

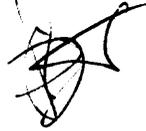
United States Geological Survey
Biological Resources Division

Program Review
Environmental Management Technical Center
Onalaska, Wisconsin
February 4-6, 1997

Developed by:
Debbie Arritt, Theresa Boyd, Carol Cooper, John Elder,
Glen Guntenspergen, Leanne Hanson, James Kushlan, James Weaver



United States Department of the Interior
U.S. Geological Survey
Environmental Management Technical Center
575 Lester Avenue, Onalaska, Wisconsin 54650-8552



IN REPLY REFER TO:

March 24, 1997

Upper Mississippi River Basin Association
Environmental Management Program Coordinating Committee
Long Term Resource Monitoring Program (LTRMP) Analysis Team
Mississippi River Advisory Group
Science Review Committee
U.S. Geological Survey Science Centers and Regional Offices
Minnesota/Wisconsin Boundary Area Commission
U.S. Army Corps of Engineers

Dear LTRMP Participant:

I am enclosing a "U.S. Geological Survey Biological Resources Division Program Review of the Environmental Management Technical Center, Onalaska, Wisconsin, February 4-6, 1997."

Please contact me at 608/783-7550, extension 51, if you have questions regarding this report.

Sincerely,

Robert L. Delaney
Center Director

Enclosure

27 MAR 1997

INTRODUCTION

The first combined program review of a science center under the Biological Resources Division (BRD), U.S. Geological Survey, was conducted at the Environmental Management Technical Center (EMTC), Onalaska, Wisconsin, on February 4-6, 1997. In keeping with the requirements of the BRD Strategic Science Plan and the accompanying Implementation Plan, the intent of the review was to evaluate: 1) the effectiveness of EMTC management, 2) the quality, conduct, and relevance of the science program, and 3) the conduct of administrative functions.

REVIEW PROCEDURES

The review followed planned procedures as described in Attachment 1. Two sub-teams were appointed; one had primary responsibility for review of the scientific program and one had primary responsibility for review of the administrative activities. Team members were:

James E. Weaver - Team Leader	Deputy Regional Chief Biologist Eastern Region - BRD Leetown, West Virginia
James Kushlan - Science Review Chair BRD	Director Patuxent Wildlife Research Ctr. - Laurel, Maryland
Glen Guntenspergen - Science Review Member BRD	Landscape Ecologist Northern Prairie Science Center - Jamestown, North Dakota
John Elder - Science Review Member	Limnologist District Office - WRD Madison, Wisconsin
Leanne Hanson - Administrative Review Chair	Program Assistant Eastern Region - BRD Leetown, West Virginia
Debbie Arritt - Administrative Review Member	Financial Management Headquarters - BRD Reston, Virginia
Carol Cooper - Administrative Review Member	Human Resources Specialist Headquarters - BRD Reston, Virginia
Teresa Boyd - Administrative Review Member	Financial Analyst Finance Center - BRD

Denver, Colorado

An agenda was developed for both the science and administrative portions of the review (Attachment 2), along with a series of specific questions (Attachment 3) to focus the review.

A number of reference documents were read by Review Team Members prior to conducting the review. These included:

- BRD Strategic Science Plan
- BRD Implementation Plan for the Strategic Science Plan
- Second Science Review Committee Report on the Long Term Resource Monitoring Program - Environmental Management Technical Center (dated December 31, 1996)
- Draft Reports of the Long Term Resource Monitoring Program Management Review Committee
- EMTC Background Materials Briefing Book (dated January 22, 1997)
- Operating Plan for the Upper Mississippi River System Long Term Resource Monitoring Program (dated August 1992)
- Annual Work Plan, FY 1996 (dated September 30, 1995); Annual Work Plan, FY 1997, provided during the course of the review

The format for the science review involved a day and a half of overview and technical presentations by the Center Director and senior staff, followed by one-on-one interviews. The administrative review was conducted by an initial meeting with all Center administrative staff, followed by one-on-one discussions to pursue specific details on fiscal, personnel, facility, vehicle and safety matters.

EMTC MANAGEMENT

The Review Team commends the EMTC Center Director and staff for preparing concise and informative briefing materials and for the quality and enthusiasm displayed in the presentations given during the review.

The existing Memorandum of Understanding (MOU) with the Army Corps of Engineers regarding the Long Term Resource Monitoring Program at EMTC requires revision. The responsible agency is now the U.S. Geological Survey, rather than the U.S. Fish and Wildlife Service. Furthermore, revision of the MOU should be preceded by discussions on assessments levied on the interagency fund transfers and on clearer and less burdensome interactions between the Army Corps of Engineers and the EMTC in the production of products, services, and scientific information through the Long Term Resource Monitoring Program. The revised MOU should clarify the use and proper disposition of Federal property used by the LTRM State partners.

The EMTC is equipped with sophisticated Automated Data Processing/Geographic Information Systems (ADP/GIS) technology. Such technology has a usable lifespan of

approximately five years; thereafter repairs become difficult or impossible as new technology replaces the old. The question was raised by the Center Director as to whether replacement of ADP/GIS equipment could be scheduled and funded through the Maintenance Management System. Indeed, this question is relevant to a number of BRD Science Centers.

SCIENCE AT THE ENVIRONMENTAL MANAGEMENT AND TECHNICAL CENTER

EMTC was founded to carry out the Long Term Resource Monitoring (LTRMP) and Computerized Inventory and Analysis (CIA) requirements of the Upper Mississippi River Plan of the Water Resources Development Act of 1986 (P.L. 99-662) and, in this role, is responsible for a portion of the DOD Army Corps of Engineers (COE) Environmental Monitoring Program (EMP). As a result, the identity and mission of the Center have been inextricably tied to work required by the Act.

The Team finds that the mission of the Center should appropriately extend beyond those activities required by the Act. EMTC should strive to become a more broadly based science program, building on the focus and expertise that have emerged from the capacities built through LTRMP and CIA activities. The Center should explicitly define its expanded mission. The Team suggests that it might well focus on large river basins, especially in the mid-continent. This mission should explicitly recognize the importance of landscape, ecosystem, and watershed scale approaches that incorporate both riverine and surrounding upland habitats.

The Team agrees with the findings of the LTRMP Management Review Committee that LTRMP and CIA should continue as the central focus of the Center. As a result the Center's partnership with the COE will continue to be strong. However, the Team points out the opportunity and desirability to expand from the Center's LTRMP base to address other science issues of importance to the Department of Interior (DOI) and other federal and state agencies. The explicit adoption of responsibility to serve DOI agencies is considered by the Team to be essential.

The Team supports recent initiatives by the Center to expand its science activities using project funds from sources other than the Environmental Management Program. Such projects and the resources they produce have been used and should continue to be used to maintain and enhance facilities and capabilities, expand the expertise and experience of the staff, and balance erosion of the buying power of the EMP base. Such projects tend to support LTRMP objectives and provide information and understanding that would not otherwise be obtained. However, it is neither expected nor desirable that all reimbursable science activities fall within the goals of the LTRMP Operating Plan.

