FHWA Missouri Division & Missouri Department of Transportation

Joint Program Review Guidelines

July 2012

Introduction

To improve the FHWA and MoDOT joint program review process, we are providing the following guidelines to capture the responsibilities of the involved individuals and the procedures to complete the program review process. We believe this document will improve the quality of our joint reviews by providing our staff with the information required for planning, conducting, and writing effective reviews. We believe this program provides opportunities to enhance professional development, network with team members, and improve the overall quality of Missouri's transportation system.

The purpose of the FHWA/MoDOT joint review program is to manage Missouri transportation risks, identify and select areas for review and improvement, and build relationships with our FHWA/MoDOT partners. FHWA is required to conduct these program reviews and we will continue the joint process in a collaborative effort with MoDOT. In some instances, a joint review may not be feasible and may only be conducted by FHWA.

A flow chart of the review process (Appendix A) is included in this document. Flexibility of these guidelines is necessary because many action items vary depending on the topic of the review. The flow chart outlines the relationship in the risk assessment and the program reviews.

Defining Program/ Process Reviews

Purpose of Review Program
Program and process reviews are essential to identify continuous improvement methods and efficiencies. These reviews help provide both FHWA and MoDOT the reasonable assurance that processes and programs are working as intended.

When would you do a review?
- When there are uncertainties as to how well a program or process is working
- When there are review recommendations resulting from a risk assessment
- When the end product has deficiencies or something of similar nature
- When the review might provide continuous improvement because of recent changes in methods, equipment or other management changes

Program Review
A comprehensive review and evaluation of an agency's organization, policies, procedures and operating practices that are used to perform a particular aspect of the Federal-aid highway program. The acceptability and effectiveness of the program is always determined by an investigation/evaluation of samples of the end product of the program.

Program reviews have two primary purposes – 1) validating processes and procedures for efficiency and/or compliance with program requirements, and 2) analyzing and solving problem areas that were identified by the investigation. The implementation of the recommendations should result in continuous process improvement.

Program reviews should always result in:
- Validation that processes are working as intended
- Enhanced quality of the end product
- Improved cost effectiveness of the end product
- Reduced staff time or steps necessary to complete the program
- Reduced risk

Process Review
A process review has the same definition as above but on a much smaller scale. These reviews analyze in detail one process of an overall program. Process reviews are conducted statewide involving both districts/divisions. These are usually a more detailed oriented review of one or more aspects of an overall program. A process review examines one part of a process and the details of that part of the program. These reviews chart the process and determine opportunities to more efficiently and effectively produce process outputs. A program review may include a comprehensive evaluation of the entire program to ensure all parts and management controls are effectively performed; but not analyzing in detail the individual processes of each segment.

Topic Selection

Reviews will first be determined by joint analysis and recommendation for top risk strategies. FHWA and MoDOT personnel should submit topics to either of the review program coordinators. These submittals should consist of a briefing (one or two paragraphs) explaining why the topic should be chosen, an example of any specific incidences for correction, and what outputs are anticipated from the review (specification change, new policy, new product, etc.). Prior to the FHWA and MoDOT annual topic selection meeting, FHWA Team Leaders or program managers will discuss the proposed topics and provide feedback to management on the recommended review activities at one of the Leadership Team Meetings. The review program coordinators should distribute the list of potential topics (with briefings) to MoDOT and FHWA management prior to the annual topic selection meeting. This will allow for better preparation and evaluation of topics and will eliminate some of the "on-the-spot" decision making.

Both FHWA and MoDOT program managers should be gathering information for program review topics throughout the year. This may be done through analyzing their program's partnering agreement program performance measures, review and inspection findings, and any additional tracked items.

Final topic selection should be based on consensus of both FHWA and MoDOT management. FHWA and MoDOT's workload will be considered when reviews are chosen. Our expectations are that at least three program reviews are conducted yearly.

Sponsors/Team Selection/Responsibilities

Each review will have a FHWA and MoDOT sponsor. The sponsors are responsible for reviewing and approving the review charter, work plan, and draft and final reports. The sponsors should be invited to the exit conference and are required to approve and *sign the final report* before submission. (Note: The review template does not provide a place for FHWA and State signatures, but this *should* be included in the report.) Communication with the sponsor should occur continuously throughout the review.

FHWA and MoDOT review team leaders should have substantial knowledge in the review area. No individual should be a team leader on more than one review per year. It is the responsibility of the review team leaders to periodically update sponsors, to organize the review, and to keep the review on track and within scope.

The MoDOT team leader should be selected as a central point of contact for MoDOT and should provide guidance on the direction that the Central Office wants to take with the review. Communication between the FHWA and MoDOT team leaders is essential to the review process. These leaders should stay in continual contact throughout the review to ensure the review stays on track.

Teams should be selected shortly after the topic selection meeting in order to include the reviews as part of the Division's performance plan. Representation by FHWA and MoDOT has proven to be very beneficial in past reviews, including those members not working in that specific program area.

