

APPENDIX A: PRE-INTERVIEW SURVEY QUESTIONS

- Do you work at Headquarters or a Regional Office?
- Which EPA Region do you work in?
- Please estimate the percentage of your workload that can be directly attributed to the Ocean Dumping program?
- How long have you worked with the Ocean Dumping program?
- Headquarters and regional staff share the same program goals.
- Please briefly describe the top two Ocean Dumping program-related goals for your office over the next three years.
- Please briefly describe the top two Ocean Dumping program-related activities your office does to achieve the goals listed above.
- Over the past three years the Ocean Dumping program as a whole has done a good job of anticipating emerging issues.
- Please briefly describe what you believe are the top two emerging issues for the Ocean Dumping program.
- Headquarters and regional staff face the same emerging issues.
- Over the past three years the Ocean Dumping program as a whole has done a good job of anticipating challenges and opportunities.
- Please briefly describe what you believe are the top two challenges for the Ocean Dumping program.
- Headquarters and regional staff face the same program challenges.
- There are currently aspects of the Ocean Dumping program that need improvement.
- If Strongly Agree or Agree Please briefly describe what you think are the top two aspects of the Ocean Dumping program that need improvement.

- The HQ Ocean Dumping program is organized so that it effectively addresses its goals and objectives.
- Please briefly describe the top two innovations or improvements that you think are needed to improve the HQ Ocean Dumping program.
- The goals of the non-EPA program partners (USACE USCG NOAA BOEM etc.) align with the goals of the Ocean Dumping program.
- Over the past three years the Ocean Dumping program has encountered significant obstacles and/or delays to accomplishing its mission.
- I encounter recurring delays and/or obstacles when performing my regular program duties (e.g. regular delays in communication between program personnel and/or outside stakeholders; lack of adequate time to complete assigned tasks; conflicting program priorities among program staff or stakeholders).
- Please briefly describe the top two delays or obstacles that you encounter when performing regular program duties.
- The Ocean Dumping program headquarters provides Regional offices with appropriate guidance to deal with emerging issues and challenges.
- Please briefly list the top two issues that require guidance at the regional level.
- I am provided or can access information about program results that helps inform my work.
- There is sufficient HQ Ocean Dumping program coordination to ensure consistency across the Regional Ocean Dumping programs.
- Please briefly list two ways that HQ Ocean Dumping program coordination could improve consistency across Regional Ocean Dumping programs.
- Are there any other significant issues that have not been raised but should be considered for this evaluation?

APPENDIX B: INTERVIEW GUIDES

OCEAN DUMPING MANAGEMENT PROGRAM STAFF INTERVIEW GUIDE

- 1a. (for Regions) What are the goals of your Region with regard to the Ocean Dumping Program?
- 1b. (for Headquarters) What are the goals of EPA HQ with regard to the Ocean Dumping Program?
2. What are the core activities your office undertakes as part of the Ocean Dumping Program? And How do these activities help the program meet its goals?
3. How do these activities help the program meet its goals?
4. What resources, including FTE hours and contract dollars, are used to perform these activities? To the extent possible, please describe resources spent on each main activity.
5. How does your office learn about what is working and what is not in the Ocean Dumping Program? How does this learning inform program planning?
6. What are key trends over the last 20 years that have affected the Ocean Dumping program? How has the Ocean Dumping program responded to these trends?
7. What do you see as the key emerging issues, challenges, and opportunities your office is likely to face with regard to Ocean Dumping over the next several years? How will the program need to adapt in the face of these issues?
- 8a. (for Regions) What guidance, assistance, and resources does your Region need from EPA HQ in order to deal with emerging challenges and capitalize on opportunities?
- 8b. (for Headquarters) What guidance, assistance, and resources do Ocean Dumping Regional offices need from HQ in order to deal with emerging challenges and capitalize on opportunities?
9. What performance measures does the Ocean Dumping program use? In what ways are these measures useful? What are their limitations?
10. Are there alternative performance measures you think the program should use? Why?
11. Do you think resources within the Ocean Dumping program should be reallocated? If so, how and why? What would be the risks of reallocation?

12. What do you believe are the goals regarding Ocean Dumping for key EPA partners, e.g., US Army Corps of Engineers, NOAA, DOI, and State Department? Does the work of these partners support the work of EPA? Are there any disconnects?

OCEANS AND COASTAL PROTECTION DIVISION MANAGEMENT INTERVIEW GUIDE

1. From your point of view, which of the OD Program's activities are the greatest contributors to the program's mission? Which activities add less value to the program's mission?
2. Do you think resources within the Ocean Dumping program should be reallocated? If so, how and why? What would be the risks of reallocation?
3. How does your office learn about what is working and what is not in the Ocean Dumping Program? How does this learning inform program planning?
4. What performance measures does the Ocean Dumping program use? Are there alternative performance measures you think the program should use?
5. What do you see as the key emerging issues, challenges, and opportunities your office is likely to face with regard to Ocean Dumping over the next several years? How do you think the program need to adapt in the face of these issues?
6. Could you describe the OD Program's relationships with its partners and stakeholders? Are there steps you think would improve these relationships?

