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MEMORANDUM

THE WHITE HOUSE

WASHINGTON

STRATEGIC EVALUATION MEMORANDUM #2

TO: Edwin Meese
FROM: Richard S. Beal
SUBJECT: Comprehensive Evaluation of Phases I and II
DATE: September 4, 1981

This memorandum describes the evaluations proposed for assessing achievements and progress made during Phases I and II on Presidential priorities described in the President's Strategic Plan, and for providing information needed for Phase III decisions. It is critical that the specific Presidential activities planned or considered for the next several months be coordinated with the President's policy agenda, and not solely as reactions to problems and issues raised by others.

With this in mind, a series of thoughtful evaluations should be performed to provide reliable and valid data for decision-making and policy development, and to guide the Phase III policy focus described in Strategic Planning Memorandum #1.

The information derived from each evaluation should aid in coordination of policies consistent with the President's commitments. In addition, the evaluations should help to improve the management of the policy and decision-making processes within the Executive Office of the President. Though Phase II is not over until September 30, 1981, some evaluation results will be due prior to then so as to support early related events. Also, some of the topics that should be evaluated are to be stressed more in Phases III and IV than they have been in Phases I and II. Thus, the results should be useful in Phase III planning and strategy development.

Separate recommendations are made for evaluations that should be performed by OPE and those that should be performed by other organizations or individuals.

Evaluation Topics

A careful review of the Strategic Plan and Strategic Planning Memorandum #1 suggests a broad list of topics for which evaluations should be performed. The topics were selected on the basis of their importance and the need for information about them for Phase III decisions and actions.

Attachment A lists the topics of the evaluations proposed. For each topic the following are suggested:

- o Questions. Each evaluation should provide answers to general or specific questions, e.g., what has been accomplished?, or what actions are needed? Some basic questions about each topic are suggested.

- o Responsibility. An individual or group of individuals should be responsible for the detailed design and completion of each evaluation. Recommendations for lead responsibility on each topic are included.
- o Type Evaluation. Suggestions are made as to the type of evaluation that might be performed for each topic.
- o Product(s). It is important to specify the product(s) intended from each evaluation. Most will be reports, though some will also include briefings.
- o Due Date. Due dates are recommended for each product.
- o Related Events. For each topic, several related events the evaluation may help to shape are indicated.

Types of Evaluations

Four major types of evaluations are proposed. Some are not evaluations in the strictest sense of the term. That is, they do not include the use of "grades", nor do they place blame or criticism on specific individuals or organizations. They do, however, include the use of some rigor in the design and conduct of the project, and in some instances result in findings, conclusions and/or recommendations. The four types are:

1. Strategic Plan Analyses. These are analyses of policy areas, goals, issues and activities referenced in the Strategic Plan. Specific emphasis is on analyzing results or achievements associated with major Presidential priorities, including those stressed in Phases I and II and those planned for Phase III. Strategic Plan Analyses will provide conclusions and recommendations, and are intended to be broader in scope than policy audits, for which more detail is provided below. Methods of inquiry will parallel those used in many program evaluations, and final products will include statements of purpose and scope, brief descriptions of methodology, and listings of findings, conclusions, and recommendations. A wide variety of methods may be employed in performing these analyses. An example report format is included as Attachment B-1.

2. Policy Audits. Policy audits are relatively thorough reviews of specific policies which have been announced and which have proceeded through several stages of implementation. The purpose of a policy audit is to evaluate 1) the activities performed in developing and implementing the policy, and 2) the impact a policy has had. These will be compared against established goals, expectations, and standards. Findings, conclusions, and recommendations will be developed. The primary difference from analyses is that policy audits are much more precise, limited evaluations whose design and execution tightly adhere to an audit plan. An example Policy Audit report format is included as Attachment B-2.

3. Activity Summaries. Activity Summaries are compilations of data and statistics pertaining to major policy areas, goals, issues, activities, policies and strategies. Conclusions or recommendations will not necessarily be included.

The primary purpose of Activities Summaries is to provide supporting data for analyses, policy audits, or surveys; however, they may be used to focus discussion of decisions or actions under consideration. An attempt will be made to keep Activity Summaries relatively "value free", that is, they will be rid of bias to the degree possible. An example Activity Summary report format is included as Attachment B-3.

4. Surveys. Surveys are interviews or questionnaires administered to individuals carefully selected for their knowledge or importance to one or more Presidential policy areas, goals, activities, issues, policies or strategies. Surveys will employ standard methods in their design and execution. The purpose is to collect and display information that reflects subjective views on results of decisions and actions. These data will be useful in discussion and decision-making on future strategies. Surveys will ordinarily include interpretations and analyses, as well as suggestions as to how the findings should be treated and used. An example Survey report format is included as Attachment B-4.