Generally, two or three FHWA staff with two or three MoDOT staff should make up a review team. District personnel should be considered for inclusion as well. Efforts should be made to ensure that all affected MoDOT program managers are represented on the teams and additional team members could be included for specific tasks throughout the review if necessary. FHWA management should be responsible for assigning the FHWA review team leaders and team members, with individual interest taken into account. MoDOT leadership should be responsible for selecting the MoDOT team leaders and team members and may solicit input from the FHWA review team leader.

Kicking Off the Review

The first step in planning for a review is to perform a search of any existing review files that may be used or modified. This includes prior FHWA reviews which can easily be viewed in the Review SharePoint site. Next, the teams should develop their team charters and work plans. These documents describe the review's objectives and provide a schedule for the team. These should be reviewed and approved by the sponsors.

Each year FHWA will coordinate a kick-off meeting for the performance year's program reviews. At this meeting, teams will meet with their sponsors to review their developed charters and work plans. This meeting also provides the team an opportunity to meet other team members and to finalize the plan for conducting the review.

Purpose and Objective

The development of a purpose and objective is very important in defining a review. As discussed above (in "Topic Selection"), a briefing should accompany a topic suggested for review which provides a description of the objective, an example of any specific incidences for correction, and the intention of the suggested review. This briefing will serve as the framework for the development of the purpose and scope.

In addition to the topic briefing, additional discussions held at the annual review topic selection meeting should provide a substantial basis for the program review team to establish a purpose and scope. If the team believes it is necessary to deviate from the intended purpose and scope identified through the topic briefing and the topic selection meeting, the team should meet with the review sponsors prior to proceeding. The review team should develop a finalized "Purpose" which clearly states the objective(s) of the review. If the review includes a specific issue for improvement, the purpose should include background information and desired changes.

Scope and Methodology

The scope of the review should generally include the number of Districts involved, the number of projects to be reviewed, and the specific action items (key steps in the process) to be reviewed in each District. The number of Districts reviewed should be three or four; however, this also depends on the topic of the review. The review teams should consider informally collecting key information from as many other Districts as possible. Whether the team will conduct an on-site visit, review on-line documentation, etc. the methodology should be noted. This can be done through telephone conversations and brief office visits. Efforts should be made to ensure that no particular District is overburdened with too many reviews while other Districts do not get reviewed at all.

Entrance/Exit Meeting

To coordinate with Districts, entrance and exit meetings are highly recommended in order to alert District management of the team's presence in the District and to explain the purpose and scope of the review. During this entrance meeting, a tentative time should be established for conducting the close-out meeting. If the District Engineer is not available for an entrance meeting, it is important to at least inform him/her of the review team's presence in the District. The exit meeting should cover all the observations/findings the team made during the review. During the close-out meeting, the team should discuss which observations are isolated incidences (i.e., occurred on only one project), which observations were found to occur only in that District, and which observations are of statewide concern and will be included in the statewide report.

Final Report

The purpose of a final report is to summarize the results of the review, document statewide observations found in the Districts, and document the resolutions discussed at the close-out meeting. Observations in the report can be either areas of successful practice or needs improvement. The review team should provide recommendations in the report that will resolve or improve the documented observations. The report also serves as an avenue to share "successful practices" in Missouri as well as from other states, if applicable.

The newly developed standard reporting form should be used for the final report. Final reports can often get to be fairly lengthy documents. Therefore, there is a need and a clearly expressed desire to provide an executive summary of the review. The executive summary should be concise and should provide information including purpose, objectives, scope, major observations, and recommendations.

Observations in a final report should be arranged in order of priority and significance. If the team considers an observation to be significant, it should be reported and addressed. There is no maximum number of observations in a report. All observations should include the condition, criteria, cause, and effect of each finding.

The format of the final report should be standardized as much as possible as outlined in the Appendices. Using the new standard reporting form, the report should include the following in this recommended order:

1. Title of Review
2. Executive Summary
3. Background
4. Purpose and Objective
3. Scope and Methodology
4. Team Members
5. Observations, including “Best Practices,” in order of significance - each observation should have a recommendation
7. Conclusion with Action/Implementation Plan
8. Appendices (supporting documentation, example specifications, graphs, photos, etc.)

Finally, the final report should be transmitted to the team sponsors, members, and FHWA’s PMA. FHWA’s PMA will forward the report to MoDOT Audit and Investigations Audits Manager. FHWA’s PMA will post the report to the FHWA’s review tracker.

Follow-up to Review Observations

A high-quality review requires follow-up on observations to ensure that all resolutions to recommendations are implemented. Many times in the past, the resolutions reached at the statewide close-out meeting were not aggressively pursued and, ultimately, many actions were not implemented because of the lack of follow-up.