The Team agrees with the findings of the LTRMP Science Review Committee that there is (and should be) no distinction between monitoring and data analysis. The Team views that a program such as LTRMP must involve not only scientifically sound collection of monitoring data but also research activities which include: design of monitoring systems, analysis of

trends and correlations, focused research and syntheses. This view is consistent with the established goals of the Long Term Resource Monitoring Operating Plan, including the requirement to develop a better understanding of the ecology of the Upper Mississippi River system and its resource problems. The Team supports the Center's conducting both monitoring and research activities, within and outside of the LTRMP context.

DEVELOPING A RESEARCH CLIMATE

The Team believes that Center Management, in order to fulfill its research and monitoring missions, should undertake a deliberate, proactive program to foster a more encompassing research climate at the Center. There are many ways this can be accomplished. The Team suggests that special attention be given to the following areas:

All scientists should be expected to devote at least 51% of their time to research activities and should occupy four-factor Research Grade Evaluation Panel (RGEP) positions. Center management should immediately review present personnel GS 12 and above and revise the position descriptions of those currently engaged in research into RGEP positions. Individual plans should also be developed with remaining scientists (GS 11 positions) which will allow each individual to achieve RGEP status within two years. New scientists should be hired into four-factor positions.

The Center should evaluate its current staffing plan to find ways to reduce the number of 9 factor management positions and where necessary provide technicians (through hiring, reassignment, promotion, or training) to relieve senior scientists of operational duties. An example that came to the attention of the Team was in the water quality program. The Center also needs to replace recently vacated scientific positions. These need not be replaced exactly in kind. Attention should be paid to hiring nationally competitive research scientists having high levels of analytical ability and interest in the evaluation and synthesis of large data sets.

The Center should review its organizational structure. The Team suggests the Center consider combining research, monitoring and application activities into a single science group led by a senior scientist capable of integrating analyses across the several monitoring data sets. Our approach would put responsibility into the hands of a scientist line-supervisor. It would fix responsibility and authority for integration across the disciplines, allow prioritization of work, and serve to emphasize the Center's science activities as distinguished from technical support functions such as computer support, information transfer and geospatial activities.

The Center must institute a comprehensive science planning process based on project management following the BRD Science Implementation Plan procedures. A scientist would be expected to identify multi-year projects and prepare a full proposal for each, following the standard scientific format. The project proposal must stand the test of scientific peer review and meet Implementation Plan requirements before work begins. A consistently applied supervisory approval and funding process should be in place. Project Principle Investigator's (PI) should have authority for spending annually allocated funds. Center management should have project monitoring and assessment procedures in place. The project proposals will then become the science program for the Center.

The Center should annually summarize its work in the BRD Science Information System format which becomes an annual work plan for the Center. This annual work plan is to encompass all science activities of the Center including LTRMP, CIA, Information Transfer,

Geospatial Applications, and reimbursable projects (including Habitat Rehabilitation Enhancement Project [HREP], Navigation Studies [NAV], and other projects). The Team specifically calls for abandoning the current Annual Work Plan, which is tied to the LTRMP Operations Plan and for changing the annual planning process that produces the Plan. The purpose of this recommendation include: better defining and organizing science activities, creating consistency and tracking among science planning, implementation, and products, freeing staff time from annual planning, and allowing adherence to BRD procedures. Center management should assume responsibility for cross linking science activities approved for the year to the goals of the LTRMP Operations Plan. Both Center management and the scientific staff should be responsible for successfully communicating the continued applicability of the Center's work to its Partners.

The peer review procedures for proposals must fulfill the requirements of the BRD Science Implementation Plan, especially that the review is conducted at a level higher than that at which the project is implemented, that referees be true peers of the author, and that referees be allowed anonymity. The team notes that the BRD Science Plan Implementation Plan states that scientist-initiated peer review, workshop review or partner review does not take the place of anonymous peer review.

Center management should increase its expectations that most results will be published in the peer-reviewed literature. The Team recognizes the importance that technical reports have played in systematizing the monitoring methods used and in data conveyance. However, in order to provide time for scientists to complete peer reviewed papers, the expectations and requirements for technical reports should be lessened. The Team suggests that the Center publish a single Annual Data report, prepared by a team under direction of a lead technician and composed of personnel who collect the data, including field station staff and with the logistical support of the Center's data archive and computer support staff. The report downloads the entirety of the center's annual data collection efforts. An example of such a report is the Annual Data Report of WRD Districts.

The Center should invest in the professional development of its scientists. Such investments increase visibility, prestige, and credibility of the Center's work and enhance the quality and value of the science products. Increasing expectations for production of peer-reviewed publications is one aspect of enhancing the professional careers of the Center's scientists. The Center Director and supervisors should develop with each scientist a professional development plan that should include engagement with professional societies, attendance at scientific society meetings, time spent at other labs and with distant colleagues, interaction with management and operational personnel from partners and clients, and other typical professional activities and plans for peer-reviewed publications.

The Team was impressed with the Center's creative use of cooperative agreements, student appointments, volunteers, and contracts to fulfill the Center's mission. However, the Team suggests that these authorities should not be used to create the scientific core capabilities of the Center. The core of the Center's scientific activities should be the responsibility of career

federal scientists and additional FTEs should be allocated to the EMTC, as supported by available funding, to support this objective. The Team encourages the current practices of using alternative authorities for technical support and programmatic enhancements.

PLANNING AND EVALUATION

The Center has produced a planning and consultation process that has engaged both partners and shareholders in the LTRMP. The Team believes that this process, however inclusive and useful, has become a burden that exceeds its value in producing good science of value to its partners. The BRD Science Implementation Plan provides a suitable substitute for this process. The Center should revise its procedures according to the BRD Implementation Plan.

SCIENCE RELEVANCY AND QUALITY

The Team reviewed information on Center programs on habitat rehabilitation and enhancement, water quality, aquatic and forest vegetation, and geospatial applications. The relevancy of this work to important clients and partners is indisputable. The LTRMP and CIA functions derive directly from the Congressionally mandated mission. Much of the focused research is in support of the habitat rehabilitation and navigation projects of the COE. Reimbursable funding provides for other research and science activities that by their very nature meet client needs. The Center has been engaged in activities that support BRD initiatives including National Biological Information Infrastructure (NBII), Gap Program (GAP), and Land Use History of North America (LUHNA). Interestingly, the intensely client-based programs of the Center may never emerge on National or Regional Bureau (BIN) lists. Nonetheless, it is clear that the Center's focus is fulfilling client needs at the subregional level, and this result may be a lesson for the national and regional BIN processes to consider.

The Team did not examine the LTRMP or CIA functions, as they were reviewed in detail by the Second LTRMP Science Review Committee (SCR). Nonetheless, the Team could not help but be impressed by both programs and concur with the findings of the SRC that the next stage of monitoring should attempt to incorporate higher scale basin level questions. One important consideration is the ecological irrelevance of the definition of the Mississippi River Basin given by the Mississippi River Management Plan (limited to the navigable river channel and excluding most tributaries). While the Center must follow these limitations on LTRMP, it should expand its scope to basin-wide considerations when the science question merits. In fact, the Team suggests that the Center take the initiative to become the data and science integration center for the entire Upper Mississippi as envisioned in the Scientific Assessment Strategy Team (SAST) recommendations.