These four categories should enhance selection of the most appropriate evaluation method from among relatively differing methods. While other methods are available, one of these four should satisfy the needs currently envisioned. Attachments B-1 through B-4 contain suggested outlines of the four types of evaluations.

Balance

There should be some balance between evaluations of the President's "proactive" agenda and those of the "reactive" strategies and actions required in response to unplanned agenda items. There should also be a balance among evaluations of policies handled by various processes, e.g., Cabinet Councils, Task Forces, White House staff, departments and agencies, Presidential Commissions, etc.

OPE Role

OPE will perform selected evaluations, and will manage or participate in others. The following are areas in which OPE can assist:

1. Selection and management of an evaluation team
2. Selection of evaluation methods
3. Identification of expected results
4. Determination of data indicators
5. Data collection methods
6. Analytic or processing techniques
7. Presentation formats
8. Scheduling

Phase III Policy Review

Most of the evaluations should be completed by the beginning of Phase III on October 1, 1981, with all completed by October 31, 1981. A Phase III Policy Review Meeting of White House Senior Staff should be held on October 31 with a follow-up meeting with the President and others during the second week of November 1981. The purpose of the Phase III Policy Review is to develop policies prior to the President's Fall review of agency and OMB budget recommendations, and the framing of the FY 1983-86 budget message.

The results of evaluations should contribute valuable information, recommendations and structure to the policy and decision-making processes for Phases III and IV. All evaluation topics are consistent with the Strategic Plan and Strategic Planning Memorandum #1.

Recommendations

1. It is recommended that the inventory of topics in Attachment A be reviewed, and a number of them selected and assigned for completion. OPE specifically recommends policy audits of the following:

- Immigration
- Social Security
- Clean Air
- Thrift Industry

These were selected because different "tracks" were used for their development and implementation. The evaluations (audits) should provide valuable information on policy problems encountered and means for avoiding future difficulties. OPE will assist in the design and/or management of these policy audits if desired.

2. It is recommended that OPE conduct evaluations of the following:

- Cabinet Council Processes
- Coalitions in the House of Representatives
- Foreign Visits
- State-of-the-Union Addresses and Messages

Separate evaluation plans will be prepared for each of these, and results will be provided in special reports.

ATTACHMENT A

INVENTORY OF PROPOSED STRATEGIC EVALUATIONS

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
ECONOMIC RECOVERY	Overall what have we accomplished? What economic indicators are we most concerned about? What management and strategy changes are needed?	Cabinet Council on Economic Affairs	Policy Audit	Report for the President	9/15	-Presidential address of 9/81 -FY 83 Budget Fall Review -Phase III Policy Review -State-of-the-Union message 1/82
EFFORTS TO REDUCE GROWTH OF FEDERAL BUDGET	What reductions have been achieved? What reductions are still required/possible? What has been the impact of reductions?	OMB Director	Policy Audit	Report for the President (through the Cabinet Council on Economic Affairs)	9/15	-Presidential address of 9/81 -FY 83 Budget Fall Review -Phase III Policy Review -FY 83 Budget Message -State-of-the-Union message 1/82
EFFORTS TO REDUCE THE REGULATORY BURDEN	What regulations have been reduced? What is the nature and possible savings of reductions achieved? What other reductions are required/planned?	Vice-President	Policy Audit	Report for the President (through the Cabinet Council on Commerce and Trade)	9/15	-Vice-Presidential status reports -Phase III Policy Review -State-of-the-Union message 1/82
EFFORTS TO REDUCE TAX RATES	What has been the impact of the tax cut efforts thus far? What are the next steps? What indicators must we watch?	Secretary of Treasury	Policy Audit	Report for the President (through the Cabinet Council on Economic Affairs)	9/15	-Presidential address of 9/81 -FY 83 Budget Fall Review -Phase III Policy Review -State-of-the-Union message 1/82