FORMER OCEAN DUMPING MANAGEMENT PROGRAM STAFF INTERVIEW GUIDE

1. Please describe your previous role and years of involvement in the OD program.
2. Based on your tenure with the OD program, what would you say are the program's key goals?
3. From your point of view, which of the OD Program's activities are the greatest contributors to the program's goals? Which activities add less value to the program's goals?
4. In what ways could the OD Program allocate resources more efficiently to achieve its goals?
5. Could you describe the OD Program's relationships with its partners and stakeholders? In what ways could these relationships be improved?
6. How could OD Program Regions work more effectively with:
7. Would you like to share other suggestions or feedback?

U.S. ACE STAFF INTERVIEW GUIDE

1. Please describe your role at USACE.
2. What are the primary responsibilities of USACE related to the disposal of dredged material under the Marine Protection Research and Sanctuaries Act (MPRSA)?
3. How would you describe the interaction between USACE and the Ocean Dumping (OD) Program in achieving these goals? At the national level? District level?
4. How can USACE and the OD program work more effectively together to dispose of dredged material as outlined in the MPRSA? (e.g., communication, data, regulation/policy)
5. What aspects of EPA's OD Program are most effective?
6. What changes are necessary to help EPA be more effective in implementing MPRSA?
7. What do you see as the key emerging challenges and opportunities with respect to Ocean Dumping over the next several years? How will the OD program and USACE's dredging program need to adapt in the face of these issues?

404 PROGRAM STAFF INTERVIEW GUIDE

1. Please provide a brief overview of how the work of the Clean Water Act 404 program overlaps with the work of the Ocean Dumping (OD) Program.
 - a. Are there particular 404-related responsibilities delegated to OD staff (at the national level? Regional level?)
 - b. At the Regional level, is there a clear delineation of responsibilities between the 404 program and the OD program?
2. Are there opportunities to help the 404 and OD programs work more effectively together? If so, please describe.
3. What synergies between the 404 program and the OD program could be tapped to help leverage limited resources?
4. From your perspective, what aspects of the OD program are working well? What could be improved?
5. What key emerging challenges and opportunities will affect both the 404 program and the OD program in the coming years? How can the programs adapt in the face of these issues?
6. Do you have any other suggestions for improving the 404 program as it relates to OD?

ENVIRONMENTAL NGO INTERVIEW GUIDE

1. Please describe your role at Clean Ocean Action (COA).
2. Please tell us a little about the mission of your organization and how it relates to the issue of ocean dumping.
 - a. Could you describe your organization's relationship with EPA's Ocean Dumping (OD) Program?
3. What are the key functions that you think EPA serves with regard to ocean dumping?
4. Do you think EPA is effectively carrying out its obligations under Marine Protection Research and Sanctuaries Act (MPRSA) with regard to ocean dumping?
5. What changes do you think are necessary to help EPA be more effective in implementing MPRSA?
6. Would you like to share other suggestions or feedback?

APPENDIX C: FOCUS GROUP DISCUSSION GUIDE

FOCUS GROUP, AUGUST 7, 10:50 AM - 12 NOON

SESSION GOALS:

To get group input on key topics related to the evaluation, and fill gaps that have not been addressed by the survey and interviews with Regional and HQ staff.

AGENDA:

Review of program evaluation and preliminary findings to date (10 minutes)

Discussion with the group (1 hour)

QUESTIONS TO BE ADDRESSED:

- Have we adequately captured how program activities support program goals?
 - What activities are most and least aligned with goals?
- How can the OD program make the most of resources available?
- What can HQ do to assist the Regions?
- How can the OD program work most effectively with its partners?

APPENDIX D: FTE RESOURCES AND CONTRACT DOLLARS APPLIED TO THE LOGIC MODEL

To assess the Ocean Dumping Management Program’s resource allocation across the logic model, the evaluation team analyzed program FTE hours and ORISE contract dollars¹ that are allocated to each activity in the FY 2012 work plan. We then carried through resource allocations to subsequent outputs, customers, and outcomes. For example, in the logic model, the activity “Address petitions, letters, and other inquiries” leads to one output (response letters) targeted to one group of customers (the regulated community, environmental groups, and the public). Since information from the work plan and program staff indicated that 13 percent of program resources are spent to address petitions, letters, and other inquiries, this analysis assumes that 13 percent of program resources are associated with response letters and communicating with the regulated community, environmental groups, and the public. In some cases, more than one activity leads to a specified output. For example, the activities of “issuing special or general permits” and “assisting regions to review and concur on dredged material permit issues” both related to the output of ocean dumping permits, and thus the resources allocated to the output of ocean dumping permits is the sum of the resources allocated to the contributing activities (note that because of rounding, sums may not be exact in some cases). The same is true with the connections between outputs and customers, and customers and outcomes. In cases where a single activity leads to multiple outputs (or a single output connects to multiple customers, and so on), we relied on input from program staff to weight the percentage of resources that flow to each of the resulting logic model elements. For example, in the case of the short term outcome “Increased regional awareness of policy and intent of policy” the program staff provided input that this outcome led equally to the medium term outcomes of “guidance improves implementation of the program” and “consistent program administration across regions,” and therefore we assumed that the resources were divided equally between these two outcomes.

