result of this phase is an Evaluation Discussion Draft that is reviewed with the Unit Director and a representative of the appropriate AD.

(d) Final Report Phase. The end result of this phase is a final evaluation report, approved by the appropriate AD (or DD in the case of an evaluation of the Eastern or Western Field Operations Office). This phase has three components.

1 Working Draft Report. The OES will submit for review a draft report within 3 weeks of the completion of the fieldwork to the Deputy Director, the appropriate AD, the Director of the evaluated unit, the Evaluation Review Panel, and Headquarter AD's when their areas of responsibility are affected. Comments shall be submitted to the OES within 3 weeks of issuance of the working draft report.

2 Final Report. Based on the comments received, OES will prepare a final report and submit it to the appropriate AD (or DD if applicable). If the appropriate AD (or DD if applicable) believes that further revisions are necessary, these will be discussed and resolved with the OES within 3 weeks. When differences are not readily resolved they will be taken to the DD and, if necessary, the Director, for final resolution. Upon approval, distribution will be made by the OES based on a list approved by the Director.

(e) Follow-up Phase. The end result of this phase is resolution of the recommendations contained in the final evaluation report. The following policies apply:

1 Within 60 days of the approval of the final report, the appropriate AD(s) will determine the resolution status of each recommendation in the final report.

2 Within 6 months of the approval of the final report, OES will meet with the Head of the evaluated unit and any other Action Officials as appropriate to determine the resolution status of each recommendation. For any not completely resolved follow-up activity will require:

a the Action Official (e.g., Field Office Director or Headquarters Division Chief) to complete an Evaluation Action Report (EAR) specifying actions and timeframes (or the decision that action is not to be taken) in response to each recommendation.

b the Action Official forward the EAR to the appropriate AD for concurrence.

c the AD review and forward the EAR to the OES upon approval.

d for recommendaitions not yet resolved, quarterly progress reports, using the EAR form, be forwarded to OES by the appropriate AD.

e the appropriate AD ensure that procedures that work in a particular unit are described to other units for consideration.

(2) Scheduling. An evaluation schedule will be prepared by the OES and approved by the Director. In the case of a change in the relative need of a unit to be evaluated, the AD's may request, and the DD may approve, a revised schedule. The effects of a schedule change on the OES and evaluation teams will be considered before changes are made.

4. Reporting Requirements. Status reports by the OES on all completed evaluations will be provided to the Director, Deputy Director and Assistant Directors for Field Operations.

5. References. Appendix No. 1: Operations Evaluation Handbook.

6. Effect On Other Documents. Replaces OPM-13, dated 9/30/87 (Transmittal Number 378).

7. Effective Date. Upon Issuance

8. Contact. Operations Evaluation Staff (202) 343-7910

APPENDIX I
OPERATIONS EVALUATION HANDBOOK

TABLE OF CONTENTS

		PAGE
SECTION 1.	OVERVIEW OF THE HANDBOOK	1
SECTION 2.	PROGRAM CONCEPT	2
SECTION 3.	CONCEPT PHASE	2
SECTION 4.	TEAM SELECTION AND COMPOSITION	3
SECTION 5.	PRE-SITE EVALUATION PHASE	5
SECTION 6.	FIELDWORK AND ANALYSIS PHASE	7
SECTION 7.	EVALUATION DISCUSSION DRAFT PHASE	10
SECTION 8.	CLOSEOUT PHASE	14
SECTION 9.	FINAL REPORT PHASE	14
SECTION 10.	FOLLOWUP PHASE	15

APPENDICES:

A. Evaluation Forms

SECTION 1. OVERVIEW OF THE HANDBOOK

Purpose

This Handbook has been developed for the Office of Surface Mining Reclamation and Enforcement (OSMRE) Operations Evaluation Staff (OES) and other OSMRE staff serving on evaluation teams. It is part of the OES policy directive and is intended to serve as a guide for staff and team members in preparing for and conducting unit evaluations.

The objectives of OSMRE's Operations Evaluation Staff are:

(a) To ensure that units maintain observance of OSMRE's national goals, policies and procedures as well as other pertinent government regulations and requirements.