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
EFFORTS TO STABILIZE MONEY SUPPLY	What actions have been taken? What actions are required? What indicators must we watch?	Council of Economic Advisors	Policy Audit	Report for the Cabinet Council on Economic Affairs	9/15	-Presidential address of 9/81 -FY 83 Budget Fall Review
EFFORTS TO REDUCE WASTE AND FRAUD	What results have been achieved? What problems have been experienced? What further actions are needed?	OMB Deputy Director	Policy Audit	Report for the Cabinet Council on Economic Affairs	9/15	-Presidential address of 9/81 -Appointments/Reports of Inspectors General
MILITARY DEFENSE STRENGTHENING	What major actions have been taken? What are the primary military threats? What major decisions are planned/needed?	NSC Staff & Department of Defense	Strategic Plan Analysis	Report for the President/ Briefing for the NSC	10/1	-Major weapons decisions and announcements in Fall -Various meetings with foreign leaders, e.g. Haig-Gromyko -1983 Budget Fall Review -Phase III Policy Review -State-of-the-Union message 1/82
FOREIGN POLICY CONSISTENCY	What policies and general functions have been set in motion? What are the major foreign policy problems/issues? What major decisions are planned/needed?	NSC Staff & Secretary of State	Strategic Plan Analysis	Report for the President/ Briefing for the NSC	10/1	-Foreign Visits to U.S. -Meetings with foreign leaders -1983 Budget Fall Review -Phase III Policy Review -State-of-the-Union message 1/82

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
DOMESTIC DEFENSE STRENGTHENING	What types of emergencies/disasters are most likely? What actions/policies are needed?	FEMA Director	Strategic Plan Analysis	Report for the President/ Briefing for the NSC	10/1	-1983 Budget Fall Review -Phase III Policy Review
COMMUNITY SELF-RENEWAL AND ENTERPRISE ZONES	What actions have we taken to develop this policy? What should be our strategy for further development and announcement?	Cabinet Council on Commerce and Trade	Policy Audit	Report for the President	10/1	-Congressional action on Kemp-Garcia -1983 Budget Fall Review -Phase III Policy Review
AUTO IMPORTS AND THE AUTO INDUSTRY	How well is the policy working? What strategy changes are needed?	Cabinet Council on Commerce and Trade	Policy Audit	Report for the Cabinet Council on Commerce and Trade	10/1	-Presidential address of 12/81 -Phase III Policy Review -Report of Auto Industry Task Force
REAGAN FEDERALISM	What actions have been taken? How are States and local governments reacting? What additional strategies are needed?	Cabinet Council on Human Resources	Policy Audit	Report for the Cabinet Council on Human Resources	10/1	-1983 Budget Fall Review -Phase III Policy Review -Presidential address 10/81 -Report(s) of Advisory Committee on Federalism -Fall meetings with State/local government officials -State-of-the-Union message 1/82
VOLUNTEERISM	What progress have we made on development of a policy? What problems are anticipated with policy options? What strategies should be pursued?	OPD	Policy Audit	Report for the President	9/15	-Presidential address 9/81 or 10/81 -Phase III Policy Review

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
VIOLENT CRIME	What have been the reactions to the Task Force report? What actions/policy should be pursued?	OPD & Attorney General	Policy Audit	Report for the President	9/15	-Phase III Policy Review -Presidential address 9/29/81 -National Indicators System Briefing 9/16/81 -Further Task Force Reports
IMMIGRATION	What have been the reactions to the policy thus far? What changes of strategy should occur?	OPD	Policy Audit	Report for the President	9/15	-Phase III Policy Review -FY 83 Budget Fall Review
DRUG ABUSE INTERDICTION/EDUCATION	What progress is being made on development of a policy? What actions should be taken?	OPD	Policy Audit	Report for the President	9/15	-Presidential address 9/29/81 -Phase III Policy Review -Reorganization of Drug Policy Office
SYNFUELS	What have been the reactions to the announcements thus far? What actions should the Synfuels Corp. take?	OPD	Policy Audit	Report for the Cabinet Council on Natural Resources and the Environment	9/15	-Phase III Policy Review -National Energy Policy Announcement -FY 83 Budget Fall Review
CLEAN AIR	What have been the reactions to the proposed amendments to the Clean Air Act? What actions should be taken?	OPD	Analysis	Report for the Cabinet Council on Natural Resources and the Environment	9/15	-Phase III Policy Review -Clean Air Act Amendments -FY 83 Budget Fall Review -State-of-the-Union message 1/82
NATURAL GAS DECONTROL	What have been the reactions to natural gas deregulation considerations? What additional steps should be taken?	OPD	Analysis	Report for the Cabinet Council on Natural Resources and the Environment	9/15	-Phase III Policy Review -Vice President's Status Reports on Regulatory Relief -FY 83 Budget Fall Review

