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	U· S· DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Number: PER-11 Transmittal Number: 223 Date: 07/20/84

Subject: Personnel Management Evaluation Program

Approval: [signature] **Title:** Assistant Director, Budget & Admin.

1. Purpose. This Directive provides the policy guidance and criteria for the Office of Surface Mining Personnel Management Evaluation Program which is designed to facilitate mission accomplishment by effecting improvement in the management of its personnel resources.

2. Definitions. None

3. Program Content.

a. Policy. Evaluation is indispensable to an effective personnel management program. The effectiveness of the Office of Surface Mining's (OSM) personnel management program will be subject to continuing appraisal.

b. Objective. The objective of personnel management evaluation is to provide sufficient feedback to allow managers to make the most efficient and effective use of manpower resources consistent with OSM objectives and the Federal Personnel System.

c. Responsibility

(1) Director. Responsible for ensuring the development and formulation of an effective personnel management evaluation program.

(2) Chief, Division of Personnel (through the Assistant Director Budget and Administration). Responsible for the implementation and overall direction and/or accomplishment of the personnel management goals and objectives, establishing standards, and for scheduling and conducting evaluations, as well as developing recommendations for taking appropriate action based on evaluation findings.

d. Personnel Evaluation Scope and Criteria. A full-scale personnel management evaluation includes a review of broad categories of personnel management relating to the criteria outlined in (1) through (12) below, and any other area requiring special attention as indicated by the Department or the Office of Personnel Management.

(1) Position Management. The goals of an effective position management program provide:

(a) Optimum managerial, supervisory, and staff positions in proportion to nonsupervisory line positions;

(b) Reasonable balance between professional and non-professional positions;

(c) Replacement needs for journeymen and higher-level employees;

(d) Clear delineation of work assignments and job-to-job relationships to avoid overlap, conflict, and ambiguity;

(e) Adequate opportunity for development and progression within well defined career paths;

(f) Sufficient job interest to attract, retain, and motivate employees with the needed level of competency; and

(g) Clear understanding and definition of the kinds and levels of skills and knowledges required for competent and safe performance of position duties.

(2) Personnel Management Evaluation. Review and evaluation of the organization's personnel management activities are to be conducted periodically to determine the extent to which personnel management goals are being met. Evaluation results are utilized to identify policies and procedures in need of revision and as a basis for developing improvements.

(3) Position Classification and Pay Administration. Positions are classified and recommended classification decisions are based upon the application of Office of Personnel Management Position-Classification Standards. The position classification program attempt to keep abreast of changes in jobs and job alignments. Classification maintenance surveys are carried out on a planned basis. A good acceptance and appreciation of the use of classification as a management tool and adherence to standards in classifying positions is imperative.

(4) Recruitment and Placement. Through external recruitment and internal placement activities, the Office of Surface Mining attempts to meet its major current and future staffing needs. A permanent work force of competent employees usually is maintained despite changes in staffing levels, job requirements, and occupational mix. Adequate plans are maintained to attempt to assure a stable work force. Attempts are made to fully utilize employee skills within the organization. Adequate planning of anticipated resource requirements to accomplish assigned missions and programs are usually accomplished. Peaks and valleys in employment are minimized to the extent possible, through the judicious use of details, cross-training, and other personnel management techniques. Through the merit promotion program, potential candidates are usually identified for specific positions, their qualifications are weighed against the job requirements, and the vacancies filled from among the best qualified. The promotion program must have the active support of both supervisors and employees, with special effort made to keep them currently informed of policies in this area.

(5) Performance Evaluation. Employees are provided an opportunity to provide input in formulating the critical and required job elements and performance standards for their positions. They are given a written copy of their elements and standards. Annual appraisals and summary ratings are made of their performance, and evaluations are discussed with employees on a quarterly basis.

(6) Employee Development. Effective and systematic procedures should be developed to assist in the determination of individual training needs and a subsequent evaluation of employee performance after completion of training. Training is intended to be utilized to enhance an employee's performance and potential. Career development also is intended to ensure an adequate supply of quality candidates for key jobs in the future. Through annual survey of training needs, determinations are made as to whether supervisory, management, technical, scientific, professional, clerical, or other training is needed. Scientific and professional employees are given training opportunities which assist them in keeping abreast of the evolving technology in their fields. Training opportunities, consistent with merit principles and the agency's needs, are also provided as applicable to lower-grade employees to enhance upward mobility. Other employee development efforts include maximizing employee potential through broader work assignments, challenging new responsibilities and job enrichment.

(7) Employee Relations. Procedures exist for the prompt and equitable handling of grievances performance appraisal complaints and appeals of adverse personnel actions based on employee misconduct or poor performance. There is an active Employee Assistance Program which provides short term counseling and referral services to employees and their families. Assistance is provided for supervisors and employees in processing workers injury compensation claims.

(8) Employee Incentive Awards. The intent of OSM's incentive awards program is to recognize and motivate employees by cash or honorary awards for superior achievement or performance; special acts or services; and for suggestions, inventions, and accomplishments contributing to efficiency, economy, or improvement of operations.

(9) Labor-Management Relations. The Labor-Management Relations Program recognizes the rights and responsibilities of OSM management and any exclusively recognized employee organization, as well as organizations with national consultation rights. Statutory obligations of management include consultation or negotiation with the exclusive employee representative on proposed changes in conditions of employment of represented employees, and providing the opportunity to employee representatives to attend formal discussions and meetings between management and employees. Management administers applicable union-management agreements, including the processing of grievances under terms of the negotiated grievance procedures.