(b) To identify and recognize programs and activities that are successful in achieving their intended results and objectives, and to disseminate such information to all units.

(c) To identify unique problems at individual units.

(d) To identify situations where units are implementing programs according to agency policy but the intended results are not being achieved. Such situations usually will be addressed in the evaluation reports with recommendations to the appropriate AD. However, in extraordinary situations the matter will be referred to the Director by the Chief, OES, through the Deputy Director.

(e) To identify situations where new policy development or further clarification of existing policy appears appropriate.

(f) To provide a system for the recording and the followup of management's actions which result from evaluation recommendations.

(g) To develop and institute evaluation and monitoring techniques and methods; and

(h) To facilitate information transfer between units, Assistant Directors, Deputy Director and the Director.

Format of the Handbook

Section 2 defines the concept of the OES. Section 3 provides information on the Concept Phase of the evaluation process which includes preliminary document review and topic selection. Section 4 describes team selection and composition. Section 5 describes the Pre-site Evaluation Phase which is comprised of background research, the pre-site survey and analysis and evaluation design. Section 6 explains the on-site evaluation, including the interview process, document reviews,

recordkeeping and team conferences. Section 7 defines the evaluation discussion draft report format and content. Section 8 outlines procedures for conducting the closeout with the Unit Director. Section 9 specifies review procedures for the final report. Section 10 describes procedures for follow-up actions.

Appendix A includes evaluation worksheets to be used in documenting reviews.

SECTION 2. CONCEPT OF THE OSMRE EVALUATION PROGRAM

The evaluation of units is one of the methods used in OSMRE to assure the consistency in program execution demanded by the Act and the Federal regulations. The operations evaluation process is intended to provide comprehensive evaluations of the Agency's headquarters and field units on a periodic basis. The OES staff will lead and coordinate such evaluations. Additionally, at the request of the Director or Deputy Director, OES will from time to time perform special evaluations of a particular topic or subject area requiring specialized review and evaluation.

The program is designed to be a participative evaluation process whereby a unit will actively contribute to the overall content of the evaluation. Units will be called upon to contribute to monitoring and other post-evaluation activities. Agency personnel with expertise in various programs and activities will be selected to participate in each on-site evaluation.

Pre-evaluation research and design is expected to take 10-11 weeks prior to the on-site review. On-site evaluation is expected to average 2-3 weeks (depending on the complexity of the unit). The final report preparation and approval process is expected to average 8-10 weeks. Thus, each evaluation will take a total of 20-24 weeks from pre-evaluation research to final report issuance for each unit.

SECTION 3. CONCEPT PHASE

The OES will conduct a preliminary review of the most current State/Tribe Annual Evaluation Report(s) and any reports, audits and analyses generated by other sources relative to each unit to be evaluated. The staff will identify and summarize subjects from these reports that may target areas for further evaluation and review. The summary will provide the OES with background information regarding unit operations, strong program areas, potential problem areas, and potential topic areas.

Topic Selection

While standard topics will be addressed during each evaluation, additional topic areas requiring review will be identified through the OES staff's background research.

Potential topic areas will be identified by the OES staff after considering the following:

- o Topics previously identified by OSMRE as national agency objectives.
- o Issues identified by the Director and/or Deputy Director.
- o FOD and/or AD's request to have topics addressed.
- o Previous unit evaluation results and results from any other applicable review, audit, or analysis.
- o Unique mining and reclamation activities within a State.
- o Concerns expressed by outside interests, including States/Tribes.
- o Availability (or non-availability) of information.
- o Information obtained during field reviews.

Recommended topics will be grouped into three categories based on the relative priority in covering them at a particular unit. The concept plan will be provided to the DD and the appropriate AD for comment.

SECTION 4. TEAM SELECTION AND COMPOSITION

Annually, the OES will submit to the Assistant Directors, Field Office Directors, and headquarters Staff Heads a list of names of potential candidates for evaluation teams. The list shall be reviewed and comments and changes provided to OES. A final list will be prepared by OES and approved by the Deputy Director.

Each listing provided should include the name, grade, series, duty station and the name of the program area to which the individual is assigned. The final panel will be approved by the Director.