The Team especially encourages the Center to conduct focused studies such as those represented in the HREP program. These studies address specific hypotheses associated with management needs. Focused hypothesis testing studies should become an increasing portion of the Center's scientific activities. We agree with other review teams that the current emphasis on trend analysis should continue. This is timely as the LTRMP data base is now sufficiently

long that trends might be detectable. The Team also urges the Center to turn its resources to correlation and modeling studies seeking relationships among variables. To accomplish this, the Team recommends additional collaboration and integration across sampling schemes to seek relationships among fish, plant, water quality, wildlife, and invertebrate trends. Additional data generated by other BRD scientists and federal and state partners should be sought and integrated in such analyses. The Team feels it is essential that the Center connect more strongly with research scientists in other agencies and at Universities to participate in the data analysis. Hypotheses that are generated from these analyses should be followed by extramurally funded studies.

Water quality and limnological studies should provide exceptional information for seeking correlations and inferring causalities. The Team does not necessarily concur with the findings of the SRC that a National Water Quality Assessment Program (NAWQA) approach would be a better monitoring strategy. The present strategy of obtaining random samples within specific focus pools (study sites) should generate exceptional information. Comparisons among pools should provide information on variations from one pool to the next. To scale these relationships up, the Center might consider adding annual synoptic surveys throughout the river to provide snap shots that can be related to the more extensively sampled pools.

The quality of data management, its availability, and the mechanisms for the electronic transfer and dissemination of information are truly exceptional and a model for such long term data gathering programs. In all cases, the Center has achieved a high level of quantity and quality of data management and the institutionalization of data collection. Hence, the Team recommends that the bulk of attention should now be devoted to answering research questions from the data.

The Team also congratulates the Center on the quality and nature of work performed by the geospatial applications group. The initiative of this group in securing outside resources has allowed it to continue to upgrade equipment and pay staff support. The Team does urge caution that securing projects too far outside the main focus area of the Center, the Upper Mississippi River Basin, might blur the focus of the geospatial team on the scientists needs.

The vegetation studies conducted at EMTC appear to provide a good model which incorporates monitoring activities, integration and synthesis, and focused research studies. It is especially important in these studies that the connections with modeling activities and other data monitoring programs be strong so the forcing functions affecting vegetation can be evaluated. It is also critical that vegetation studies be related to other monitoring activities and that a team of scientists of different disciplines be engaged in producing the interpretations that will advance science and serve the management needs of the River Community.

The theme, expressed above relative to vegetation, represents an overarching finding of our review. The Center will never in itself be able to hire the cadre of scientists of different disciplines and interests needed to do the evaluation of existing data sets that they deserve and to pursue all the interesting and useful research questions that emerge. The Team

believes that the Center needs to be part of a larger community of active scientists and managers and that it should be more engaged in an active and ongoing dialogue with a broader range of scientists, and potential partners, cooperators, and clients to ensure a balanced focus which meets both management concerns and long-term research objectives. The Center should turn some of its attention to more active collaborations, especially with the US Fish and Wildlife Service initiatives as the Upper Mississippi Bird Migration Strategy and the Upper Mississippi-Great Lakes Joint Venture, and also with the National Wildlife Refuges in the Upper Mississippi River Basin. It should also connect more strongly with other BRD science operations, especially the Upper Mississippi Science Center. Appropriate UMSC research scientists should become full partners with EMTC staff in the evaluation of monitoring data, use of available EMTC information, and transfer of information to Interior partners. University faculty partners should be increasingly prominent in pursuing research and interpretation derived from the data sets. In these and many more ways, the Team urges the Center to become more intimately connected with broader scientific enterprises.

ADMINISTRATIVE ISSUES

BUDGETING AND PLANNING FUNDS

Currently the Center develops a comprehensive and detailed Annual Work Plan (AWP) with Partners and Shareholders of LTRMP for planning all costs by account or project. This AWP is based on the LTRMP's 15-year Operating Plan developed by the EMP-Coordinating Committee. The Administrative Review Team (Team) recommends a planning process based on project management which follows the BRD Science Implementation Plan procedures. This plan was also recommended by the Science Review Team. Planned costs for the Center should continue to be developed by object classification code for either specific organization's within the Center and/or by study or project. The Center Director's contingency fund is established with savings from the LTRMP. These funds are used for unanticipated scientific needs which in turn support the program. The Team commends that Center Director, Administrative Staff, Section Leaders who currently are involved in the planning and development of budgets for the Center.

RECONCILIATION OF INTERNAL BUDGET TRACKING SYSTEM WITH FFS FINANCIAL REPORTS

The Team was impressed by the Administrative Staff's internal automated Budget Tracking System (BTS) for monitoring all types of costs by fund, project and organizations within the Center. This BTS is available for the Center's management staff to review online current fund status for their organization's or specific projects. All types of costs are accounted for in the BTS prior to obligation in the BRD's financial accounting system. The Administrative staff has an effective process for reconciling and updating their BTS data with the monthly official financial reports. Staff should be commended for the processes in place for ensuring all transactions are accounted for and reconciled, obligations and payments processed timely into Federal Financial System (FFS), and corrective action made timely for accurate tracking of fund status. No changes are recommended, the Center's process is working well!

YEAREND FINANCIAL CLOSEOUT

The EMTC Administrative Staff continuously monitors the Center's funds throughout the fiscal year. Discrepancies are resolved as they are identified. Therefore, fiscal yearend closeout tasks are relatively easy to accomplish. By utilizing their BTS in conjunction with the Document Control Register and FFS financial reports, over obligating of funds does not occur. Yearend accruals do not pertain to EMTC as a majority of their funds are based on reimbursable funding. No changes are recommended.

OBLIGATING AND PAYMENT PROCESSES

The Team also commends the Administrative staff's processes for obligating and payment of documents. Specific processes are in place so that the staff can streamline the input of obligations or payments into FFS by remote data entry (RDE) for certain obligations and payments to vendors. The use of the RDE saves time and effort for the staff. In addition, vendors are paid timely. Cross checks are in place to ensure RDE entries are approved before acceptance into FFS. The processing of acquisitions should be changed to streamline the process. Since each section Leader has an annual budget, it is recommended that all acquisitions be approved at either the section leader or principle investigator level (\$ 5,000.00 or \$2,500.00). These documents should continue to be routed through their Section Leader and Administrative Staff for accountability purposes. This ensures that all costs are accountable for in the BTS and FFS. Since the Administrative staff keeps all Center's employees advised of cost structures to charge specific projects or accounts, the Team recommends that the Employee's Time Record continue to be filled out by all employees for tracking hours worked on specific projects. This information is then entered into FPPS/FFS for charging salary costs to the specific project's funds that the employee has worked on.

REIMBURSABLE AGREEMENTS

The EMTC Administrative staff are very efficient and knowledgeable regarding the policies and procedures pertaining to the reimbursable program. Continuous monitoring of expenditures and obligations ensures that funds are administered in accordance with the agreements.

The staff routinely contacts potential customers to finalize outstanding agreement issues. By performing routine follow up, the Center ensures all agreements are finalized in a timely fashion. When delays do occur it is usually with agreements involving the State customers due to their complex approval requirements. Usually only last minute agreements are handled during the 4th quarter of the fiscal year. Appropriate overhead rates are applied and waiver for overhead reduction is requested when applicable. No-time cost extensions are requested when it is determined a project will exceed the designated period of performance.

