

**NATIONAL ACADEMY OF  
PUBLIC ADMINISTRATION**

For Amtrak's Office of Inspector General

March 2011

**The Amtrak Office of Inspector General  
Organizational Assessment Phase II**

Implementation Roadmap Development





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The views expressed in this document are those of the Panel. They do not necessarily reflect the views of the Academy as an institution (Academy Project Number: 2282).

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## EXECUTIVE SUMMARY

Amtrak's Inspector General (IG) recognizes the need to refocus, reinvigorate, and maximize the efficiency and effectiveness of the Office of Inspector General (OIG). In turn, the OIG is committed to improving Amtrak's management, operations, and delivery of services to the public and ensuring responsible stewardship of public funds.

In August 2010, an expert Panel of Fellows of the National Academy of Public Administration (Academy) performed an organizational assessment focused on eight (8) areas. Within each of these areas, the Academy Panel defined the desired future state; summarized the OIG's strengths and weaknesses; identified some "quick wins;" and, offered best practices. Throughout Phase I, the Panel took into account OIG's current state, unique needs, and capacity constraints.

Phase II of the project focused on the development of Implementation Roadmaps in the following six (6)<sup>1</sup> areas, achieving the desired future state identified in the Phase I organizational assessment and listed below:

- **Internal Communications.** *Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.*
- **External Communications.** *Amtrak OIG has constructive relationships with Amtrak, Congress, and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.*
- **Quality and Timely Work Processes.** *Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.*
- **Work Planning and Prioritization.** *Amtrak OIG has an annual work planning and prioritization process that engages stakeholders in identifying opportunities for improvement and risk reduction. This process identifies high value work and enables OIG to more effectively allocate its resources to this work.*
- **Performance Measurement.** *Amtrak OIG has performance metrics that reflect the requirements of the Inspector General Act; meet the expectations of Congress and other stakeholders; and reflect the value of OIG work to Amtrak. These metrics are integrated into OIG's operating and performance management systems.*

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<sup>1</sup> The other two focus areas, Independence and Human Capital Management are developing implementation support materials utilizing internal Amtrak OIG leadership and support.

- **Management and Policy Updates.** *Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; Council of Inspectors General for Integrity and Efficiency information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible to and used regularly by staff.*

## **The Implementation Roadmap Development Process**

Each of the six (6) Working Groups were formed and convened for roughly four (4), 3-hour sessions with 4-6 people participating. Included in these Working Groups were a senior-level Executive Sponsor, an Initiative Lead, and several other participants representing a diverse cross section of function, location, and tenure. The Working Groups discussed the desired future state specific to the focus area; attributes and behaviors to support this future state at an organizational level; and, specific requirements to complete the tasks and hold employees accountable.

The Working Groups developed Implementation Roadmaps—explicit Actions and Steps, along with estimated timeframes for completion of tasks leading to operational and organizational improvements. In addition, associated Tracking Tools were created to offer mechanisms for accountability. The Working Groups also produced additional information to help the Implementation Teams carry out these Actions and Steps.

Pursuant to Phase II, the Academy’s Study Team once again worked with an expert Panel of Academy Fellows. The Panel provided strategic direction and guidance, while the staff coordinated the information gathering.

## **Final Report Structure**

This Final Report has been designed to provide users with information and implementation tools to help structure the transformation process and illuminate the Actions necessary to effect change. By outlining the Actions and Steps and providing timeframes in discrete chapters by focus areas, the Academy intends to improve the user-friendliness of the Final Report and allow individual Implementation Teams to focus on their assigned tasks. The first chapter serves as an overview of the entire project, while subsequent chapters are focus area-specific.

As the Implementation Teams begin working together, as well as across the OIG organization, it is anticipated that meaningful progress will be made towards fulfilling Amtrak OIG’s mission—providing independent agency oversight of programs and operations, promoting effectiveness and efficiency, and preventing and detecting waste, fraud, and abuse.

**TAB I**

**The Amtrak Office of Inspector General  
Organizational Assessment Phase II  
Implementation Roadmap Development**

**Subject: Project Overview**

Tab I contains an overall introduction to Phase II of the organizational assessment—*Implementation Roadmap Development*. Tab I outlines the project goals, background, scope, methodology, and results. It also identifies the overlaps among the different Working Groups and highlights the importance of coordination.