The OES staff will select members for individual evaluations from the panel of potential members based upon the following criteria:

- o Knowledge of the overall operation and goals of OSMRE.
- o Knowledge of specific programs (e.g., inspection, assessments, grants) and the related policy directives, regulations and implementation practices.
- o Demonstrated ability to analyze material and identify key elements of a problem and possible solutions.
- o Demonstrated ability to write clearly, effectively and in a concise manner.

- Demonstrated ability to interview and synthesize information obtained from an interview.

- Demonstrated ability to work as part of a team.

- Demonstrated willingness and ability to work effectively under pressure.

The names of potential members for an evaluation will be submitted to the appropriate AD and the DD for approval. In general, no individual will be asked to serve on a team more than once every 6 months. Staff members from the office to be evaluated will not be asked to serve on the evaluation team.

Potential team members will receive training in evaluation techniques and procedures prior to conducting evaluations. The training will focus on the purpose of evaluations, report writing skills, information collection and analysis and interview techniques.

The Team Leader usually will be a member of the OES staff and will serve as the evaluation specialist and the link between the team and the Unit Director. The Deputy Team Leader will participate in preparing various sections of the report and, together with the Team Leader, will be responsible for editing the draft material developed by the team members in order to prepare the Discussion Draft. Other members of the OES may serve on the team, acting as support for the Team Leader. The Team Leader is responsible for assuring that the following occurs:

- Initial data gathering and organization.

- Development of initial concept plan.

- Proposed scheduling and logistical arrangements.

- Development of design plan.

- Operational guidance and decisionmaking during the time the team is assembled.

- Sharing of information among team members.

- Report preparation, assembly, and revisions.

- Presentation of findings and recommendations.

Based on their previous experience, team members will be selected to serve as "subject matter specialists" for one or more of the topics selected. They will be responsible for conducting an evaluation as directed by the Team Leader and contributing their expertise to:

- Supplemental data gathering and interviews.
- Review and analysis of assigned program area(s).
- Preparation at the unit of document review worksheets, draft section summary worksheets and draft evaluation worksheets (see Section 7 of this Handbook for an explanation of the forms).

Consultants or advisors (e.g., ADP systems specialist) from outside of the OSMRE may be called upon to provide information and assistance to the team. The use of these individuals must be approved by the Deputy Director, prior to their assisting the OES staff or evaluation team.

Further, as part of the OSMRE manager development program, two senior field personnel will be selected each year to serve as senior evaluation specialists for OES evaluations conducted during the year. These individuals will be detailed/assigned to OES for a one year period.

SECTION 5. PRE-SITE EVALUATION PHASE

The activities associated with the Pre-site Evaluation Phase will be carried out by the OES staff at Headquarters and by the unit to be evaluated. This phase of the evaluation process consists of background research into the selected evaluation topics, a pre-site survey administered to the unit to be evaluated, the analysis of all information collected and the design of the final evaluation format.

Background Research

The information gathered at this time will be used to focus the evaluation on key issues uniquely related to the specific areas being evaluated. Background research includes the review and assembly of documents located at Headquarters which relate to the unit being evaluated. These documents include, but are not limited to, annual reports (e.g., OSMRE, State Report to Governor), other evaluation reports prepared by Field Offices (e.g., oversight reports of the States), directives, policy memoranda, Headquarters computer generated reports, newspaper articles, and the OSMRE correspondence files. The OES will review and summarize issues raised in these documents and identify the source.

Pre-site Survey

A pre-site survey will be developed in the form of a questionnaire by the OES staff and completed at the unit being evaluated.

The analytical objectives of the survey are:

- To obtain information on unit objectives.
- To obtain information on how the unit implements its programs.

- To obtain information about how program implementation can be improved.

The pre-site survey will be analyzed by OES prior to conducting an on-site evaluation. After the results have been analyzed, the OES will distribute the results to all evaluation team members.

Development of Interview Questions

In developing interview questions, evaluation team members will review summaries generated from the background research and the analyzed results of the pre-site survey. The potential interview questions will focus on clarifying information obtained from these sources. The OES and individuals selected for an evaluation team will prepare initial questions prior to arrival at the unit.