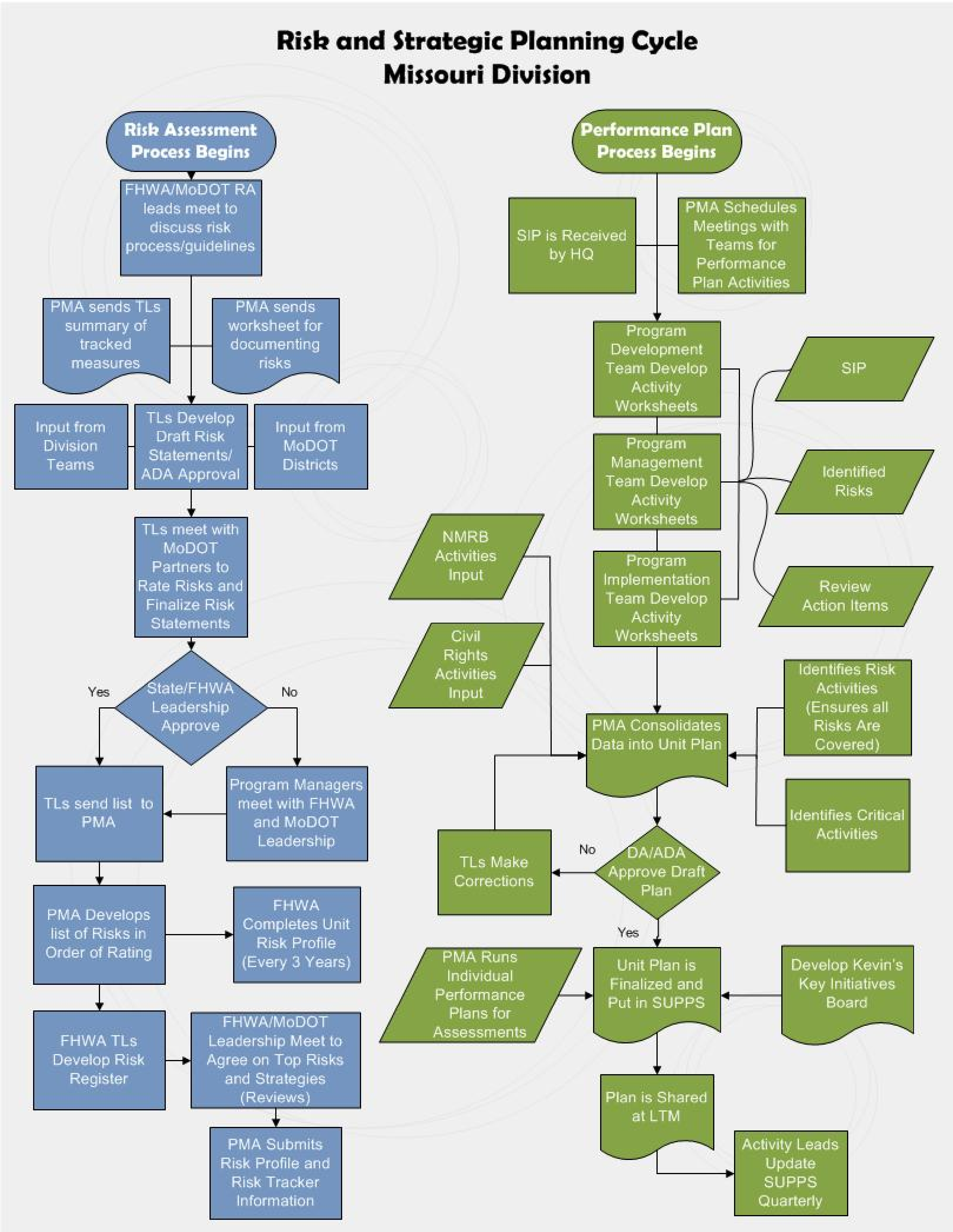
A key to ensuring adequate follow-up to review recommendations is the implementation of a comprehensive tracking system. All review recommendations should be recorded in the new FHWA tracking system. This process will allow the accessibility of reports for unresolved action items. It is up to the FHWA DA/ADA as to whether the review should be published, available for viewing by the public. If the report is not published, the recommendations should still be recorded. The FHWA Program Coordinator will then enter it into the agency’s new tracking system.

The following link provides the memorandum, guidelines, and template for writing FHWA program reviews as provided in the appendix.
https://one.dot.gov/fhwa/ProgramReview/default.aspx

APPENDICES

- **A.** MO Division Risk and Strategic Planning Cycle Flow Chart
- **B.** Program Review Report Template Memorandum
- **C.** Review Team Charter Template
- **D.** Review Work Plan Template
- **E.** Program Review Report Style Guidelines
- **F.** Program Review Report Template

A. MO Division Risk and Strategic Planning Cycle Flow Chart



B. Program Review Report Template Memorandum

U.S. Department of Transportation
Federal Highway Administration

Memorandum

SENT VIA ELECTRONIC EMAIL

Subject: **ACTION:** Program Review Report Template

Date: September 30, 2009

From: Christine Johnson
On Behalf of the Directors of
Field Services

In Reply Refer To: DFS-WE/PMIT

To: Division Administrators

The purpose of this memorandum is to transmit a new Program Review Report Template and accompanying Writing and Style Guide for use when documenting significant program reviews in Division Offices. We expect all Division Offices will begin using this Report Template beginning January 1st 2010.