The staff utilizes the BTS to accomplish specific queries and produce detailed reports when documentation other than that provided in the FFS reimbursable reports is required.

The staff monitors and reviews the reimbursable agreements thoroughly. Their process works extremely well. The Team has no changes to recommend.

COLLECTIONS

EMTC receives a limited number of collections which are immediately forwarded to the Finance Center. During FY 1996 they received only seven collections which were related to rebates from travel and transportation and Rocky Mountain Bank Card.

The Center has no outstanding employee debts related to travel advances or American Express charges. The Center is aware of the procedures for resolving debt collection. Proper separation of duties is applied between the accounting functions and actual receipt of funds. Due to the Centers' limited number of collection transactions changes would be irrelevant.

TRAVEL

One person on EMTC's Administrative Staff handles all of the travel authorizations and vouchers using the Travel Manager Plus Software package. Annual or sick leave used during the travel period is documented on the travel voucher, and is reflected in the time and attendance system. Employees at EMTC use the ATM feature of the American Express Card, there have been no problems of mis-use or non-payment of these debts.

IMPREST FUNDS

The Imprest Fund at EMTC is a class-A account with total accountability of \$1,300.00. The quarterly and annual reviews are performed in a timely fashion, and submitted to Denver Administrative Service Center. An Imprest Audit was also performed at the time of the review, the audit found no differences from the cash count and the actuals in the fund.

PROCUREMENT

Warrant authorities of \$10,000.00 are maintained and the Visa bank card is held by two of the Administrative Staff. It was determined that two staff employees should maintain both the Visa and Warrant, so that Center employees would have access to the programs when one or the other of the staff members were not present. The Administrative Staff tracks and plans for the warrant officers required training. Mandatory supply sources are checked first for purchases. An advance procurement plan is prepared yearly with the Center's management team. Approximately six Blanket Purchase Agreements are established with small businesses, a log book for transactions is maintained.

PROPERTY

An annual, hands-on inventory is completed for all Center property. There are no delinquent property inventories and no firearms at the Center. Property passes are used for property that

will be taken off-site and a pre- and post-use inspection is made of the property.

The motor vehicle pool is maintained by the Supply Technician. All maintenance and utilization records are kept along with the scheduled use of the vehicles, in a maintained database to assure that these vehicles are used for official use only. The monthly and annual reports are generated from this database and forwarded on to the proper office for inclusion in the Division submission to General Services Administration and the Department of Energy.

SAFETY

A safety review was completed by the Division Safety Officer less than one year ago. There were no deficiencies reported at that time, and no items noted during the February 1997 site visit by the Team.

HUMAN RESOURCES

A variety of personnel management areas and activities were reviewed to ensure that employees have a clear understanding of their major duties and responsibilities, that employees understand how their performance will be evaluated and rewarded, and that appropriate training is made available. Review findings were based on (1) information gained from external review reports; (2) interviews conducted with approximately one-third of the EMTC Federal work force, which included both supervisors and staff; and (3) a review of pertinent personnel records, documents, and files. Overall, EMTC employees have a sound understanding of personnel issues. The following provides a summary of data collected and analyzed, and where appropriate, required or recommended actions are specified.

POSITION MANAGEMENT AND CLASSIFICATION

An effective position management program provides an optimum number of managerial, supervisory, and staff positions; a reasonable balance between professional and nonprofessional positions; a clear delineation of work assignments and job-to-job relationships; and a sound use of grade levels, resulting in a well-balanced position structure.

A representative sample of position descriptions were reviewed and interviews were conducted with supervisors and staff members to ensure the extent of acceptance and understanding of the position management program. Generally, most employees are comfortable with their position description and the position descriptions that were reviewed accurately reflected employees major duties and responsibilities.

RECRUITMENT AND PLACEMENT

Currently, EMTC has several vacancies and recommendations regarding filling those positions are addressed in the Science section of this report. Additionally, the Center Director is expected to develop a new organizational structure to meet the changing role of EMTC. The

EMTC management team should be commended for using a variety of appointment authorities to compliment the Federal work force, this includes using temporary and term appointments, student employment programs, volunteers, contract employees, and employees on detail from other Federal and state agencies.

PERFORMANCE MANAGEMENT

It is the policy of the Department of the Interior Performance Management Program that individual and organizational goals will be communicated to employees, individual responsibility for accomplishing team and organizational goals will be identified, and performance will be evaluated on an annual basis. Generally, the EMTC has fulfilled the DOI Policy; however, there were several employees who had not received their 1996 performance appraisal.

Required Action: Managers should ensure that all performance appraisals are completed and performance standards for 1997 are developed for all EMTC employees.

AWARDS AND RECOGNITION

The DOI Awards and Recognition Program objectives are to encourage all employees to share actively in improving operations, enhance productivity and creativity, and optimize personal job satisfaction. During the interview phase of the review a majority of employees indicated they were not familiar with the new DOI Awards and Recognition Program and would like to receive training. Additionally, a review of awards given in the past two years showed that the number of awards granted decreased after the new awards program was implemented.

Recommendation: The Center Director should ensure that all EMTC employees receive training on the DOI Awards and Recognition Program. Staff from BRD headquarters can provide training assistance, as needed.

EMPLOYEE DEVELOPMENT AND TRAINING

Employee development should include sufficient training to improve competency and update employees on new policies and procedures. Managers and supervisors should ensure individual training needs are met and a subsequent evaluation of employee performance after completion of training. Most employees indicated that their individual training needs have been met and that they have kept up with current technology, even with a limited budget.

COMMUNICATION

A free flow of information and ideas should exist throughout the organization. A positive climate of trust between managers and employees is necessary to ensure that information is accurate, complete, and appropriate. Employees surveyed were unsure as to the present role and mission of the EMTC. This is probably due to the following reasons (1) EMTC has

recently assumed additional assignments that involve non-LTRMP activities, (2) EMTC-LTRMP has entered a new phase of the monitoring program, shifting from the collecting data phase to beginning the research and analysis stage, and (3) concern regarding the funding issue for LTRMP which is anticipated to cease in 2002. Employees should be provided with a clear understanding of the new mission of the organization and how that will effect their position. Additionally, a number of employees, including the Center Director, suggested that they resume holding monthly staff meetings.

Recommendation: (1) Develop a mission statement that accurately reflects the new role of EMTC and (2) Resume holding monthly staff meetings for all EMTC employees for the purpose of sharing information and to provide status reports on individual projects, as appropriate.

ATTACHMENT 1

1/23/97

U.S. Geological Survey
Biological Resources Division
Regional Office Science Center Review
ENVIRONMENTAL MANAGEMENT TECHNICAL CENTER
Onalaska, Wisconsin
February 3-7, 1997

I. Introduction

A. Background

1. The Biological Resources Division (BRD) on entry into the U.S. Geological Survey (USGS) in October, 1996, issued two plans for guidance of BRD science activities:
 - a. Strategic Science Plan
 - b. Implementation Plan for the Strategic Science Plan
2. The Implementation Plan requires periodic reviews of different levels of magnitude and focus for all BRD Science entities.
3. This review of the Environmental Management Technical Center (EMTC) is being carried out in keeping with BRD policy and following general guidelines issues by BRD, USGS, and Department of Interior (DOI).