Design Plan

The culmination of the research will be a design plan for the evaluation including a tentative schedule of evaluation steps (e.g., discussion draft preparation, closeout session, topic assignments, sample sizes, concept plan topics, and a determination of which individuals to interview initially at the unit and at external sources, e.g., State agency, environmental and industry groups). The design plan will be approved by the DD and used internally by the team and the OES to conduct the evaluation.

A daily agenda will be developed by the Team Leader to ensure that sufficient, but not overly burdensome, time is allocated to interviewees, that the appropriate individuals are interviewed and that broad rather than narrow coverage of unit personnel is achieved.

Interviews with persons outside of OSMRE (e.g., State agency personnel, industry and environmental representatives) will be conducted at the direction of, and on topics chosen by, the Team Leader. Usually, the Team or Deputy Team Leader will conduct any such interviews.

OES will propose a panal of experts to serve on the evaluation review panel. This is a panel of OSMRE employees who are subject matter experts, but who did not participate in the particular evaluation to be reviewed. Their principal role is to comment on the clarity of the findings, whether the recommendations address the findings, and the practicality of the recommendations. Whenever possible, the panel will consist of people who had participated on previous evaluations so as to aid in their knowledge of the review process.

SECTION 6. FIELDWORK AND ANALYSIS PHASE

Fieldwork Procedures

The fieldwork and analysis phase of the evaluation is comprised of all evaluation activities which will occur on-site. These activities include evaluation team orientation, interviews, document reviews, team conferences, and analysis of trends and patterns so that concise findings and recommendations can be written. The following procedures will be followed by the evaluation team:

- Data collection activities will be conducted with minimum disruption to the program or activity under study and with minimum imposition on the organizations or persons from whom data are gathered.

- Data will be handled and stored so that release to unauthorized persons is prevented. However, it must be recognized that some of the material developed as part of the evaluation is subject to the Freedom of Information Act.

- Documentation will be maintained regarding the source, method of collection, circumstances of collection, and processes of data preparation.

- The analytical procedures will be matched to the purposes of the evaluation, design, and the data collected.

- Documentation will be adequate to produce supportable analyses.

Schedule

Prior to arrival at the unit, a schedule of evaluation activities and report preparation milestones will be developed by the Team Leader. Team members will have received information on the results of the pre-site survey and background research. The schedule will reflect the scope of the evaluation, provide a means of monitoring progress towards completing the report, and provide for a minimum of disruption of the unit's regular activities.

Evaluation Team Orientation

The Team Leader will conduct an orientation for the evaluation team at the unit being evaluated to review the procedures for conducting the evaluation and address any special concerns. The orientation will cover the following subjects:

- the rationale for selecting evaluation topics;

- the sample size of documents selected and the basis for the selection;
- procedures for conducting the evaluation;
- finalization of initial questions to be asked of interviewees;
- guidance for development of issues for incorporation in the written findings;
- evaluation worksheets;
- procedures for conducting closeout.

The evaluation team will meet with the Unit Director and other staff deemed appropriate by the Unit Director. This will provide an opportunity for the evaluation team to meet staff of the unit and to describe the purpose and procedure of the evaluation.

Interviews

The interviewer will introduce himself/herself and any other persons involved in the interview to the interviewee(s) and answer any questions on the evaluation process. The interviewer will explain why the group or individual is being interviewed and will encourage the interviewee(s) to be as candid as possible. The interviewee(s) should also be advised that team members will be taking notes during the interview and that the information gathered will be used by the team. Interviews will remain confidential if requested. Additionally, interviewee(s) should be informed that the interview will generally be guided by a standard outline to assist in giving direction to the evaluation.

In conducting the interview, the evaluation team should adhere to the following guidelines:

- The primary purpose of the interview is to gather information.
- If the interviewee asks questions not related directly to the evaluation process (e.g., policy on a technical matter that both are familiar with), the interviewer may discuss the matter but must make it clear that any official answer must come through appropriate supervisory channels.
- Phrase initial questions and any followup to promote discussion, rather than "yes" or "no" answers.

- Avoid asking multiple questions. Break down a complex question into several simple questions.