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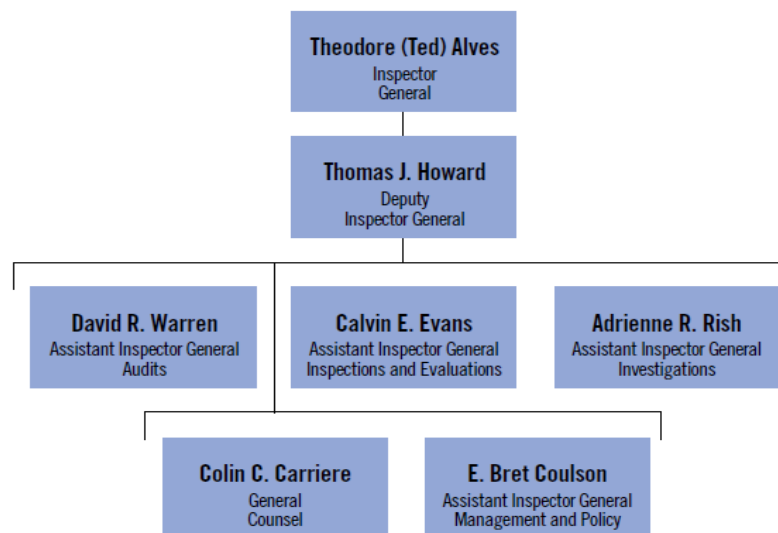
## I. Overview of the Implementation Roadmap Development Project

### Background

Created by the Rail Passenger Service Act in 1970, the National Railroad Passenger Corporation—better known as Amtrak—is a government-owned corporation providing intercity passenger rail service in the United States. Because Amtrak receives significant federal funding, Congress established an Office of Inspector General (OIG) for it in 1989. The OIG’s mission is to “conduct and supervise independent and objective audits, inspections, evaluations and investigations relating to agency programs and operations; promote economy, effectiveness and efficiency within the agency; prevent and detect fraud, waste and abuse in agency programs and operations; review security and safety policies and programs; and review and make recommendations regarding existing and proposed legislation and regulations relating to Amtrak’s programs and operations.”<sup>2</sup>

Amtrak’s Inspector General (IG), one of 30 Designated Federal Entity IGs, is appointed by and reports to the corporation’s Board. Headquartered in Washington, DC, OIG has field offices in Baltimore, Boston, Chicago, Los Angeles, New York, Philadelphia and Wilmington, Delaware with a staff of approximately 100 employees. It is organized into five areas of responsibility: Audits, Inspections and Evaluations, Investigations, Management and Policy, and Counsel to Inspector General. Figure I-A shows OIG’s current organizational structure.

**Figure I-A: Amtrak OIG Organizational Chart<sup>3</sup>**



In addition to its internal stakeholders, OIG must provide information to external decision makers in an efficient, reliable and useful manner. Its work is aimed at improving Amtrak’s

<sup>2</sup> <http://www.amtrakoig.gov/%28S%28g1ug5aqgeo3qp145lnqh1dzi%29%29/About.aspx>

<sup>3</sup> [http://www.amtrakoig.gov/sites/default/files/reports/amtrak\\_oig\\_www\\_23g.pdf](http://www.amtrakoig.gov/sites/default/files/reports/amtrak_oig_www_23g.pdf)

management, operations and delivery of services to the public and ensuring responsible stewardship of public funds.

Following 20 years under the leadership of its first and only IG, Amtrak launched a comprehensive search for a successor after the first IG's unexpected retirement in June 2009. This period of uncertainty heightened a longstanding debate between Amtrak management and the OIG regarding the latter's operational independence. Further, an Audit peer review concluded in September 2009 that OIG's policies and procedures were outdated and did not fully incorporate current Government Auditing Standards.

The Amtrak Board's desire to transform OIG into an industry-leading model OIG led to the appointment of Ted Alves, a seasoned member of the IG community, as its IG in November 2009. Critical changes were undertaken within the first six months of his tenure. A Deputy IG position was created and filled by Tom Howard, another seasoned member of the IG community. In addition, a separate Investigations Division was created and an Assistant Inspector General (AIG) for Investigations, Adrienne Rish, was hired and a permanent AIG for Audits (Dave Warren) was hired. Both of these AIGs bring years of OIG experience as well.

OIG also completed a Strategic Plan for Fiscal Year 2010-2014, which aligns its goals with Amtrak's mission and goals. Notably, OIG added a sixth goal related to internal operations: "*Leading by example as a model OIG organization.*"