The report template was developed with the intent of improving the consistency and quality of final review reports within FHWA. However, we are also trying to allow flexibility to the Division Offices where necessary. You may make minor modifications to the template if necessary, but we ask that the cover page and the layout of the major sections within the report be used as provided.

Upon completion, we continue to ask that all final program reviews are to be submitted to the Program Review mailbox http://rc.fhwa.dot.gov/processreviews/index.cfm for uploading to the Program Review Library.

Attachment

cc: HOA-1, HOA-3
Associate Administrators
Chief Counsel
Chief Financial Officer
Directors of Field Services
Resource Center Director

MOVING THE
AMERICAN
ECONOMY

C. Review Team Charter Template

<table>
<tr><th colspan="6">Review Team Charter</th></tr>
<tr><td colspan="6">Review Subject:</td></tr>
<tr><td colspan="6">What are we reviewing?</td></tr>
<tr><td colspan="6">Target Audience:</td></tr>
<tr><td colspan="6">Who could implement the review recommendations?</td></tr>
<tr><td colspan="6">Purpose of Review:</td></tr>
<tr><td colspan="6">What are the issues that led you to do this review, if any?

A. Why are we doing the review?
List the reasons for the review. Some possible ones are: high risk area, follow-up review, successful practice, peer review, improve a program, required by regulation or policy, OIG complaint, etc.

B. What does the audience want to know (or what do we want the user to know)?
Answer the question here.

C. When the audience finds out, what will they do (or what do we want them to do)?
Answer the question here.</td></tr>
<tr><td colspan="6">Scope of Review:</td></tr>
<tr><td colspan="6">At this early stage of the review, what it the scope of the review? What are the parameters or limits of the review? What is the time period that our review will cover, e.g. how far back are we going to go with our document review?</td></tr>
<tr><td colspan="6">Review Objective(s):</td></tr>
<tr><td colspan="6">What are the questions we need to answer about the subject? What are we trying to accomplish with this review? Use "to determine" or a similar format for your objective statements. In general, your objectives should include the subject, a means for identifying its existing condition and the criteria. An example is "To determine if the DOT Highway Bridge Program is fiscally constrained within the STIP as required by 23 CFR 450.216(m)." When possible, indicate in your objective whether you will be identifying cause and effect.</td></tr>
<tr><td colspan="6">Team Leader(s):</td></tr>
<tr><td colspan="6">Who is the team leader?</td></tr>
<tr><td colspan="6">Team Members:</td></tr>
<tr><td colspan="2">Who are the team members? Type the names in this and the following blanks.</td><td colspan="2">Insert name.</td><td colspan="2">Insert name.</td></tr>
<tr><td colspan="2">Insert name.</td><td colspan="2">Insert name.</td><td colspan="2">Insert name.</td></tr>
<tr><td colspan="6">Team Sponsor(s):</td></tr>
<tr><td colspan="6">Who is the team sponsor?</td></tr>
<tr><td colspan="6">Budget:</td></tr>
<tr><td colspan="6">What is the budget for this review?</td></tr>
<tr><td>Time Frame:</td><td>How long is the review going to take?</td><td>Starting Date:</td><td>What is the starting date?</td><td>Estimated Completion Date:</td><td>What is the estimated completion date?</td></tr>
<tr><td colspan="6">Potential Constraints:</td></tr>
<tr><td colspan="6">What are possible roadblocks and other restraining forces that the team might encounter during the review?</td></tr>
<tr><td colspan="6">Timing of Progress Reports:</td></tr>
<tr><td colspan="6">How often does the sponsor want progress reports?</td></tr>
<tr><td colspan="6">Sponsor Signature and Date:</td></tr>
<tr><td colspan="6">By signing and dating the Charter, the Sponsor indicates approval of it as written.</td></tr>
</table>

D. Review Work Plan Template

Review Plan

Review Subject:
What are we reviewing? Copy the information from the first block in the charter.
Purpose of Review:
Why are you doing the review? Summarize the information from the charter here.
Scope of Review:
What is the scope? What locations are you going to visit? Who are you going to interview? What data are you reviewing? As the team completes the data collection and schedule, you will want to clarify the scope beyond the information in the charter.

Team Member	Title, Office	Role	Time Commitment
Team member	Member title & office	Role on review team	How much time can this member devote to the review?
Team member	Team member	Team member	Team member
Team member	Team member	Team member	Team member
Team member	Team member	Team member	Team member
Team member	Team member	Team member	Team member
Team member	Team member	Team member	Team member
Team member	Team member	Team member	Team member

Resources:	
Dollars	What is the budget for the review? (See Charter.)
Advisor/Expertise Available	Who, besides the members of the team, could provide additional expertise or assistance with the topic?
Stakeholders	Who are the people that may have an interest in the outcome of the review or may be affected by it?
Equipment	What type of specialized equipment or software, if any, will you need to conduct the review? (The team likely will complete this block after determining the data collection methods.)