B. General

1. This review will serve as a prototype to help develop and evaluate regional review procedures as well as provide feedback to Center management regarding program execution and direction.
2. Feedback to the Review Team by Center staff and management will be formally sought as part of the review process and will be included in the Review Team final report.
3. Reviews are joint investments by Headquarters, Regional Offices, and Science Centers/Units to objectively evaluate current conditions, recognize outstanding accomplishments, identify areas for adjustments, and initiate transition (via action items) consistent with BRD and science program

needs.

4. The Review Team and Center Director develop the agenda together and collaborate in the conduct of the review.

II. Goals and Objectives

A. General

1. The following areas will be the focus for the review:
 - a. Administrative management of Center personnel, fiscal and property resources.
 - b. Science planning and evaluation by the Center.
 - c. Center Vision and Mission relative to Department/USGS/BRD missions and support functions.
 - d. Selected scientific areas.
2. The review is focused internally (i.e., BRD operations) and is therefore, independent of reviews of EMTC associated with the Environmental Management Program (EMP) the U.S. Army Corps of Engineers has responsibility for. However, the DOI does have responsibilities associated with Long Term Resource Monitoring Program (LTRMP) and Computerized Inventory and Analysis System (CIA) of the EMP.
3. The primary goal is an administrative audit/review of Center operations regarding compliance with administrative business practices of USGS in general, and BRD specifically.
4. The administrative segment of the review will be subdivided into two major components:
 - a. Organization, vision, mission, and policy matters.
 - b. Administrative business practices.
5. The science segment of the review will also be subdivided into two major components:

- a. Science planning and evaluation (general).
 - b. Science relevancy and science quality of selected subject areas.
6. Review findings will as appropriate, provide guidance (through action items) for adjustments for Center and identification of noteworthy accomplishments for recognition.
- B. Center Organization, Vision and Mission Statements, and Operational Policies
1. Goal I -- Evaluate Center Vision and Mission Statements and organizational structure.
 - a. Objective 1 -- Determine the relations between Center Vision and Mission statements and those of BRD.
 - b. Objective 2 -- Evaluate Center organization structure and staffing patterns relate to Vision and Mission statements.
 2. Goal II -- Evaluate Center operational policies.
 - a. Objective 1 -- Evaluate center operational policies relative to consistency with BRD policy and guidance.
 - b. Objective 2 -- Evaluate Quality control and implementation of good laboratory practices.
 - c. Objective 3 -- Evaluate Center funding support relative to allocation and sources (base vs. other) of funds to cover fixed costs vs. operational science activities.
- C. Administrative Business Practices
- Goals and Objectives to address such matters as:
1. Fiscal accountability and purchasing.
 2. Personnel management, including grade structure, and cultural diversity.
 3. Property, facility maintenance, and space needs and allocations.
 4. Training and continuing education of staff.

5. Safety.
6. Equipment replacement.
7. Cooperative management agreements (the majority of staff are non-federal land the majority of fund expenditures involves cooperative agreements).

D. Science Planning and Evaluation

Evaluations to address such matters as:

1. BRD guiding principles for science center/unit operations
 - a. Comprehensive planning.
 - b. Peer review.
 - c. Competition.
 - d. Assessing and rewarding scientific activities.
 - e. Information transfer.
 - f. Client needs determinations.
 - g. Relation of funding decisions to maintenance of core capabilities and scientific program integrity.
2. Evaluation of level of progress in development of Center Implementation Plan of BRD Strategic Science and Implementation Plans.

E. Science Relevancy and Quality

1. This review will focus on two specific project areas within the Center rather than attempt to evaluate the entire science program.
2. Science relevancy and quality will be evaluated relative to BRD guidelines and mission.
3. Goal I -- Evaluate the riverine habitat rehabilitation evaluation component of the EMTC Science program. (This will be the primary area of scientific evaluation by the Review Team).
 - a. Objective 1 -- Evaluate the scientific

direction and integration of this effort relative to the Environmental Monitoring Program, North American Waterfowl Plan, and other relevant DOI habitat programs.

- b. Objective 2 -- Evaluate the scientific quality of information being developed as a result of this activity.
4. Goal II -- Evaluate the Centers scientific component of investigations for water quality monitoring.
- a. Objective 1 -- Evaluate the scientific direction and integration of this effort relative to needs of partner Bureaus and client agencies.
 - b. Objective 2 -- Evaluate the quality and implementation of peer review and other scientific assessment policies and procedures.

III. Review team

A. Organization

- 1. The team will be headed by the Acting Regional Chief Biologist, Eastern Region.
- 2. The Team will have two subgroups, one for administration and one for science reviews.
- 3. The Center Director will serve as the on-site coordinator.

B. Composition

- 1. Administrative SubGroup
 - a. Leanne Hanson, BRD Eastern Regional Office, Subgroup Leader.
 - b. Debbie Arritt, BRD Financial Management Office
 - c. Carol Cooper, BRD Biological Operations Office

- d. Terry Boyd, Denver Finance Center
- 2. Science SubGroup
 - a. Dr. James Kushlan, Director, Patuxent Wildlife Research Center, Subgroup Leader.
 - b. Glen Guntenspergen, Northern Prairie Science Center, Jamestown, SD.
 - c. John Elder, USGS Water Resources Division, Madison, WI
- C. Reference Documents for Team Review
 - 1. BRD Strategic Science Plan
 - 2. BRD Implementation Plan for the Strategic Science Plan
 - 3. EMTC draft Implementation Plan (if available).
 - 4. EMTC organization chart and staffing.
 - 5. Draft report of Second LTRMP Science Review (conducted Nov. 18-21, 1996).
 - 6. Draft reports of LTRMP Management Review Committee Report (ongoing process).
 - 7. Task charge statement by Review Team Leader.
 - 8. Other pertinent materials provided by Center Director (previous science plans and reviews, FY96 AWP, Information Management Plan, etc.).

IV. Review Process

- A. Pre-Review Activities
 - 1. General agenda developed between Center Director and Acting Regional Chief Biologist.
 - 2. Selection of Review Team subgroup leaders by Acting Regional Chief Biologist.
 - 3. Selection of remaining Review Team members by subgroup leaders where additional members are needed.
 - 4. Distribution of reference documents to members of

Review Team.

5. Development of formal agenda items by subgroup leaders in concert with EMTC leadership and Acting Regional Chief Biologist.
6. Issuance by Acting Regional Chief Biologist to Center Director of Review Agenda and Background Statement (objectives, etc.).
7. Center Director informs staff of content/purpose of review.

B. On-site Activities

1. Briefing of Review Team by Center Director (staff to be involved, etc.).
2. General meeting for staff to meet Review Team and be given overview of what is to take place.
3. Initiate review process.
 - a. Subgroups carry out activities independently.
 - b. Daily end-of-day meetings of entire Team (not including CD) to discuss findings and draft action items and notations for report.
4. Rough draft of report by Team prior to departing site.
5. Close-out briefing with Center Director to identify significant findings (positive and other).
6. Close-out meeting with Center staff.

V. Critical Actions

A. Pre-Review Activities

1. December 31 -- General Agenda transmitted to Center Director and Review Team subgroup leaders.
2. January 8 -- Selection of remaining Review Team members.
3. January 14 -- Distribution of reference documents to Review Team.