- Encourage the interviewee to offer opinions and suggest solutions to specific problems. Carefully separate opinion from substantiated information and identify the location or obtain copies of substantiated information.

- Be a good listener. Absorb the interviewee's responses and rephrase or quote, if necessary, for clarifying or expanding the discussion.

- Lead the interview, but do not "over lead" toward a predetermined answer.

- If responses appear incorrect, find out why the interviewee believes the way he/she does.

Document/System Reviews

As a part of the Fieldwork and Analysis Phase of the evaluation, team members will conduct document reviews of files and record-keeping systems, and will record their findings on the evaluation worksheets (Appendix A). Documentation reviews will also include an analysis of the unit's special studies, correspondence files, computerized reports, case files, tracking systems, manuals, logs, procedural guidelines, and directives. The purpose of document reviews is to determine:

- whether the files are administratively complete;

- whether documents are technically accurate and in compliance with Agency policy;

- whether practices are being implemented which may be inconsistent with national policy or otherwise in need of change;

- whether sufficient data are being collected and analyzed to evaluate the State program and/or to enforce the Federal program;

- whether the unit is routinely meeting with the State Regulatory Authority to discuss existent or potential problem areas; and

- to verify information obtained from the pre-site survey and interviews.

Team Conferences

During the evaluation, time will be reserved each day for a team conference. The conference will provide an opportunity for team members to discuss with other team members possible findings, raise questions, and make other observations. Such discussion items may subsequently develop into findings if sufficient data are collected to substantiate findings; or may develop into summary or verbal discussion with the FOD or AD.

Quality Control

OES will perform a detailed on-site quality control edit of the discussion draft. The editors usually will be the Team Leader, Deputy Team Leader and an OES program analyst.

SECTION 7. EVALUATION DISCUSSION DRAFT

Identification Number

Each evaluation report generated by the OES team will be assigned an identification number. The report number will consist of 7 characters and will be structured to include the unit symbol and the month and year the on-site evaluation was initiated. Added to this will be a further identification of each recommendation and the category classification code. For example, WYO038604D.2 means: WYO = field unit symbol for Casper; 0386 = March 1986; 04 = 4th recommendation contained in the report; D = area for improvement (the meaning of this final alpha character is discussed in this section under Evaluation Worksheet); and 2 = item #2 of the recommendation.

Symbols for each field unit are:

CASPER	= WYO
ALBUQUERQUE	= ABQ
TULSA	= TOK
KANSAS CITY	= KMO
SPRINGFIELD	= ILL
INDIANAPOLIS	= IND
COLUMBUS	= COH
LEXINGTON	= LEX
KNOXVILLE	= KTN
BIRMINGHAM	= BAL
CHARLESTON	= CWV
HARRISBURG	= HPA
BIG STONE GAP	= BSG
EASTERN FIELD OPERATIONS	= EFO
WESTERN FIELD OPERATIONS	= WFO

Symbols for each headquarters unit are:

REGULATORY DEVELOPMENT AND ISSUES MANAGEMENT	= RDI
EQUAL OPPORTUNITY STAFF	= EOS
EXTERNAL AFFAIRS STAFF	= EAS
CONGRESSIONAL LIAISON STAFF	= CLS
PUBLIC AFFAIRS STAFF	= PAS
INFORMATION SYSTEMS MANAGEMENT	= ISM
DIVISION OF PROGRAM INFORMATION AND ANALYSIS	= PIA
DIVISION OF SYSTEMS DEVELOPMENT AND IMPLEMENTATION	= SDI
DIVISION OF RESOURCE MANAGEMENT	= DRM
FINANCE AND ACCOUNTING	= F&A
DIVISION OF DEBT MANAGEMENT	= DDM
DIVISION OF COMPLIANCE MANAGEMENT	= COM
DIVISION OF FINANCIAL MANAGEMENT	= DFM
BUDGET AND ADMINISTRATION	= B&A
DIVISION OF BUDGET PLANNING AND MANAGEMENT ANALYSIS	= BPA
DIVISION OF MANAGEMENT SERVICES	= DMS
DIVISION OF PERSONNEL	= PER
PROGRAM POLICY	= PPO
DIVISION OF REGULATORY PROGRAMS	= REG
DIVISION OF ABANDONED MINE LAND RECLAMATION	= AML
DIVISION OF TECHNICAL SERVICES	= TEC