Information Data Collection

Objectives/Sub-Objectives	Data Needed	Source of Data	Method to Collect
What are your objectives? What are your sub-objectives, if any? (Enter those from the Charter here.)	What data do you need to answer the question framed in the review objectives or sub-objectives?	From where will the team get the data?	How will the team collect the data?
To determine if the DOT Highway Bridge Program is fiscally constrained within the STIP as required by 23 CFR 450.216(m).[*]	STIP Programmed Funds, Annual Apportionments, Unobligated Funds	Documentation: STIP, Apportionment Tables, FMIS	Review STIP and Apportionment Tables, pull unobligated funds from FMIS
Next objective.	Data needed.	Data source.	Collection method.
Next objective.	Data needed.	Data source.	Collection method.
Next objective.	Data needed.	Data source.	Collection method.
Next objective.	Data needed.	Data source.	Collection method.
Next objective.	Data needed.	Data source.	Collection method.

Review Schedule

Activity	Responsible Team Member	Due Date
What is the first activity the team needs to do to complete the review?	Who will do this activity?	What is the due date for the activity?
Next activity.	Responsible Person.	Due date.
Next activity.	Responsible Person.	Due date.
Next activity.	Responsible Person.	Due date.
Next activity.	Responsible Person.	Due date.
Next activity.	Responsible Person.	Due date.

[*] This row shows an example of how to complete the Information Data Collection section of the plan.

E. Program Review Report Style Guidelines

Program Review Template
Writing and Style Guide

September 2009

Program Review Style Guide

This is a guide to using the Program Review Report Template. The intent of the template and style guide is to increase consistency with different office's program reviews, make them easier for readers to find information and simple for users to create a professional-looking document. There is some flexibility within the template that allows you to customize the document while still creating a report that is consistent with the look and feel of all of the rest.

Recommended Format

Layout

- Please do not change headings, the order of the sections of the report, headers and footers, title fonts or sizes, or page margins.
- You may use more than one page for each section if necessary.
- Start each section as a separate page. Leave white space if a section does not fill the page and begin the next section on the following page.
- Titles should remain at the top of each section.

Text

- Text should use the Arial 12-point font.
- Use single-spaced lines within a paragraph.

Paragraphs

- Paragraphs should all be left justified.
- Paragraphs should not have first-line indents.
- Separate paragraphs by placing one blank line in between each.

Bulleted lists

- Unnumbered bullets should be solid circles, empty circles, or dashes.
- Numbered bullets should only be used if the order of the items is an important element of the list and increases the understandability of the information.
- If a numbered list is used, use regular numbers rather than Roman numerals.

- 1 -

Front Cover

Logos and Names of Organizations Involved

- Space is provided for DOT and Division logos. Using logos is optional. The logos should be 1.75" high. Since the width of the logo will depend on the proportions of individual logos, the box may be made wider, but do not cover text or graphic elements on this page. If no logos are used, delete the boxes intended to be place holders for them.
- If logos are not used, the names of participating offices and organizations may be written in the text box contained within the vertical blue stripe along the left side of the page. The text box may be made longer (but not wider) if extra space id required. Do not cover the FHWA logo. Text should:
    - Be white
    - Be no larger than 12 point font (but may be smaller if necessary)
    - Use the Arial font
    - Not be italicized or bolded.
- Do not use both logos and written-out names of organizations. Use one or the other only. Space is provided on the back cover for logos. Logos may appear there whether or not logos appear on the cover.

Title of report

- Enter the name of the title of the report provided and delete the words 'Insert Review Title Here.'
- The title should be 34 point, Arial, bolded, black font. Space is provided for a two-lined title. If the title does not fit into the space provided, try to shorten it or decrease the font size until it does fit, but not less than 20 points.
- When using 34-point font, if the title does not require two lines, the date text box may be moved up closer to the title of the review. This is optional.

Photo

- Using a photo on the cover page is optional.
- Nothing other than a photograph may appear in the space provided.
- The picture may be of any size as long as it fits into the white space at the bottom of the report and does not touch or overlap and text or graphics on the page.

- 2 -

- Be aware that using both logos at the top of the page and a photograph may cause the cover to look cluttered and less professional.

Table of Contents

- The titles for each section (Executive Summary, Background, Purpose and Objective, Scope and Methodology, Team Members, Observations and Recommendations, Successful Practices, Conclusion, Action Plan, if used, and Appendices) should be Arial 12-point.
- Use periods as tab leaders between the section titles and the numbers on the right. Double space between lines of text.
- The template contains an automated Table of Contents. To update the page numbers, right click anywhere within the text below the 'Table of Contents' title. From the list, choose 'Update Field.' Then select 'Update page numbers only.' Page numbers should update to the locations of the headings.

Executive Summary

All program reviews require an executive summary regardless of length. Even very short reports require at least a couple of paragraphs.

What Does the Executive Summary Accomplish?

