



U.S. DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING
RECLAMATION AND ENFORCEMENT
DIRECTIVES SYSTEM

Subject Number:

INE-20

Transmittal Number:

787

Date:

JUN 30 1993

Subject: Standard Oversight Sample Inspections

Approval:

Title: Acting Director

1. Purpose. This directive establishes policy and procedures for selecting and implementing the agency's standard oversight sample inspection program in primary States.

2. Summary of Changes.

a. The definition of Standard Sample Inspectable Units has been revised by referencing Directive INE-29 (Inspectable Units Inventory) and by clarifying the scope of those forfeited sites which are excluded from the population of standard oversight sample inspectable units.

b. The substantive change in the reissuance of this directive is the addition of provisions at section 4.a.(2), (3) and (4) which allow Field Offices to reduce the size of the random sample and redirect inspection resources to other oversight priorities.

c. The language of Change Notice INE-20-1 has been added at section 4.b.(5) and has been revised to delete the 3 day advance notice limit allowed to be given to States in identifying the specific standard inspectable unit that will be inspected during a joint inspection.

d. The provisions under 4.b.(2) and (4) have been revised for simplification and clarity.

3. Definitions.

a. Standard Oversight Sample Inspectable Units. All inspectable units contained in the Inspectable Units List required to be maintained under Directive INE-29 except: (1) coal exploration operations; (2) sites where final bond release has been granted; (3) abandoned sites or sites officially in any stage of the bond forfeiture process; and (4) unpermitted sites.

b. Random Sample. A computer generated random sample selected from a population of standard oversight sample inspectable units in which each inspectable unit in the total population has an equal probability of occurrence in the sample.

4. Policy/Procedure.

a. Policy.

(1) Each evaluation year, Field Offices shall generate a random sample from an updated database of standard sample inspectable units. Except as provided under paragraph (2) below, the size of the sample shall be either the number calculated from the formula $n = 384 / (1 + 383/N)$ where N is the total number of standard oversight sample inspectable units for a State, or 50 percent of the total number of standard oversight sample inspectable units, whichever is less.

(2) At their discretion, Field Offices may reduce the size of the sample calculated above by up to 50 percent and redirect those inspection resources then made available as prescribed under paragraph (3) below. However, in all cases a minimum of 50 percent of the number calculated under paragraph (1) above shall be retained as a core random sample in each State. Any reduction of the random sample and redirection of inspection resources shall be fully described in the Field Office annual oversight workplan and must be approved by the Assistant Director for Field Operations.

(3) Inspection resources made available as a result of reducing the random sample under paragraph (2) above shall be redirected towards focused inspections of particular elements of a State program based on State program need and performance. These may be complete or partial inspections and may be stratified by any necessary inspectable unit subpopulation.

(4) Inspections conducted pursuant to paragraph (3) above shall be based on an unbiased sample of inspectable units within any selected subpopulation.

b. Procedures.

(1) Random samples may be selected either once at the beginning of each evaluation year (July 1 - June 30) or at the beginning of each evaluation quarter with the previous quarters selections excluded. In either case, 25 percent of the total sample shall be inspected during each evaluation quarter and to the extent possible, proportionately by month within each quarter.

(2) Field Offices shall ensure that their standard oversight sample inspectable units database from which the sample is selected parallels the State's database, including designation of multi-permit operations.

(3) If any operations excluded from the definition of "standard oversight sample inspectable units" are encountered

during the sampling process, they shall be considered ineligible and replaced by the next unit on the random sample selection list. This may require selection of a few extra units each time a sample is generated.

(4) After generating a random sample, Field Offices may adjust the sampling process only to the extent necessary to ensure that the sample is representative of the true proportions of strata in the inspectable units universe.

(5) Field Offices shall protect the identity of the random sample and schedule joint inspections in a manner which limits advance notice of specific inspectable units to the shortest time possible. This provision does not preclude advance scheduling of joint inspections, but instead, applies only to the identification of the specific inspectable units planned for inspection.

(6) Field Offices shall inform each State regulatory authority that, upon request, a copy of the random sample will be provided at the end of the sampling period with an explanation of methodology used in generating the sample.

5. Reporting Requirements. None.

6. Effect on Other Documents. This directive supersedes Directive INE-20, "Random Sample Oversight Inspections," Transmittal Number 395, dated November 6, 1987, and Change Notice INE-20-1, Transmittal Number 473, dated October 18, 1988.

7. References. Directive INE-23, "Minesite Evaluation and Inspection Report Instructions;" Directive INE-29 "Inspectable Units Inventory;" and Directive REG-8, "Oversight of State Regulatory and State and Tribal Abandoned Mine Reclamation Programs."

8. Effective Date. Evaluation year 1994 beginning July 1, 1993.

9. Contact. Chief, Branch of Inspection and Enforcement, (202) 208-2550.

10. Keywords. Standard oversight sample inspectable units, random sample, stratification.

11. List of Appendices. None.