Forms

Information collected from interviews, files and systems will be analyzed and summarized on the standard evaluation worksheets found in Appendix A. These are: 1) the Document Review Worksheet, 2) Discussion Draft Title Page, 3) Evaluation Report Title Page, 4) Evaluation Summary, 5) Section Summary Worksheet, 6) Evaluation Worksheet, and 7) Evaluation Action Report. The Document Review Worksheet will be used for background information and the Evaluation Action Report for followup; the remaining worksheets will comprise the actual report.

Document Review Worksheet

Document Review Worksheets will be completed by the evaluation team members for each interview, case file, or system reviewed. These worksheets will not accompany the evaluation report, but will be used as background material to support findings and recommendations. A discussion of the interview or review will be summarized on the worksheet and will include:

- evaluation topic;

- information source, e.g., file, computer system;
- detailed summary of information gathered; and
- identification of the accomplishment or problem.

Discussion Draft Title Page

This worksheet will be the cover sheet for the discussion draft of the report. Each team member will be asked to sign and thereby acknowledge agreement with the draft findings and recommendations.

Evaluation Report Title Page

This worksheet will be the cover sheet for the final report. The final report will be signed by the evaluation Team Leader, the Chief, OES and approved by the appropriate AD (DD in the case of an evaluation of the entire Eastern/Western Field Operations Office).

Evaluation Summary

This worksheet will include any appropriate summary statistics (e.g., number of findings and recommendations by category) and indicate the overall status of operations in the evaluated unit.

Section Summary Worksheet

Based upon the results of the fieldwork, the Section Summary Worksheet will be completed to summarize information gathered on the various topic areas. This summary will briefly outline.

- purpose of the section (e.g., personnel actions, grants, inspection);
- overall status of operations within the section;
- items reviewed in the section;
- sample sizes; and
- summary of findings.

Evaluation Worksheet

The Evaluation Worksheet (2 formats depending on length of a finding and recommendation(s)) will contain summarized findings and recommendations grouped by topic and categorized as follows:

Category A -- special achievement

Category B -- possible law/regulation conflict
Category C -- policy directive/guideline conflict
Category D -- area for improvement

Minor problems and single instance problems will be avoided unless they have a significant impact on a topic area. Evaluation team members will differentiate between opinion and fact and will include detailed statements on the document review worksheet to support findings. Findings and recommendations contained on the evaluation worksheet will be developed in accordance with the guidelines below:

o Findings

- identify accomplishments of the unit;
- identify existent and potential problems;
- identify probable cause of the deficiency;
- identify regulations, policies or procedures that were not implemented; and
- identify lack of policy or procedures that appear to be causing a problem.
- are reported in a manner that distinguishes among fully documented findings, opinions, and assumptions.
- are reported clearly, completely and fairly.

Recommendations

- relate to a finding or group of findings;
- are specific and expressed in clear and direct language;
- are reasonable, implementable, and directed at basic causes of the identified problem;
- discuss the intent of the recommendation (to improve, correct, reduce, etc.); and
- identify the suggested action official.

Evaluation Action Report

This worksheet will be used to report on actions taken to resolve each recommendation. It will include a summary of the action and, as

necessary, include as attachments any appropriate documents (e.g., action plans, draft/final policy directives). The report will be prepared by the individual assigned the follow-up action. If appropriate, it will be signed in the "Followup Reviewer" Block by a person designated by the AD to monitor such actions. It will then be approved by the AD, or other designated official, and copies sent to the OES and the Unit Director. This procedure will continue on a quarterly basis for all recommendations that remain unresolved (i.e., final resolution action not implemented). (Also refer to section 10, Follow up). Quarterly status reports will be provided to the Director and Deputy Directors by the OES.

