



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

Subject Number:

INE 20

Transmittal Number:

395

Date: 11/6/87

Subject: Random Sample Oversight Inspections

Approval:

Jed D. Christensen

Title: Director

1. PURPOSE. This directive establishes Field Office procedures for selecting and implementing basic random sample inspections in primary States.

2. DEFINITIONS.

a. Random Sample. A sample selected from a population in a manner where each element in the total population has an equal probability of occurrence in the sample.

b. Random Sampling Inspectable Unit. A surface coal mining and reclamation operation for which an inspection obligation exists under the State program counterpart to 30 CFR 840.11(a) or (b). Such operations may be comprised of single permits or at the discretion of the regulatory authority, may be comprised of a series of contiguous permits (multi-permit operations) issued to the same permittee which for all practical purposes, constitute a single operational unit. Random sampling inspectable units do not include the following types of operations: 1) coal exploration, 2) final bond release, 3) permitted but not commenced, 4) abandoned or in the process of bond forfeiture, and 5) unpermitted (wildcat). (These excluded operations are subject to special studies as appropriate.)

3. POLICY/PROCEDURE.

a. Policy. All Field Offices shall use a random sample computer program to generate a sample from an updated list of random sampling inspectable units each evaluative year. The size of the random sample shall be either the number calculated from the formula $n = 384 / (1 + 383/N)$, where N is the total number of random sampling inspectable units for the entire State, or fifty percent (50%) of the total number of random sampling inspectable units, whichever is less.

b. Procedures.

(1) Random samples may be selected either once at the beginning of each evaluative year (July 1 - June 30) or at the beginning of each evaluative quarter with the previous quarters selections excluded. In either case, one fourth (25%) of the total random sample must be inspected in each evaluative quarter and to the extent possible, proportionately by month within each quarter.

(2) Field Offices shall ensure that their random sampling inspectable units data base from which the sample is selected parallels the State's data base, including designation of multi-permit operations. Where multi-permit operations are treated as single inspectable units for inspection and inspection report purposes, Field Offices should use the same identification number as that used by the State (preferred) or a special reference number or the permit number of the most prominent permit in the group. However, any Federal enforcement or penalty assessment documents resulting from the inspection must be identified by the actual permit number for the area(s) in violation.

(3) If any operations excluded from the definition of "random sampling inspectable unit" are encountered during the sampling process, they should be considered ineligible and replaced by the next unit on the randomized list. This may require selection of a few extra units each time a sample is generated.

(4) After determining the sample size in strict accordance with section 3.a. of this directive, Field Offices may, with the approval of the Assistant Director for Field Operations, adjust the random sample selection process to accurately reflect the proportions of significant strata in the inspectable units universe (e.g. type permit, mine status, east/west coalfields) in order to achieve a representative sample of subpopulations as a part of the overall State program evaluation.

(5) Field Offices shall establish methods to ensure the integrity of the sample and schedule joint inspections in a manner which protects the identity of sampling units for the maximum time reasonably possible.

(6) Each regulatory authority shall be notified that upon request, the Field Office will provide a copy of the random sample list(s) at the end of the sampling period containing the units inspected, the units found ineligible and the reasons, and the methodology used in generating the sample.

4. REPORTING REQUIREMENTS. None.

5. REFERENCES. None.

6. EFFECT ON OTHER DOCUMENTS. Supersedes directive INE-20, Transmittal 319, Statistical Sampling and Inspections, dated February 24, 1987.

7. EFFECTIVE DATE. Upon issuance.

8. CONTACT. Chief, Branch of Inspection and Enforcement, (PTS) 343-4550.