(10) Equal Employment Opportunity (EEO) Activities. The purpose of the EEO program is to provide employment opportunity for all persons. It is intended that emphasis in all personnel areas be on positive actions initiated and supported by all levels of the organization. Close working relationships should exist between the personnel officials and the equal employment opportunity officials and with management and supervisory personnel. Analyses are made of statistical trends, program accomplishments, and problem areas. Action programs are developed which are intended to ensure equality in all employment matters with special emphasis on the utilization of women and minority groups.

(11) Communications. A free flow of information and ideas must exist throughout the organization for the purpose of communicating OSM and Department policies promptly and in such a way that employees have access to such information. A positive climate of trust between supervisors, managers, and employees is necessary, with a systematic method for communicating information and means of ensuring that information is accurate, complete, and appropriate to the audience level and interest. The attitudes of employees, supervisors, and managers should reflect the efficiency of the techniques used and the quality and completeness of the information provided.

(12) Personnel Records and Reports. Appropriate personnel records are to be maintained. Efforts are made to ensure that personnel actions are processed and recorded promptly, accurately, and in accordance with legal and regulatory requirements. Personnel reports are to be prepared as appropriate. Maximum use should be made of automatic data processing capability for personnel management activities in such a manner that the "Federal Personnel Management Information system" requirements are met and management's internal needs for data are satisfied.

e. Evaluation Methods. Evaluation methodology is outlined below. These approaches may be used separate from each other or in combination, whichever is considered appropriate for the situation.

(1) On-site Evaluation. Evaluation conducted by or led by the Branch of Classification, Pay and Evaluation, Division of Personnel in the form of either a full scale review covering most or all program elements identified in Section d or a special (or limited) inquiry restricted to discreet program elements.

(2) Questionnaire Surveys. Carried out independently or as part of a more comprehensive evaluation. Questionnaires are a useful supplement to other evaluation techniques for gathering information which will help isolate personnel management problem areas. Results are regarded as indicators of areas requiring further attention and more extensive evaluation rather than as definitive conclusions.

(3) Personnel Management Assistance Visits to Technical Centers and Field Offices. Evaluation consists of a visit by Personnel Management Specialists or other representatives of the Division of Personnel to an office or field activity during which program progress and problem areas are discussed.

(4) The Position and Pay Management Review Program. The Position and Pay Management Review Program as established and operated within OSM is a special personnel management evaluation. The program can be broadened in scope to increase programmatic coverage. Those persons conducting the cyclic review should meet with appropriate employees, supervisors, and managers and discuss personnel problem areas other than classification, ensuring that questions raised are answered by a knowledgeable personnel specialist prior to the completion of the Review.

f. Frequency. The evaluation cycle within OSM is set at three years. This is for the complete full program coverage. Special reviews are conducted as determined appropriate in response to a specific requirement of OSM management, the Department, or the Office of Personnel Management. Schedules will be developed prior to the beginning of each Fiscal Year during which the evaluations are to be accomplished. The type of evaluations and the time frames for developing the schedule and conducting the evaluations will include any criteria received from the Department.

4. Reporting Requirements.

a. Preparation of Evaluation Reports. Regardless of scope or methodology, a written report is made of a personnel management evaluation. As a minimum, a written report must contain:

(1) Methodology; a brief description of the techniques and data sources utilized by the evaluation team, e.g., questionnaires, group interviews, personnel action reviews.

(2) Organization conducting evaluation.

(3) Organization reviewed.

(4) Identity of evaluation team by name and organization.

(5) Type of report, e.g., draft, final, on-site.

(6) Staffing of organization, e.g., FTE strength.

(7) Dates of evaluation.

(8) Cost data involved in conducting the evaluation: staff hours, travel cost, other direct costs, e.g., computer time.

b. Time Frame and Distribution. Upon completion of an evaluation, evaluators discuss findings with the appropriate management officials. A final written report is submitted to the manager no later than 30 days following the closeout conference. Copies of the evaluation report are furnished to the Assistant Director, Budget and Administration, and if significant problems are identified, they are brought to the attention of the Director. Each evaluation report will contain the following statement on the cover page: "This report has been prepared for use of the Office of Surface Mining management and staff personnel. Any questions regarding release of information should be referred to the Personnel Office."

c. Follow-up and Closure.

(1) Follow-up. Suspense dates are established and a follow-up is made with the manager to determine progress achieved in implementing recommendations or developing solutions. Follow-up actions are documented in writing and distribution of them is the same as the original report. As appropriate, follow-up actions will include technical assistance, telephone consultation, correspondence, detail of staff resources on a short-term basis, etc.

(2) Closure. It is important to close out an evaluation once the organization has complied with all of the required actions. The closure letter, as a minimum, will be a simple one paragraph letter indicating that the reviewer is satisfied with the actions taken and that no further reporting is necessary. If the actions taken by the organization are especially praiseworthy a more detailed letter citing some of the accomplishments may be in order. In any event, the organizational component will receive a close out letter for the evaluation, thus certifying that the organization is in compliance with pertinent guidance and regulations from the Office of Personnel Management, the Department, and OSM.

5. References. Federal Personnel Manual - OPM, Chapter 273; and Department of the Interior, Departmental Manual, Part 370 DM 275.

6. Effect on Other Documents. Replaces OSM Directive PER-11, dated June 16, 1980, and Change Notice, dated April 10, 1981.

7. Effective Date. Upon issuance

8. Contact. Branch of Classification Pay and Evaluation, Division of Personnel (202) 343-5437.