4. January 24 -- Final agenda with specific Objectives, Goals, and Basic Questions developed by subgroup leaders and transmitted to acting Regional Chief Biologist.
5. January 29 -- Issuance of Review Agenda and Background statement by Acting Regional Chief Biologist to Center Director.

B. On-site Activities

1. February 3 -- Review Team travels to EMTC and arrives for evening organizational meeting.
2. February 4 -- Briefing by Center Director, general meeting with staff, and initiation of review activities.
3. February 6 -- Completion of rough draft of review report.
4. February 7 -- Closure activities at Center and return travel.

C. Off-site Activities

1. February 14 -- Draft reports of subgroups provided Team Leader.
2. February 20 -- Consolidated draft report transmitted to Center Director for review.
3. February 27 -- Comments by Center Director due to Team Leader.
4. February 28 -- Final report transmitted to Team members for review.
5. March 5 -- Comments by Team members due to Team Leader.
6. March 7 -- Final report transmitted to Chief Biologist by Team Leader.

VI. Cost Accounting

A. Funding Source for Team Activities

1. Office of Regional Chief Biologist.
2. Costs are for travel and per diem of Review Team

members.

B. Cost Account

1. Office of Regional Chief Biologist.
2. Accounting data determined by Regional Office.

ATTACHMENT 2

**U.S. Geological Survey
Biological Resources Division
Regional Office Science Center Review
ENVIRONMENTAL MANAGEMENT TECHNICAL CENTER
Onalaska, Wisconsin
February 3-7, 1997**

Monday, February 3 Travel: BRD Review Team arrives in Onalaska

8:00 p.m. BRD Review Team meet at the motel late evening to organize ideas

Tuesday, February 4 EMTC

8:30 a.m. BRD Review Team arrives at EMTC and meets with management staff to plan activities and schedules

9:00 a.m. Facility Tour Owens and Others

9:30 a.m. LTRMP Video

9:50 a.m. BRD Review Team meets with entire staff to discuss review activities and schedule

10:00 a.m. EMTC overview presentation Delaney, and
EMTC management staff as necessary

Noon Lunch

1:00 p.m. EMTC/LTRMP Science Overview Lubinski, Owens

Administration Team meets with EMTC administration staff Kelly, Ott, and other

1:30 p.m. LTRMP/HREP linkages and science Powell, Gaugush
Theiling, Wlosinski

2:45 p.m. Water Quality Monitoring and Research Soballe

3:30 p.m. Aquatic and Terrestrial Vegetation Science Rogers, Yin

Wednesday, February 5 EMTC

Science and administration team work independently

Thursday, February 6 EMTC

BRD Review Team drafts report

Friday, February 7 Travel: BRD Review Team Departs

Timeline for Administrative Review at EMTC February 4 - 6, 1997

Human Resources Section

- 1 ½ days Review of Personnel Records with Staff
- 1 day Interviews with Employees
 Supervisor sampling ½ day
 Support Staff sampling ½ day
- ½ day Draft Report - Review Close-out

Budget, Fiscal Accountability, Funds Control Section

- 2 days Review Financial Records with Staff
- ½ day Interviews with Employees
- ½ day Draft Report - Review Close-out

Procurement Management Section

- 1 day Review records with Staff
- ½ day Interviews with Employees
- ½ day Draft Report - Review Close-out

As the Administration sub-group finishes, we will work together to get a draft report together to have a final report for the entire review team and EMTC Staff by the end of the day Thursday.

ATTACHMENT 3

Biological Resources Division
Eastern Regional Office
1700 Leetown Road
Kearneysville, West Virginia 25430
304/725-8461 ext.675
FAX 304/728-4534

Memorandum

Date: January 27, 1997
To: Center Director, EMTC
From: Review Team Leader
Subject: Review Questions

Following are a series of questions to be pursued by myself and the two sub-group leaders during the forthcoming EMTC Review. These questions are entry points to these areas for discussion and will generate other inquiries.

The purpose in providing this information is to avoid duplication, not to complicate or undo a need provided by yourself for the review.

Team Leader Questions

1. How does the organizational structure of EMTC facilitate the effective pursuit and conduct of science associated with the Centers' mission?
2. How does EMTC envision itself as a functioning component of the BRD science portfolio serving DOI Bureaus and extended clients? (response is relative to science priorities and long term direction for the Center)
3. How will science activities and priorities at EMTC field stations establish, coordinate, and oversee within the scope of the Centers' total science program?
4. How does the Center address Quality Assurance and Good Laboratory Practices relative to the science activities carried out?
5. How is continuing education of scientific and scientific support staff provided for at the Center?
6. How are the needs addressed for mandating an adequate complement of the updated equipment required for Center scientific investigations?
7. How are the physical space needs for Center scientists activities being addressed and maintained?

8. Does the levels of autonomy/delegation of authority vested in scientific group leaders and staff scientists reflect to the ability of the unit to carry out scientific investigations and associated activities such as travel and attendance at scientific meetings?

Science Team Leader Questions

D. Science Planning and Evaluation

1. What are the procedures and policies in place that accommodate the BRD Science Plan and Implementation Plan?
2. What procedures and policies are planned to be instituted that accommodate the BRD Science Plan and Implementation Plan, including peer review, comprehensive planning, competition, assessing and regarding scientific activities, information transfer and client needs?
3. How are science funding decisions made, and how do they serve to maintain core capabilities and scientific program integrity?

E. Science Relevancy and Quality

1. Given that this review will concentrate on habitat evaluation and water quality, briefly what are the other science components of the Center's program, how are they funded, how are priorities set, what is the expected outcomes?
2. How does the habitat rehabilitation evaluation program integrate relative to the Environmental Monitoring Program, North American Waterfowl Plan and other relevant DOI habitat programs?
3. What is the water quality monitoring investigation component of the Center's science efforts?
4. What is the direction on the water quality monitoring investigation program and how does it integrate with the needs of partner Bureaus and client agencies?
5. What are the peer review and scientific assessment aspects of the water quality program?
6. What else should the review subteam know about habitat evaluation and water quality programs reactive to the other activities of the Center?

Administrative Team Leader Questions

ADMINISTRATIVE REVIEW

I. ORGANIZATION MANAGEMENT ANALYSIS

Review organizational structure of the office and relation of the administrative support unit to management and operational activities:

1. Does your organization have an up-to-date organizational chart with functional statements? How often are they reviewed and updated?
2. How many employees are in the organizational unit?
3. What percent is professional, technical, and administrative?
4. Are administrative policies and procedures clearly stated in writing, up to date, and systematically communicated?
5. Who establishes administrative policies for the organizational unit?
6. Are policies and procedures structured to provide adequate internal controls and separation of duties to avoid waste, fraud, and abuse?
7. What percent of the organizational unit Chief's time is applied to administrative management? Technical management?
8. Do delegations of authority exist in writing?
9. Do the delegations clearly delineate duties and responsibilities?
10. Do the delegations grant sufficient authority for officials to carry out their responsibilities?
11. Do the delegations separate responsibilities so that no single official controls all phases of a critical process?