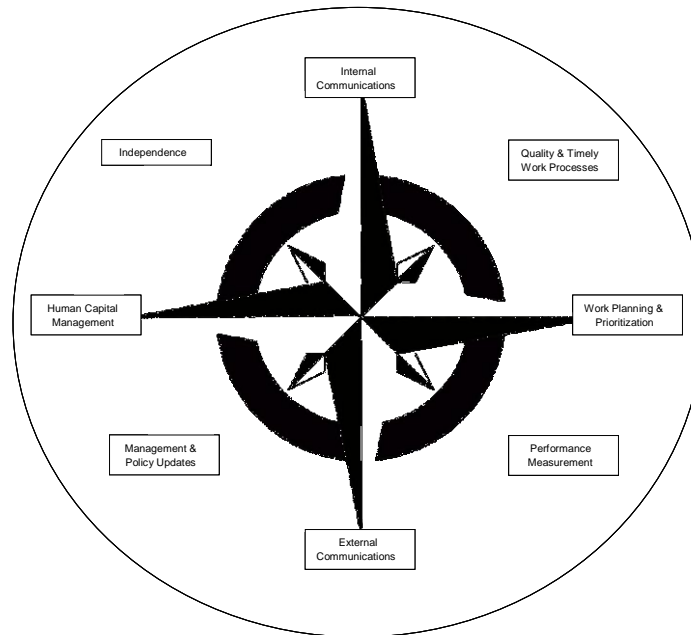
Recent changes have also affected OIG's annual appropriations and relationship with Amtrak management. Previously, OIG submitted its budget request to Congress as part of Amtrak's annual grant request. To maintain OIG independence and a productive relationship with Amtrak, Congress determined that OIG should no longer rely on the corporation for its funding. The Consolidated Appropriations Act of 2010 authorized a direct appropriation of \$19 million for OIG. The act required that Amtrak management and OIG develop a set of relationship policies and procedures that "are consistent with the letter and the spirit of the Inspector General Act of 1978." In 2010, the Council of the Inspectors General on Integrity and Efficiency (CIGIE) confirmed that the new jointly-developed policies and procedures complied with the letter and spirit of the act.

### **Phase I: Organizational Assessment**

In the spring of 2010, the Academy conducted an independent organizational assessment of the OIG. The objective was to examine the current operations of the OIG and identify issues and opportunities in need of further attention by OIG's Senior Leadership. This examination included, as initial points of reference, the strategies and Actions identified in Goal Six of the OIG's Strategic Plan—*Leading by Example as a Model OIG*.

Based on the Academy's extensive research and analysis, the Phase I final report addressed eight (8) critical areas of focus: Internal Communications (IC), External Communications (EC), Work Planning and Prioritization (WPP), Quality and Timely Work Processes (QTWP), Independence, Management & Policy Updates (MPU), Human Capital Management (HCM), and Performance Measurement (PM).

**Figure I-B: Organizational Assessment Areas of Focus**

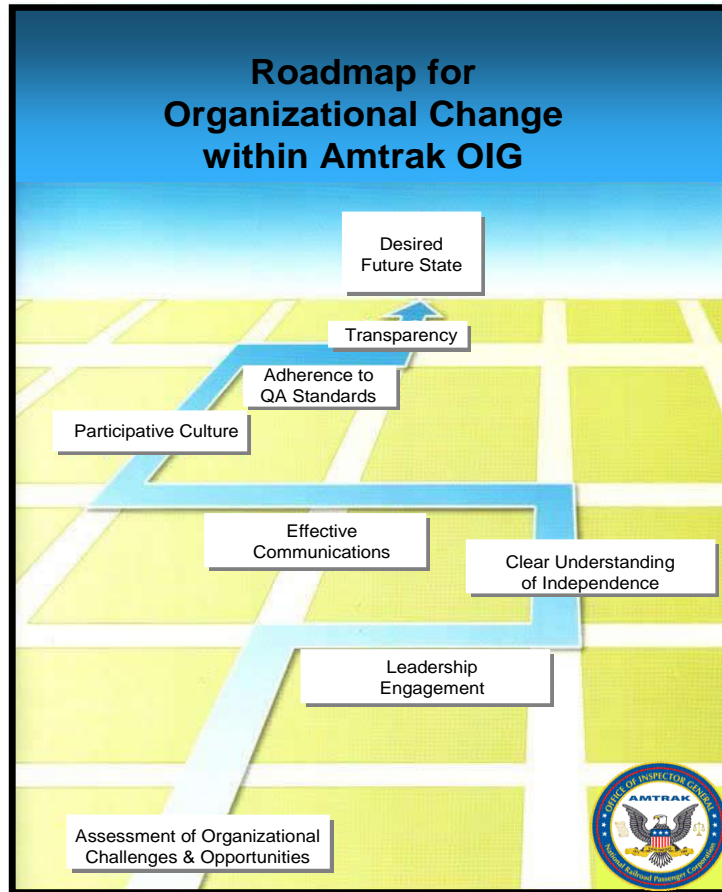


For each of these focus areas, the Academy identified a desired future state, key observations, critical risks, “quick win” opportunities, and long-term recommendations. The Phase I results formed the basis for Phase II of the organizational assessment—the development of the Implementation Roadmaps.