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
DAIRY PRICE SUPPORTS	What have been the reactions to the supports provided? What indicators should we watch?	OPD	Policy Audit	Report for the Cabinet Council on Food and Agriculture	10/1	-Phase III Policy Review -Farm Bill Action -FY 83 Budget Fall Review
GRAIN EMBARGO	What results/reactions have been recorded? What follow-up is needed?	OPD	Policy Audit	Report for the Cabinet Council on Food and Agriculture	10/1	-Phase III Policy Review -Results of Grain Embargo Talks -FY 83 Budget Fall Review
FARM PRICE SUPPORTS	What has been achieved? What should be done?	OPD	Policy Audit	Report for the Cabinet Council on Food and Agriculture	9/15	-Phase III Policy Review -Farm Bill Action -FY 83 Budget Fall Review
REDUCING FINANCIAL PROBLEMS OF SOCIAL SECURITY	What have been the real reactions by various individuals and groups? What actions should be taken?	Cabinet Council on Human Resources	Policy Audit	Report for the President	10/1	-Presidential Address 10/81 -Phase III Policy Review -FY 83 Budget Fall Review -Introduction of Legislation 10/81 -Status Review 12/81
REDUCING FINANCIAL PROBLEMS OF HOUSING	What progress has been made by the Commission? What pressures exist for early action?	OPD	Policy Audit	Report for the President	10/30	-Phase III Policy Review -FY 83 Budget Fall Review -Report(s) of Presidential Commission on Housing
REDUCING FINANCIAL PROBLEMS OF HEALTH CARE	What major problems exist throughout the health care field? What specific policies are needed?	Cabinet Council on Human Resources	Policy Audit	Report for the President	10/1	-Presidential Address 10/81 -Phase III Policy Review -FY 83 Budget Fall Review

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
UNEMPLOYMENT REDUCTION	What results have been noted in the past year? What actions/policies are needed? What indicators should be watched?	Cabinet Council on Human Resources	Policy Audit	Report for the President	10/1	-Phase III Policy Review -FY 83 Budget Fall Review
REDUCTION OF WELFARE DEPENDENCY	What have been the reactions to program changes thus far? What should be watched?	Cabinet Council on Human Resources	Policy Audit	Report for the President	10/1	-Phase III Policy Review -FY 83 Budget Fall Review
IMPROVEMENT OF PERSONAL SAFETY	What are the concerns and pressures over public safety? What policies should be developed?	Attorney General	Strategic Plan Analysis	Report for the President	9/15	-Presidential address 9/29/81 -Phase III Policy Review -State-of-the-Union message 1/82
BUSINESS/INDUSTRY MODERNIZATION	What are the problems that need special attention? What policies should be developed?	Cabinet Council on Commerce and Trade	Strategic Plan Analysis	Report for the Cabinet Council on Commerce and Trade	10/15	-Phase III Policy Review -FY 83 Budget Fall Review
IMPROVEMENT IN THE WORK-FORCE	What problems exist? What strategies are best? What results should be anticipated?	Secretary of Labor	Strategic Plan Analysis	Report for the President	9/15	-Phase III Policy Review -Report(s) of Productivity Advisory Committee -FY 83 Budget Fall Review

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
AVAILABILITY OF NATURAL RESOURCES	What concerns or pressures exist? What overall strategies are suggested? What results should be anticipated?	Secretary of Interior	Strategic Plan Analysis	Report for the President	10/15	-Phase III Policy Review -FY 83 Budget Fall Review
AVAILABILITY OF FOOD	What are the major problems? What results can be anticipated? What strategies are appropriate?	Secretary of Agriculture	Strategic Plan Analysis	Report for the President	10/15	-Phase III Policy Review -FY 83 Budget Fall Review
AVAILABILITY OF ENERGY	What have been the reactions to policies/actions thus far? What actions are needed? What results should be anticipated?	Secretary of Energy	Strategic Plan Analysis	Report for the President	10/15	-Phase III Policy Review -FY 83 Budget Fall Review
IMPROVEMENT OF GOVERNMENT MANAGEMENT	What are the specific problems? What results should be anticipated?	Full Cabinet	Strategic Plan Analysis	Report for the President	10/15	-Phase III Policy Review
AMERICAN VALUES	What values does the President wish to promote? How should this be done?	Senior White House Staff	Survey	Report for the President	10/15	-Phase III Policy Review -Presidential Addresses 11/81 and 12/81