Review present and future requirement for administration support in all functional areas; i.e., programming, budget formulation and execution, personnel, procurement, etc.:

1. What is your total projected program for the current fiscal year?
2. How many unfunded projects are you supporting?
3. How many state and local agencies do you cooperate with?
4. How many cooperators are on a split fiscal year?
5. How many current agreements terminate at fiscal year end?
6. How many active projects are in the organizational unit?
7. How many other federal agencies do you cooperate with?
8. How many DOD customers do you have other than Corps of Engineers?
9. How many EPA Superfund sites do you have?
10. Do you have an IRP program? How large?

11. Describe the make-up of your Federal Program.

Review/define how the Administrative Officer and staff fit into the present and future organization. How are their services presently being utilized and how will they be utilized in the future?:

1. What is the make-up of the administrative support unit?
2. Explain the roll of each individual.
3. Is work thoroughly reviewed or spot checked? Who performs the reviews?
4. What specific events do you see occurring that would necessitate/cause a change being made in your administrative office?

II. BUDGET, FISCAL ACCOUNTABILITY, FUNDS CONTROL

Budgeting and Planning Funds:

1. What are the processes for developing budgets for the Center?
2. Who is involved in the process (Director, Admin, Project Managers)?
3. Who is responsible for initiating and approving internal budgets for the Center for both BRD funding allocations and reimbursable and/or cooperative agreements, contributed funds, and other funding?
4. How are BRD appropriated funds allocated for specific projects at the Center?
5. What detail is provided for projects to determine their estimated costs for salaries, benefits, supplies/equipment, etc. Are estimated costs provided by object class for specific projects.
6. How are budgets prepared for specific projects?
7. What forms, if any, have been developed and issued to Project Chiefs to use in preparing their estimates? Tracking expenditures and funding?
8. Are submissions of Project Chiefs' budgets adequately supported?
9. Discuss Project Chiefs' responsibilities in developing project budgets, monitoring their budgets, and problem resolution.
10. Is a detailed estimate of work by major object class or management category prepared before requesting funding or before signing a reimbursable agreement? When/how are preliminary costs collected?
11. What is the budget process for your support sections (computer, publication, administrative, etc)?

Roles and Responsibilities in budget formulation, forecasting, and analysis:

1. What percent of your Center's funding is appropriated allocated funds, reimbursables, contributed, etc?
2. Does the Center negotiate for initial and additional funding requirements, either from BRD or the reimbursable customer, or take other internal actions, if necessary, to assure that the center is not over obligated during year-end closeout?
3. What type of financial reports does the administrative section prepare periodically (monthly or quarterly) for management review and analysis to inform management of actual or potential financial problems?
4. Are these or similar reports furnished to Project Chiefs? At what frequency?
5. Are financial plans prepared and kept up to date based on current funding and obligation plans?
6. What is the budget process for your support sections (computer, publication, administrative, etc.)?
7. What procedures do you follow when expenditures for a project exceed the amount authorized for that project?
8. Do you prepare a financial plan for your organizational unit?
9. What are the processes to advise all employees of the appropriate cost structures to charge salary/admin costs, specifically employees that work on individual projects (both allocated and reimbursable funds)?
10. What are the impacts to budgets and availability of funds for those costs that are unfunded (employees and other overhead costs)?
11. Are Directorate, Administrative, Project Managers and employees all informed of changes to funding sources for units or employees to charge costs to?

Reconciliation of Internal Budget/Financial Tracking Systems with the FFS Financial Report:

1. What type of internal budget/financial tracking systems (BTS) are used at the Center? Is the system automated to reconcile with FFS reports? Actual and projected costs included? All funds accounted for in system?
2. Are financial reports reviewed each month in an effort to identify input errors? Within what time frame? Are adjustments made and tracked to ensure correction?
3. Describe briefly your internal financial reconciliation process?
4. How do you handle discrepancies that are found on FFS reports?
5. What procedures do you follow when expenditures for a project exceed the amount authorized for that project?

6. Are employee's familiar with Center and BRD written policies and procedures regarding budgeting, financial accountability? Where are these procedures maintained? Is there a specific employee who is responsible for this type of guidance?
7. Are funding authority amounts updated as changes take place? Do you reconcile your funding each month?
8. Discuss the internal control policies in place to assure that no obligation is incurred for unneeded goods or services, or personal benefit?
9. Is your BTS available to specific admin employees for review or input? Are other employees allowed access to review information?
10. What type of I'M support services are required for your BTS? Are services provided by staff at the Center? Are down times infrequent?

Year-end financial closeout procedures:

1. How, when and who closes out yearly funding allocations, individual projects?
2. Discuss the internal control procedures that are in place to assure that obligations do not exceed funds available at year-end.
3. Are final year-end FFS reports reconciled? If outstanding obligations exist at year-end are these costs identified if they affect carryover funds or multi-year reimbursable agreements?
4. Are payments against accruals tracked? How?

Procedures for processing obligating documents, vouchers, invoices, and claims for submission:

1. What are your processes for ensuring that obligating documents are processed internally, by the Contracting Office, and the servicing financial center?
2. Are obligations processed by the Center directly into FFS? What remote data entry capabilities does the Center staff have? Are there internal controls to ensure obligations/payments are accounted for in your internal BTS? Who processes or approves them?
3. Are all Center employees aware of processes to obligate and pay various types of transactions and the accountability of these costs?
4. For salary costs, are cost structures on employee's T&A entries correct to correspond with project fund sources. Are employee's costs charged to the respective project's funds?
5. Who verifies if employee's costs are charged appropriately?
6. What percent of salary costs are charged to appropriate fund sources relating to the project or mission of work?

7. Do circumstances arise where employee's salary costs are charged to other fund sources not related to specific projects that they are working on?
8. Are undelivered orders financial reports for obligations reconciled monthly to ensure accuracy of obligated amount, modifications processed, payments disbursed, and balances?
9. What are your processes for payment of invoices, vouchers, and claims?
10. Who certifies invoices for payment? What is the process for certifying receipt of goods and services?
11. Discuss the internal control policies that are in place to avoid waste, fraud, and abuse. (Separation of duties, etc.)
12. Do you use automatic payments?
13. Do you use FFS field payments? How are paid invoices retained?
14. How do you use your internal BTS and FFS to reconcile invoices paid through FFS?

Reimbursable Agreements:

1. Are Directorate, Administrative, Project Managers, and employees aware of how reimbursable funding is derived? Correct accountability of costs, billings to customers?
2. What are the processes to advise employees who are responsible for working on specific reimbursable projects or Task Orders of the correct cost structures to charge to? Are they advised of the types of charges to incur to the projects?
3. How do you compute your common service overhead rate? What is the percentage? How has that percentage changed in the last three years? Is the rate adjusted during the year?
4. Which FFS financial reports are used for reconciling reimbursable project costs? Are these reports disseminated to project managers, employees regarding the status of funds?
5. What are your procedures for over expenditures and over collections to an account? Are collected amounts verified on FFS tables before expenditures transferred?
6. Are you providing appropriate documents to your Finance Center, including completed 2058, signed funding document, and agreements?
7. What are the processes for entering into agreement with a customer? Who is involved?
8. Who prepares the agreements/task orders?
9. What major impediments are there to finalizing documents related to an agreement/task order?
10. If agreements carryover from year to year, are processes in place to ensure timely approval and submittal of documents between organizations and Finance Center?