- Contains your main message or messages. The main message is a statement containing the overall conclusion of the report. What is this report telling us and why?
- Tells your audience, in a persuasive and tactful way, what you want the audience to think or do as a result of this review? What's the evidence telling us and what should we be doing about it?
- Persuades your audience to consider and implement your recommendations. It moves decision-makers to action.
- Makes an emotional connection to your audience, especially decision-makers, through the use of persuasive and compelling language.
- Hooks the audience into reading the rest of the report.
- Sets the tone and direction of the rest of the report. Why should your audience read this report? What's in it for your audience? You've got to give compelling reason for your audience to read this report.

How Should the Executive Summary Be Written?

- The executive summary is an act of both informing and persuading. The executive summary and the entire report should be written with a deductive structure, which means stating the conclusion first and then supporting it with facts, findings and other supportive materials.
- Keep the executive summary concise, preferably one page and not more than two pages. You're probably looking at a maximum of 4-5 paragraphs.
- Limit details at this point. Think "big picture" and in generalities using compelling, colorful and persuasive language. The more specific points – data and evidence – come in later in the body, particularly in the section on observations and recommendations.
- Don't hesitate to use bullet points if you have a list. But keep it concise. Not too many bullets, 4-5 maximum.

How Should the Executive Summary Be Organized?

Introduction (1 paragraph)

- Begin with a brief statement of the issue, area of risk, concern or interest that created the need for the review. What did you look at and why? Make a statement that explains why the review is significant and important. Why were you asked to do this review in the first place? Write just a few sentences. There's another section on purpose where you can put more details.
- What were the objectives of the review? This should be in the form of a question. For example, "Objective 1 - Is the State DOT in compliance with all right-of-way acquisition regulations?" The answer to that question becomes the observation. You can also very briefly summarize the methodology used to obtain the answer.
- At the end of this paragraph, your audience should react emotionally and positively. Your audience should think: "Wow!" "Oh really!" "Okay, let's read on and find out what's going on. This is really important and interesting."

The Observations (2-3 paragraphs, depending on number of objectives)

- Answer each objective with a paragraph that begins to answer the question in the objective. Summarize the key information for that objective. For each objective write one paragraph in very general terms what are each of the major findings and why they are important? Why do they matter?
- Not too many details. Maybe some bullet points here if necessary, but not more than 4-5 bullets.
- Goal in this section is to get your audience to react emotionally. "Wow!" "Oh really!" "Okay, I'm going to keep reading because this is really interesting and important."

The Recommendations

- Summarize the solutions. How are we going to fix things? For each objective and corresponding observation you can summarize the recommendation.
- What are we going to do to correct the problem or problems discussed in the previous paragraphs? What do you want your audience to think or do? What should they do with these recommendations?
- This is where you do most of your persuading. This is where you "move people to action."
- You want the audience to embrace your recommendations. Be positive to the extent possible.
- Make sure the recommendations are realistic, feasible and the solutions attainable.
- You can use a bulleted list here of recommendations if appropriate.

Compliance Issues

- List any compliance issues that require immediate attention.

Conclusion (optional if you have space; you haven't exceeded the 1-2-page limit)

- One paragraph. Encourage your audience to take the journey with you through the rest of the report.
- Try to emphasize that this journey is going to be very interesting and important for them. It's going to lead to good things. We're going to make improvements and become better at attaining our goals and mission.

Background

This section should be used to provide any information that helps the reader better understand the context of the review topic. This could include historical information, past reviews that have been done, or information regarding key agencies involved in the program. The background information is relevant and helps set the stage for the review.

Purpose and Objective

The purpose of the review is typically one to two paragraphs. Here you may describe the type of review, the problem that led to the review, the goal of the review. It should clearly state the objective or objectives of the review. Ideally each objective should ultimately be linked to a specific observation and recommendation, which appear later in the report.

Scope and Methodology

A short section consisting of a few paragraphs that identifies the locations, projects or information reviewed, the individuals interviewed and their job titles, and the typical review schedule or duration. This section typically describes the method used to collect, review and analyze the data or projects.

Team Members

This is a listing of team members, their positions and the organizations that they represent. The team leader or leaders should be listed first. No e-mail addresses or phone numbers are necessary.

Example:

Full name	Affiliation	Title
Joe Smith	Caltrans	Engineer II (Review Team Leader)
Jane Doe	Arizona DOT	Environmental Specialist

Observations and Recommendations

This is the heart of the report documenting what was observed during the course of the review and the recommendations for improvement that are being made as a result. The expectation is that, in most cases, this section will follow this format.

Observation #1

- Answer each objective with a paragraph that begins to answer the question in the objective. Summarize the key information for that objective. For each objective write one paragraph in very general terms what are each of the major findings and why they are important? Why do they matter?
- Not too many details. Maybe some bullet points here if necessary, but not more than 4-5 bullets.
- Goal in this section is to get your audience to react emotionally. "Wow!" "Oh really!" "Okay, I'm going to keep reading because this is really interesting and important."

