

CHAPTER 8-13  
REGIONAL MANAGEMENT REVIEW PROGRAM

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8-13-10 PURPOSE

This directive establishes a Regional Management Review Program in the Department of Health, Education, and Welfare as one means of improving the quality and effectiveness of regional operations.

8-13-20 POLICY

Management reviews of regional offices will be conducted on a cyclical basis by teams established by and reporting to the Under Secretary. Each regional office will be reviewed at least once every two years.

8-13-30 DEFINITION AND SCOPE

A Regional Management Review is an objective appraisal of the effectiveness and quality of administration of a DHEW Regional Office conducted under the direction of the Under Secretary. Its purpose is to identify opportunities for improving the way in which the regions carry out their assigned responsibilities. The Review will include an examination of functions and organizations under the direct management of the Regional Director and such other field activities and organizations as may have a significant impact on how the Regional Director discharges his responsibilities or on regional office management and coordination. Special attention will be given to the adequacy with which the various responsibilities assigned the Regional Director are being discharged and to the identification of obstacles to effective field management which warrant the attention of, or action by, the headquarters of the Department.

8-13-40 RESPONSIBILITIESA. Under Secretary

The Under Secretary will designate for each Management Review a Team Leader who will report directly to the Under Secretary. The Team Leader will be responsible for planning of the review, its conduct, and the preparation of a team report with findings and recommendations. The Executive Assistant to the Under Secretary will assist the Under Secretary and the Team Leaders in the establishment of the teams and the arrangements for their support.

B. OS Staff Offices

The Heads of OS offices will provide members to serve on Regional Management Review Teams and will supply such information and such developmental and evaluation support as **may be** required in carrying out the Regional Management Review Program.

C. Regional Directors

Regional Directors will assure that regional staff are informed of the purposes of the management reviews and that information is made available as requested. They will also make certain that during the survey field officials are available for consultation with team members, and that relevant documents are promptly supplied. They will also be responsible for regional actions needed to implement recommendations approved by the Under Secretary.

D. Agency Heads

Agency heads will provide members of the evaluation teams as requested and will insure cooperation with, and support of, the Regional Management Review Program at all organizational levels.

8-13-50 METHODOLOGYA. Team Composition

Each management review team will be specifically **appointed** by the Under Secretary to conduct the appraisal of field management in a designated regional office. Each team member will be chosen by the Under Secretary on the basis of ability to contribute effectively to the review. Team members will ordinarily be chosen from such offices as that of the Deputy Under Secretary for Regional Affairs, the Assistant Secretary for Administration and Management, the Assistant Secretary for Planning and Evaluation, and the Assistant Secretary, Comptroller. Staff from other DHEW offices, the agencies and regions other than that being evaluated will also be included by the Under Secretary as needed. All Team Members will view themselves as representatives of the Under Secretary while they are engaged in their regional evaluation assignment. Changes in Team Membership will be made after each evaluation but each team will contain members who have had experience in a previous review. In some instances a Team Member may serve through several management reviews to help ensure continuity.

B. Planning the Reviews

The initial review team will develop checklists, questionnaires and other review materials to facilitate the conduct of organized, effective reviews. The initial plan and materials will be considered by the Departmental Management Council prior to the first management review. Review materials, subsequently, will be updated and revised on the basis of experience and requirements. Before going to the region each team will touch base with appropriate Washington officials to identify problems, incidents and situations which warrant special **attention** during the on-site phase of the review. Regional information needed by the review team will be requested from the Regional Director to be submitted either prior to the on-site review or to be made available to the team on its arrival.

C. Conduct of Review

The team will proceed with the review by conducting interviews in the region with regional officials including regional representatives of the **agencies**. Contact would be made with officials of **state and** local governments and other Federal agencies, as appropriate. Documents relating to important or difficult problems being handled in the region will be examined.

The on-site review will be carefully designed to afford regional officials the opportunity to identify and document problems beyond the direct control of the Regional Director and which will, therefore, require action by headquarters officials. Inadequacies in follow-through on **decentralization**, staffing and funding problems, difficulties with particular headquarters offices will be explored from the regional perspective. The Regional Director should be given every opportunity to highlight actions that should be taken to improve the quality of regional administration.

D. Reporting

Upon completion of the on-site review, the review **team** will develop a preliminary assessment of the **management** of the region and will develop tentative recommendations. These findings and conclusions **will** be informally discussed with the Regional **Director**. A written report will be completed in Washington and will be submitted to the Under Secretary with copies to the Regional Director and members of the Departmental Management Council. The report will receive such further distribution as the Under Secretary may direct. The report will be a **team** product and will not indicate the views or contributions of the individual members.

8-13-60 TIMING AND SCHEDULING REVIEWS

After the Under Secretary has notified the Regional Director of the plan to conduct a review of a designated region, the Team Leader, in collaboration with the Executive Assistant to the Under Secretary and the Deputy Under Secretary for Regional Affairs will develop the review schedule and will inform all concerned in a timely manner. It is anticipated that each regional office will be scheduled in **advance** and will normally require about five weeks of survey team time. Two weeks will ordinarily be allocated to preparations in the Washington Headquarters. This phase will include consulting with officials in the Washington area and reviewing information developed by the Regional Director and submitted for pre-on-site review.

It is estimated that about two weeks will be needed for the on-site review, the roughing out of findings and recommendations and the post-review discussion **with** the Regional Director, but the actual time spent in a region may vary considerably from one evaluation to another. An additional week will be allocated to report preparation and to the briefing of the Under Secretary and/or **other** officials. The Under Secretary, after securing such additional comments and suggestions from Departmental officials as he may find helpful, **will** take action on the **report recommendations** and will fix responsibility for their implementation.

8-13-70 FOLLOW-UP OF REVIEWS

The success of the Regional Management Review Program is directly dependent on taking positive action on the approved recommendations. The responsibility for follow-up rests with the Office of the Under Secretary.

Action offices and the regions will be informed of decisions made by the Under Secretary, who will establish a follow-up system to ensure timely action is scheduled and taken on each approved recommendation. The Executive Assistant will keep a record of progress made in the implementation of recommendation.