SECTION 8. CLOSEOUT

A closeout session will be held with the Unit Director at the end of the evaluation. The AD (or DD-OTS in the case of a review at the AD-FO level) or designee, will be invited to attend the closeout session. The Unit Director will have an opportunity to present comments and additional material and to request exclusion of certain findings and/or recommendations believed to be either too sensitive or too trivial. Such items that the Team Leader decides to exclude from the written report usually will be communicated to the AD or the DD by the evaluation Team Leader or Deputy Team Leader. After the closeout session, the Team Leader will determine if there are any changes needed in the evaluation discussion draft, including clarification of certain findings and recommendations. Written comments submitted by the applicable AD/Unit Director will be printed as part of the final report.

The Team Leader will schedule and conduct the closeout session with support from individual team members on their activity or program as necessary. Minor findings, recommendations and observations will be discussed, even though they may not be included in the final evaluation report.

The evaluation discussion draft will be reviewed during the closeout session but the final report will be distributed only after approval by the appropriate AD or DD.

The closeout session will conclude with the Unit Director and staff providing feedback regarding the evaluation process.

SECTION 9. FINAL REPORT PHASE

A maximum of 3 weeks after the site visit is allocated for the OES to complete the working draft evaluation report and transmit it the AD (or the DD), the Evaluation Review Board, and the Director of the evaluated unit. Procedures for preparing the draft report are:

- Findings will be reported in a manner that distinguishes among fully documented findings, opinions, and judgments.
- Findings will be reported clearly, completely and fairly.

their areas of responsibility are effected. Comments shall be submitted to the OES within 3 weeks of issuance of the working draft report. Comments from the Evaluation Review Panel will be submitted to the applicable AD by the OES.

2. Final Report. Based on the comments received, the OES will prepare a final report and submit it to the appropriate AD (or DD if applicable). If the AD (or DD if applicable) believes that further revisions are necessary these will be discussed and resolved with the OES within 3 weeks. When differences are not readily resolved, they will be taken to the DD and, if necessary, the Director, for final resolution. The final report, incorporating any necessary revisions, will be submitted by the OES to the appropriate AD (or DD in the case of a review of the AD-FO) for approval. Upon approval, distribution will be made by the OES based on a list approved by the Director. Once the approving official has signed the report, the final report is available under Freedom of Information Act procedures.

SECTION 10. FOLLOW-UP PHASE

The OES will submit reports to the DD to briefly summarize the status of the program. The reports will include any changes to the evaluation schedule, review of success or failure of individual evaluations, and a report on findings with possible agency-wide significance. Also, persons contributing to the evaluation will be kept informed on issued documents and recommendation resolution as appropriate.

Evaluation follow-up will occur as follows:

- The evaluation report establishes for each recommendation an Action Official, usually the office head (e.g., Field Office Director) or an Assistant Director (e.g., for policy areas).

- Within 60 days of the issuance of the final report, the appropriate AD(s) will determine the resolution status of each recommendation in the final report. As a result of this status determination, the AD will specify any necessary additional action.

- Within 6 months of the approval of the final report, OES will meet with the Head of the evaluated unit to determine the resolution status of each recommendation. As appropriate, other identified Action Officials will be contacted.

- For any recommendations determined by the OES to be unresolved, the following procedure applies:

- The Action Official will either directly resolve the recommendation or assign a person to be responsible for proposing a resolution of the recommendation and completing an Evaluation Action Report (EAR - see Appendix A);

- The EAR will document the action already taken on each recommendation, the action to be taken (including timeframes) or the reason for no action. A copy of the memorandum or other documentation that resolves the recommendation should be submitted with the EAR;

- The AD to whom the Action Official reports will review the EAR, determine the appropriateness of the action taken or proposed, and forward the form to the OES;

- The OES will prepare a report for the Director and Deputy Director.

- Subsequent EAR's on each resolved recommendation are due to the OES no later than 15 days after the end of each fiscal year quarter (i.e., December 31, March 31, June 30, and September 30).

- The OES will track the resolution of all recommendations and prepare a quarterly report on the status of each recommendation for the Director and the DD.

- While the OES tracks recommendation resolution for the Directorate, it is not responsible for either final determinations on the appropriateness of the responses or assuring that responses are submitted in a timely manner. These are responsibilities of the AD's and DD.