Recommendation:

- Summarize the solutions. How are we going to fix things? For each objective and corresponding observation you can summarize the recommendation.
- What are we going to do to correct the problem or problems discussed in the previous paragraphs? What do you want your audience to think or do? What should they do with these recommendations?
- This is where you do most of your persuading. This is where you "move people to action."
- You want the audience to embrace your recommendations. Be positive to the extent possible.
- Make sure the recommendations are realistic, feasible and the solutions attainable.
- You can use a bulleted list here of recommendations if appropriate.

Compliance Issue:

- List any compliance issues that require immediate attention.

Resolution (if any):

- Identify the actions that will be taken in response to the recommendation or compliance issue.
- In many cases these actions will not be identified at the time of the issuance of the final report. If this is the case, resolution will not be addressed in this section but in a future Action Plan.

Repeat the above structure for Observation #2, #3 and so on.

What Does The Observation Section Accomplish?

- This is the meat of the report.
- Observations should link back to report objectives and link forward to recommendations.
- Observations answer objectives by comparing an observed condition to some criteria.
- Observations establish the root cause and consequences of that situation so that the recommendations make sense.
- Each observation provides information needed for developing a practical, useful and compelling recommendation. Recommendations should be realistic, feasible and the solutions attainable.
- The four elements contained in each observation create a fundamental critical thinking process for the writer to work through to ensure a complete, robust observation.

How Should The Observation Be Written?

- Everything in this section should be linked as follows:
  - Report Objective 1 →Observation 1 →Recommendation 1
  - Report Objective 2 →Observation 2 →Recommendation 2
  - Report Objective 3 →Observation 3 →Recommendation 3
- Each observation should contain four elements. These four elements – conditions, criteria, cause and effect – answer simple questions that your audience will have.
- For each element, you can write a few sentences or an entire paragraph, depending on the situation.
- Typical considerations in crafting an observation:
  1. Conditions - How are things actually being done now?
  2. Criteria – How should things be done? What's the correct way of doing it?
  3. Cause – Why aren't things as they should be?
  4. Effect – What impact is the problem having?

How Should The Recommendation Be Written?

- Make sure your recommendations are tied to cause and effect. Make sure the recommendation is linked back to its corresponding observation and objective.
- If readers clearly understand the causes and effects and impacts of the problem, they are more likely to take corrective action.
- This can include the cost to implement any recommendations and a discussion of the potential benefits.
- The section is the best opportunity to **"move people to action."** You want to encourage decision-makers to take action.

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Successful Practices

Include any processes, procedures, practices or technologies that have been implemented that the team believes would benefit others reading this report. This section can be shared with others around the country.

Conclusion

The program review report can include an optional concluding statement regarding the program or process that has been reviewed. The conclusion can include a simple one-paragraph wrap up, including revisiting the program purpose and whether that purpose has been met. A conclusion can state that the program review originally established a particular purpose and that that purpose has been met or fulfilled.

A conclusion is required for compliance reviews. In this case, the conclusion must state, at minimum, whether the organization being evaluated is or is not in compliance.

Action Plan (if any within the report)

An action plan is necessary for implementation of any and all recommendations and resolutions that require follow-up. The plan includes specific actions or products, the responsible party and implementation dates or timeframes. All program reviews should have an action plan to ensure that recommendations are accomplished. However, because there needs to be a balance between completing and issuing the final report and the preparation of the action plan, including the action plan within the report is optional. In other words if an action plan normally takes a relatively long time for the State DOT and FHWA to complete, the office may choose to issue the final report and prepare the action plan afterwards.

Appendices

The appendices should include any supporting documentation such as:

- Spreadsheets, graphs, charts and pictures that are not included in the body of the report
- Sub-unit reports (such as district reports)
- Existing and proposed procedures or specifications
- Process maps
- Team charter
- Review plan

- Research data
- Procedures, processes and specifications from other States or organizations
- Questionnaire or survey summaries
- Collected data
- Checklists used
- Other documents relevant to the review

Back Cover

- In the "Report prepared by:" section at the lower right hand corner of the page, please fill in the information – state, address, etc. for your Division.
- There are two place holders for logos on the back cover. You may place logos here – this is optional, however. The logos should be 2" high. Since the width of the logo will depend on the proportions of individual logos, the box may be made wider (but do not cover text or graphic elements on this page). If you do not wish to include logos, delete the boxes.
- The Division logo should be placed just above the address and contact information.