Exhibit D-1 shows the percentage of FTEs and contract dollars that are associated with each of the activities, outputs, customers and outcomes in the logic model. Exhibit D-2 displays this information graphically, by depicting the concentration of FTE resources through the color shading of the boxes in each column. The darkest colors reflect the greatest allocation of FTE resources. For example, in the activity column, “Developing Policy on Emerging Issues” had the highest percentage of FTE hours allocated in the FY

¹ The work allocation of ORISE fellows are considered non-FTE hours in the work plan and have been converted to contract dollars for representation in the logic model.

2012 work plan, and this activity box in the exhibit is the darkest shade of red in the activity column

EXHIBIT D-1: ALLOCATION OF FY2012 FTE HOURS AND CONTRACT DOLLARS ACROSS THE LOGIC MODEL

| LOGIC MODEL CATEGORY | FTEs | CONTRACT DOLLARS |
|--|------|------------------|
| ACTIVITIES | | |
| Develop policy on emerging issues (e.g., carbon capture and storage) | 19% | 21% |
| Strategic Planning | 16% | 10% |
| Address petitions, letters, and other inquiries | 13% | 14% |
| Develop and update legislation (i.e. MPRSA) | 6% | 24% |
| Assist regions to review & concur on dredged material permits issues | 6% | 0% |
| Assist regions & USCG to enforce regulations | 6% | 0% |
| Assist regions in site monitoring & designation issues | 6% | 0% |
| Review regional programs | 6% | 0% |
| Conduct monthly call & semi-annual meeting for OD coordinators | 6% | 10% |
| Work w/ int'l orgs and State Department | 3% | 7% |
| Develop regulations & policies, keep current w/ policy | 3% | 3% |
| Issue special or general (non-dredged material) permits | 3% | 3% |
| Develop guidance documents | 3% | 10% |
| OUTPUTS | | |
| Regulations & policies | 23% | 24% |
| EPA reports & planning documents | 16% | 10% |
| Response letters | 13% | 14% |
| Ocean dumping permits | 10% | 3% |
| Legislation package (MPRSA Amendments) | 6% | 24% |
| Assistance w/ civil penalties | 6% | 0% |
| Assistance with site monitoring data, SMMPs, site designation | 6% | 0% |
| Regional program review reports | 6% | 0% |
| Coordinators' call notes, meeting reports | 6% | 10% |
| Guidance documents | 3% | 10% |
| International technical & training documents | 2% | 3% |
| Annual report to IMO on ocean dumping permits | 2% | 3% |
| CUSTOMERS | | |
| Gov't entities, regions, regulated community, environmental groups, public | 23% | 24% |
| Regional program offices | 18% | 15% |
| USACE and Permittees | 16% | 7% |
| Division, office, OW management, public | 16% | 10% |
| Regulated community, environmental groups, public | 13% | 14% |
| US Congress | 6% | 24% |
| Ports and port-dependent industries | 5% | 2% |
| LC/LP contracting and non-contracting parties | 3% | 7% |
| SHORT-TERM OUTCOMES (AWARENESS) | | |
| Stakeholders understand role and requirements of ODP policy | 26% | 16% |

| LOGIC MODEL CATEGORY | FTES | CONTRACT DOLLARS |
|--|------|------------------|
| EPA & State Dept. communicate w/ int'l community (LC/LP) | 23% | 24% |
| Increased regional awareness of policy and intent of policy | 18% | 15% |
| Management aware of program activities and direction | 16% | 10% |
| USACE & EPA aware of monitoring requirements and conditions at sites | 8% | 3% |
| Congress informed regarding MPRSA and LP | 3% | 7% |
| MEDIUM-TERM OUTCOMES (BEHAVIOR) | | |
| Stakeholders conform to ODP regulations and policies | 23% | 24% |
| Management support of program activities and budget | 16% | 10% |
| Only environmentally acceptable ocean disposal | 10% | 6% |
| Efficient and effective evaluation of permit proposals | 10% | 6% |
| Guidance improves implementation of OD management program | 9% | 7% |
| Consistent program administration across regions | 9% | 7% |
| Limit ocean disposal of wastes (permit level) | 6% | 4% |
| No ocean disposal without permit | 6% | 4% |
| Congress amends MPRSA and ratifies LP | 6% | 24% |
| Limit ocean disposal of waste (policy level) | 3% | 7% |
| LONG-TERM OUTCOMES (CONDITIONS) | | |
| Environmentally acceptable conditions resulting from disposal | 46% | 38% |
| Coordinated & effective Ocean Dumping Management Program | 29% | 22% |
| No legal vulnerability | 15% | 9% |
| US (EPA) maintains int'l leadership role | 10% | 31% |

EXHIBIT D-2:

FTE RESOURCES AND CONTRACT DOLLARS FROM FY 2012 WORK PLAN APPLIED TO LOGIC MODEL

Key: Darker colors indicate higher concentrations of resources.