11. Do you know when to request a no-time cost extension or additional funding from the customer?
12. How do you monitor whether your agreements are signed? What percentage of agreements are signed prior to the beginning of the 4th quarter?
13. What are your processes regarding the verification of outstanding agreement issues with the Center staff, Customers, Contracting offices, Financial Center?
14. What basis do you use for determining the amount to be billed to your customers? Is that basis stated on the bills?
15. Are you familiar with the project cost accounting subsystem (PCAS) in FFS?
16. Do you know how to accurately compute carryover amounts, both direct and indirect costs?
17. Are you aware of the processes to request a waiver or reduction of overhead?
18. Are there various types of billing/cost documents and reports sent to the customers? What types of backup documentation does the customer require (detailed, summarized, FFS reports okay, etc)? Are they required by the customer? What is the frequency of providing the documents?
19. What reimbursable bills are outstanding? How much prior year program has not been billed? Why?
20. How often are agreements billed, on a monthly, quarterly basis?
21. Who signs billing documents?

Collections:

1. What are the various types of collections received at your Center?
2. Do you know how to determine what type of collection has been received (contributed vs reimbursable)?
3. Are appropriate employees aware of the processes, receive training?
4. Are collections forwarded to your Finance Center expeditiously?
5. What are your processes for debt collection?
6. Is there follow up on delinquent billings?
7. Is there proper segregation of responsibilities between accounting and physical collection of funds.
8. Does the Center pursue delinquent outstanding travel advances?

Travel procedures:

1. What travel policies and procedures does your office maintain?
2. Are travel vouchers signed by the first supervisory level above the employee?
3. Do you use Travel Manager or Travel Manage Plus?
4. Are area authorizations only prepared for individuals who will travel more than twice in a quarter?
5. Do travel vouchers reflect the times that travelers took annual and sick leave?
6. Are employees using the AMEX Cards as ATM cards to receive travel advances? How is the program working in your organization?
7. How often do you pull the ATM Transaction Report to determine if withdrawals were associated with official travel and were in accordance with travel advance limits?
8. Does the Center pursue outstanding American Express credit card balances?
9. Who has FTS 2000 calling cards and how is their use controlled?

Review handling of Time and Attendance (T&A) Reports and other T&A data:

1. Are T&A's reviewed and signed by each employee's supervisor?
2. Do you project on the TAs entries for regular time, overtime, and comp. time?
3. Who prepares the T&A's?
4. Is overtime approved by supervisors in advance?
5. If adjustments are required for alternative work schedules, are employees advised of revised off days if holidays occur?
6. Do supervisors and managers know which employees are entitled to overtime under the Fair Labor Standard Act?
7. Is leave (other than emergency or sick leave) approved in advance? Is leave initialed on T&A for time taken? Are SF71s completed and maintained?
8. Are T&As annotated with a justification for changes in project numbers for any reason other than correction of data entry errors?

Space:

1. Who is responsible for space issues and lease management at Center facilities?
2. Are your facilities owned, leased?

3. If leased by whom?
4. Are there space issues for your Center?
5. Are all employees aware of the space contactee, guidance?

Review procedures relative to operation of Imprest Funds:

1. Does the organizational unit have an Imprest Fund?
2. What is the amount of the fund?
3. Are quarterly and annual reviews performed in a timely fashion?
4. Who conducts the reviews?
5. Is the size of the Imprest Fund in accordance with DM 337.2.1?

III. HUMAN RESOURCES

Position Management and Classification:

1. Do all employees have a written position description?
2. Are the position descriptions accurate?
3. Are there any employees assigned to "research" positions?
4. Are grades appropriate for the work being done?

Recruitment and Placement:

1. Do you have any vacant positions?
2. Is the center adequately staffed to do the work?
3. Does the center have an adequate number of professional, technical, and clerical staff to get the work done?
4. What type of appointments does your center utilize, i.e. temporary, term, volunteers, IPA's?
5. Who forecasts future needs and suggest sources from which to fill these needs?

Performance Management:

1. Who received training on the new DOI 2-level performance management system?
2. Are there current written performance standards for all EMTC employees?

3. Are periodic progress reviews conducted?
4. Are performance evaluations prepared for all employees within the established time frame?

Awards and Recognition:

1. Was training provided on the new DOI Awards and Recognition Program?
2. What type of awards are given - honor, monetary, non-monetary?
3. Are awards prepared in a timely manner?
4. Are the best performers rewarded through this program?

Employee Training and Development:

1. Do you have a training officer?
2. Are employees able to stay current with the skills needed to do the job?
3. How are training needs identified?
4. On what basis is training usually provided?
5. What priority is given to training?

EEO:

1. Are positions filled without regard to race, color, sex, age, religion, national origin, or handicap?
2. What degree of emphasis is given to EEO?

Communication:

1. Are you promptly informed when there is a change in policy, rules, or regulations that affects you?
2. How effective is the formal communication system (manuals, directives, and related issuances)?
3. Does the organization encourage communication?
4. Who gives new employee orientation?
5. What is provided to the new employee during orientation?

Automated Personnel Systems:

1. How many employees use the FPPS?

2. What type of training have they received?
3. How are you preparing for the conversion to the full FPPS?

Delegations of Authority:

1. Are delegations of authority defined and followed?
2. Do delegations exist in writing?
3. Do they clearly delineate duties and responsibilities?
4. Do they prevent overlapping, duplication, and conflict of duties and responsibilities?
5. Do they grant sufficient authority to officials to carry out their responsibilities?
6. Do they separate responsibilities so that no single official controls all phases of critical process?

External Services:

1. How would you describe your working relationship with the Personnel Office?
2. How often do you contact the Personnel Office?
3. How would you describe the overall responsiveness of the personnel office to the needs and goals of management?
4. How would you rate the timeliness of service from the personnel office?
5. Are personnel actions processed timely?

IV. PROCUREMENT MANAGEMENT

Review procurement activities as to individual responsibilities. Insure compliance with FPMR concerning documentation and justification:

1. Does the organizational unit have the required Federal Acquisition Regulations?
2. Who has warrants?

Review the organization unit's purchasing policy:

1. How extensive is the use of the Bank Card in this organization? Who has cards and how was the allocation determined?
2. Does the organizational unit have Blanket Purchase Agreements (BPA) with vendors? Are BPA logs maintained as required? Are all BPAs with small businesses? How is training provided for authorized callers?

Review use of mandatory supply sources:

1. Are mandatory supply sources checked first?

Review warrant procedures, advance procurement plan, and training of procurement staff:

1. Who prepares the advance procurement plan? How do you utilize this APP?
2. Who ensures that warrant officers get their required training?

Review property management procedures:

1. Does the APO/CPO conduct an annual hand-on inventory?
2. What procedures are in place to control firearms?
3. Are there any delinquent property inventories from last cycle?
4. What procedures are in place for property passes?

Review procedures for control and maintenance of motor vehicles:

1. What controls are in place to ensure that Government-owned vehicles are prohibited for other than official use?
2. Who maintains the vehicle data base.
3. What procedures are in place to ensure that maintenance is performed annually on each vehicle
4. What replacement procedures do you follow?
5. How is under utilization monitored?

Milt Friend