TOPIC	SOME QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
CABINET COUNCIL PROCESSES	How helpful are Cabinet Councils? What changes are needed?	OPE & OCA	Strategic Plan Analysis	SEM	10/1	-Phase III Policy Review
STRATEGIC PLAN	How are we doing relative to the goals in the Strategic Plan?	OPE	Survey	SEM	10/15	-Phase III Policy Review
STATE-OF-THE-UNION MESSAGES	What have been in previous addresses and messages? What should the President include?	OPE Speech-writing	Summary Analysis	SEM Speech	9/15 1/10/82	-Phase III Policy Review -State-of-the-Union Message
WHITE HOUSE DELEGATION OF STAFF ASSIGNMENTS	What problems exist? What changes are needed?	Deputy Counsellor	Survey	Report to Counsellor and Chief of Staff	10/15	-Phase III Policy Review
TIMELINESS OF WHITE HOUSE DECISIONS	What problems exist? What changes are needed?	OCA	Survey	Report to the Counsellor and Chief of Staff	10/15	-Phase III Policy Review
IMAGE OF PRESIDENT'S STAFF	What are the images held by various groups? What needs to be done?	Deputy Counsellor	Survey	Report to the Counsellor and Chief of Staff	10/15	-Phase III Policy Review
WHITE HOUSE STAFF ORGANIZATION	What are the strengths and weaknesses of the current organization structure? What changes should be made?	Deputy Counsellor	Survey	Report to the Counsellor and Chief of Staff	10/15	-Phase III Policy Review

TOPIC	QUESTION(S)	RESPONSIBILITY	TYPE EVALUATION	PRODUCT(S)	1981 DUE DATE	RELATED FUTURE EVENTS
READINESS FOR POLICY IMPLEMEN- TATION	Are departments and agencies prepared to implement the President's policies? What improvements, if any, are needed?	Deputy Director OMB	Survey	Report to the Counsellor and Chief of Staff	10/15	-Phase III Policy Review
COALITIONS IN THE HOUSE OF REPRESENTATIVES	What have we learned about the House members voting preferences? How can we effectively use this information to develop needed coalitions?	OPE	Summary	Report to the Counsellor and Chief of Staff	10/15	-Phase III Policy Review -House votes in the Fall
FOREIGN VISITS	What patterns have evolved? What visits should be encouraged?	OPE	Summary	Report to the Counsellor and Chief of Staff	10/1	-Phase III Policy Review -Visits of Foreign Leaders

(UNCLASSIFIED/SENSITIVE)

(Date)

Attachment B-1

(Topic)

A Strategic Plan Analysis

by

(Individual or Organization Performing the Analysis)

Executive Summary

(A brief summary of the purpose and scope of the evaluation, the method(s) used, and the findings, conclusions and recommendations).

Purpose and Scope

(A background statement of the issue(s) and problems(s) addressed, and the key question(s) answered by the evaluation).

Methodology

(A brief review, if appropriate, of the method(s) used in the evaluation. This will only be needed if the method(s) is unique or at issue).

Findings and Conclusions

(Brief statements or listings of what was found (facts), and what can be concluded from these findings (opinions).

Recommendations

(Brief statements or listings of the individuals or organization's recommendations for decision and/or action).

(Date)

Attachment B-2

(Topic)

A Policy Audit

by

(Individual or Organization Performing the Audit)

Executive Summary

(A brief summary of the policy, the applicable goals, expectations, and standards, the method(s) used and the findings, conclusions and recommendations).

Policy Brief

(A background statement about the policy being audited).

Policy Intent

(A statement of the original goals and expectations the policy was intended to accomplish).

Policy Implementation

(A statement of the activities and standards followed in implementation of the policy).

Methods

(A review of the methods used to audit the policy, including data definitions, collection schedules, comparative analytic techniques and formats, and criteria for drawing of conclusions).

Findings and Conclusions

(Brief statements or listings of what was found (facts), and what can be concluded from these findings (opinions)).

Recommendations

(Statements or listings of recommendations regarding policy modifications).

(UNCLASSIFIED/SENSITIVE)

(Date)

Attachment B-3

(Topic)

A Summary of Activities

by

(Individual or Organization Compiling the Summary)

Introduction

(A brief statement of the purpose and scope of the Summary).

Highlights

(A listing of the key points that should be made about the summary data).

Summary Data

(Presentations of the raw and/or statistical data, in such forms as tables, charts, graphs, etc.).

(Date)

Attachment B-4)

(Topic)

A Survey

by

(Individual or Organization Compiling the Survey)

Introduction

(A statement of the purpose and scope of the Survey).

Key Results

(A listing of the key results of the Survey, using narrative and limited numerical data).

Survey Findings

(Presentation in tabular or other formats of the raw and/or statistical data obtained by the Survey).

Survey Methods

(A description of Survey and analytic techniques, instruments, and general methods used).