Helpful Hints

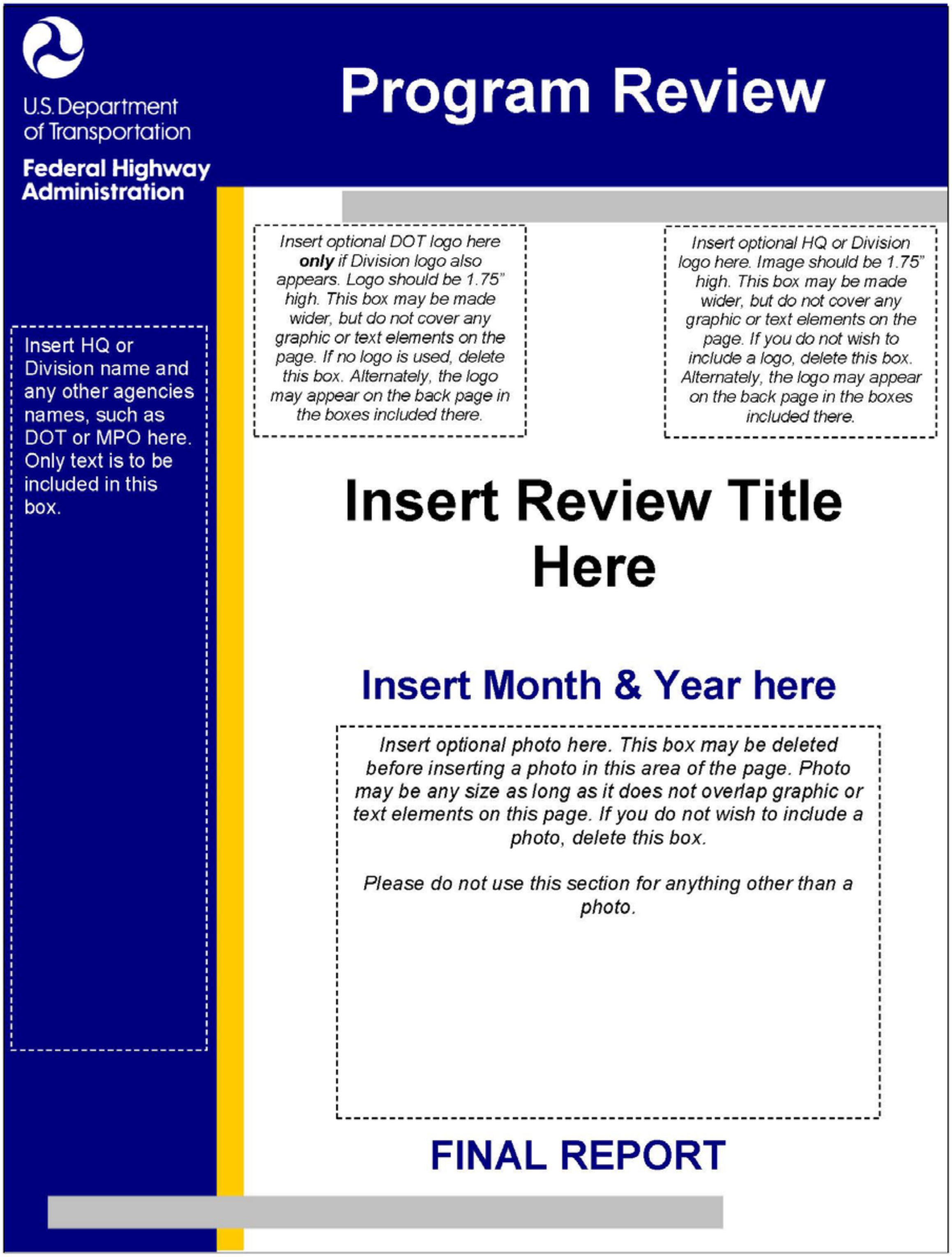
Inserting a picture

- Click on the page on the place where you want to insert a picture or graphic.
- At the “Insert” menu at the top of the window, select “Picture,” and select “From File.”
- A window will pop up. Use it to locate the picture you want to insert. Double-click the picture you want to insert.

Bullets and lists

- Formatting lists with 6-point spacing between lines gives easier reading. To create 6-point spacing between lines, select all the bullets in the list.
- Use the top toolbar to select ‘Format’ and then select ‘Paragraph’.
- A box will appear with two tabs. On the ‘Indents and Spacing’ tab, go down to the ‘Spacing’ section. In the box labeled ‘After’ use the arrows to select ‘6 pt’. Click ‘OK’.

F. Program Review Report Template



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Federal Highway Administration

Program Review

Insert optional DOT logo here ***only*** *if Division logo also appears. Logo should be 1.75" high. This box may be made wider, but do not cover any graphic or text elements on the page. If no logo is used, delete this box. Alternately, the logo may appear on the back page in the boxes included there.*

Insert optional HQ or Division logo here. Image should be 1.75" high. This box may be made wider, but do not cover any graphic or text elements on the page. If you do not wish to include a logo, delete this box. Alternately, the logo may appear on the back page in the boxes included there.

Insert HQ or Division name and any other agencies names, such as DOT or MPO here. Only text is to be included in this box.

Insert Review Title Here

Insert Month & Year here

Insert optional photo here. This box may be deleted before inserting a photo in this area of the page. Photo may be any size as long as it does not overlap graphic or text elements on this page. If you do not wish to include a photo, delete this box.

Please do not use this section for anything other than a photo.

FINAL REPORT

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Federal Highway Administration

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DEPARTMENT OF TRANSPORTATION
UNITED STATES OF AMERICA

Report prepared by:

(Insert FHWA Division Office Information Here)
(Insert State here) FHWA Division Office
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