



# United States Department of the Interior

BUREAU OF RECLAMATION  
Washington, DC 20240



IN REPLY REFER TO:

92-40000  
ADM-1.10

MAY 30 2006

## Managing for Excellence Decision Document Team 3

### MEMORANDUM

To: Director, Office of Program and Policy Services

From: William E. Rinne   
Acting Commissioner

Subject: Decision Related to Managing for Excellence Team 3 Final Recommendations

You are hereby directed to issue the following Reclamation Manual documents:

- *Mandatory Reclamation-wide Requirements and the Directives System (the Reclamation Manual),*
- *Managing the Reclamation Manual, and*
- *Request for Waiver from a Reclamation Manual Requirement and Approval/Disapproval of the Request.*

These documents should each be released as Temporary Reclamation Manual Releases within 30 days from the date of this memorandum. The final documents are attached.

As Reclamation subsequently operates under these three TRMRs, you are directed to actively monitor, solicit, and collect comments in preparation for leading the organizational review, revision (as appropriate), and re-release as permanent RM documents no later than May 31, 2007.

Attachments (Word files for the Reclamation Manual releases submitted for Commissioner approval)

cc: 84-52000, 84-550000, 84-86000, 92-40000, 94-00000,

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## MANAGING FOR EXCELLENCE FINAL RECOMMENDATIONS - TEAM 3

### Revising the Reclamation Policy Development Process

**Executive Sponsor:** Trudy Harlow

**Team Members:** Jim Kinney (Lead), Miguel Rocha, and Kip White

**Key Organizational Function Interfaces:** Roseann Gonzales, Director, OPSS and Shannon Kerstiens, Manager, Reclamation Manual

**Action item statement from the Managing for Excellence Action Plan:** Revise Reclamation's centralized policy development process to require appropriate incorporation of Secretary's 4Cs, transparency, and value into Reclamation policies, directives and standards. (Page 14.)

#### **Scope Statement from Team 3 Managing for Excellence Project Management Plan:**

Revise Reclamation centralized policy development process to require appropriate incorporation of the Secretary's 4C's; principals of transparency; value-added requirements; and decision making processes in Reclamation Manual (RM) policies and Directives and Standards. Also develop a procedure that will establish the process to be utilized by senior executives to request a waiver from an RM requirement.

**Approach and Methodology:** Stakeholder dissatisfaction has sometimes resulted from perceived lack of centralized policy or its inconsistent application as well as the perceived lack of structured decisionmaking processes. Overall, this effort was undertaken in an effort to improve transparency through more structured decisionmaking and improved communications of policy requirements.

- Requirements for managing the Reclamation Manual (RM) were developed and initially released in 1995 as RM Directives and Standards (D&S), RCD 03-01, *Reclamation's Directives Management System*. Team 3 reviewed RCD 03-01 and determined that revisions were necessary to align the D&S to Reclamation's present organization and operations and, more specifically, insert new requirements that will result in RM products that reflect the objective of transparency through structured decision making and improved communication associated with Reclamation's Managing for Excellence initiative.
- Team 3 determined that, consistent with the purpose of the RM, it would be highly beneficial to include a policy that reflects Reclamation's philosophy and states the broad objectives for establishing Reclamation-wide requirements and operating the RM. No policy to establish and promote these concepts was prepared when the RM was launched, and Team 3 concluded that such a policy would greatly improve understanding of the role, nature, and organizational importance of the RM. Development and release of policy at this time has allowed for incorporation of broad Managing for Excellence requirements that will produce: (1) centrally-developed Reclamation-wide requirements for decentralized implementation; (2) consistent



corporate requirements applied consistently throughout Reclamation; (3) transparency in development and management of requirements; (4) appropriate and beneficial communication with those entities external to Reclamation that may be affected by RM requirements; (5) clear and concise roles and responsibilities and well-defined decision making processes for both developing and applying requirements; and (6) Identification of the value associated with Reclamation Manual products (requirements).

- Team 3 anticipates that, even with active participation of the various Reclamation offices during RM product development, compliance with an RM requirement will not always be possible. Since compliance with RM requirements is mandatory, inability to comply creates a dilemma. Therefore, Team 3 developed a D&S that allows an RLT member who becomes aware of a requirement that cannot be followed due to a unique set of circumstances to request a waiver from that requirement. The D&S states how and by whom that request is reviewed and approved or disapproved. It is envisioned that this process will allow those considering a waiver to understand what can be considered within the waiver process. This process was undertaken with the objectives of promoting transparency through structured decisionmaking and improved communication as the driver.
- Team 3 coordinated with Team 2 (RM on the Internet), Team 4 (Decisionmaking) and Team 5 (Delegations of Authority) during drafting of team deliverables. Given the interconnections between the tasks of Teams 2 and 3 with Teams 4 and 5, considerable consultation and interaction between the Executive Sponsors of the two functional areas took place throughout this process. Teams 2, 4 and 5 and their Executive Sponsors identified requirements related to their Managing for Excellence tasks that should be included in RM policy and D&S. Those requirements related to the policy development process have been included in the attached Team 3 documents.
- All documents were provided to the Reclamation Leadership Team for review. Their comments were addressed. The final documents are attached.

#### Deliverables:

Reclamation Manual Policy: *Mandatory Reclamation-wide Requirements and the Directives System (the Reclamation Manual)*. The purpose of this policy is to establish the responsibilities, processes, and directives system (the Reclamation Manual) for developing and maintaining official written communications that state the requirements that govern programs, procedures, and activities for accomplishing Reclamation's mission. The benefits of this Policy are improved communications and transparency both internally and externally.

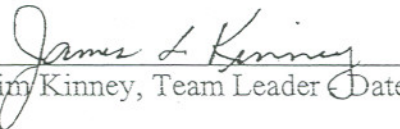
Reclamation Manual Directive and Standard: *Managing the Reclamation Manual*. The purpose of this D&S, which is a revision to a longstanding existing RM D&S, is to establish details for managing the Reclamation Manual as the directives management system for Reclamation and to prescribe a uniform issuance system for Reclamation Manual Releases. The benefits of this Directive and Standard are improved communications and transparency both internally and externally.

Reclamation Manual Directive and Standard: Request for Waiver from a Reclamation Manual Requirement and Approval/Disapproval of the Request. This D&S establishes a process to be used by Reclamation Senior Executives to request a waiver to a Reclamation Manual requirement, and outlines the approval/disapproval process for these waivers. The benefits of this Directive and Standard (D&S) are improved communications and transparency of decisionmaking.

**Final Recommendations:**

Team 3 recommends that the Commissioner direct the Director, Office of Program and Policy Services (OPPS) to release the Team 3 Policy and D&Ss as identified within this memorandum as Temporary Reclamation Manual Releases (TRMR) within 30 days of the date of the Commissioner's approval. As Reclamation operates under these three TRMRs, OPPS should be directed to actively monitor, solicit, and collect comments in preparation for leading the organizational review, revision (as appropriate) and re-release as permanent RM documents, no later than May 31, 2007.

**Submitted by:**

 5/30/06  
Jim Kinney, Team Leader Date

 5/30/06  
Tracy Harlow, Executive Sponsor - Date

 5/30/06  
Larry Todd, Deputy Commissioner, PAB - Date