**Phase II: Implementation Roadmap Development**

As part of Phase II, the Academy collaborated with the OIG Senior Leadership to provide assistance in developing Implementation Roadmaps to guide the critical organizational change and operational improvements identified in Phase I.

**Figure I-C: Roadmap for Organizational Change**



In consultation with the Academy, OIG’s Senior Leadership identified four (4) focus areas best positioned for immediate action and most critical to OIG organizational success. These focus areas are:

- Internal Communications
- Quality and Timely Work Processes
- Work Planning and Prioritization
- Performance Measurement

Subsequently, the following two (2) additional focus areas were identified:

- External Communications
- Management and Policy Updates

On the other two focus areas—Human Capital Management and Independence—the Academy provided only a limited amount of consultative support.

To facilitate the implementation of the Academy's Phase I recommendations, OIG assembled Working Groups for each of the focus areas. The Working Groups comprised an Executive Sponsor, an Initiative Leader, and Staff Volunteers. The goal of each Working Group was to produce a 12-18 month Implementation Roadmap—a tactical plan to support the accomplishment of the most critical improvements identified in the Phase I organizational assessment—and provide OIG with a Tracking Tool to guide implementation of OIG-wide changes.

The Working Groups engaged in thought-provoking discussions facilitated by the Academy's Study Team, and adopted a framework utilizing open discussion, brainstorming, and at times, additional research outside of the allotted sessions. Data gathering worksheets were used to introduce project background, summarize the group discussion processes, develop major Actions and Steps, emphasize key issues, and clarify the connections among the outputs of the Working Groups. The worksheets served as the primary tool to guide the discussions and, once populated with the relevant data (including resource requirements, timelines, team composition, and step-by-step activities, as well as success metrics and accountability measures throughout the sessions), became the foundation for the Implementation Roadmaps and associated Tracking Tools. To ensure that all relevant aspects of each focus area were thoroughly discussed and recorded, the Academy's Study Team refined the Tracking Tools at the conclusion of each session to reflect the major topics and inputs of the wide-ranging discussion. The Tracking Tools evolved into the Implementation Roadmaps.

Once all of the sessions were completed, each Working Group produced a set of tactical actions, activities, and timelines. The Roadmaps/Tracking Tools were developed based on the assumption that the implementation process in each area relies on a 3-5 people group (diverting 25 percent of team members' work time). The estimated timelines for the Actions in the Tracking Tool reflect the best guess of Working Group members and are subject to change as issues arise within the OIG.

In addition to yielding the Tracking Tools, the sessions had broader impacts on the OIG-wide organization, including building a participative management approach, engaging and empowering staff members, instituting a sustainable process to improve the organization's operations, and creating a sense of ownership of the Implementation Roadmaps.

### **Data Sources**

The Roadmaps offered here rely upon several sources of data and input, including:

- Tracking Tools.
- Detailed notes captured during each Working Group session.
- Data gathered during the Phase I organizational assessment.
- In the case of Internal Communications, interviews with OIG staff identifying specific communication needs.
- Observations and expertise of the Academy's expert Panel.

## Coordinated Efforts Among Working Groups

A common concern—the overlap among the different Working Groups—was raised throughout the Working Group sessions. While each Working Group was assigned one focus area, some issues fell within several focus areas. Going forward, this will require close collaboration to avoid duplicative efforts. The overlapping areas as identified by the Working Groups are summarized below.

**Figure I-D: Overlap Among Working Groups**

	Internal Communications (IC)	Quality & Timely Work Processes (QTWP)	Work Planning & Prioritization (WPP)	Performance Measurement (PM)	External Communications (EC)	Management & Policy Updates	Human Capital Management (HCM)	Independence
Internal Communications		1	11	7	12	8	2	
Quality & Timely Work Processes	1		3	6		8	10	
Work Planning & Prioritization	11	3		5	5			
Performance Measurement	7	6	5		5		4	
Management & Policy Updates	8	8						
External Communications	12		5	5				9
Human Capital Management	2	10		4				
Independence					9			

1. The Fast-Track Implementation Plan was developed to address the outstanding issues within TeamMate<sup>4</sup> and Amtrak Investigations Management System (AIMS)<sup>5</sup> identified by the IC and QTWP Working Groups. The Working Groups laid out a plan to identify an appropriate technical lead for TeamMate, and develop tools, guidance, and training to support a consistent approach to using automated project management systems within OIG.
2. In the development of the Implementation Roadmap, the IC group identified several activities that require coordination with the HCM group, including the development of a new OIG employee handbook, clear guidance for preparing individual performance evaluations, and metrics for effective internal communications practices.
3. The QTWP group identified the need to coordinate with WPP team in developing the Quality Assurance (QA) process, ensuring that the Annual Tactical Audit planning flows from Annual Plan and reflects key goals of OIG Strategic Plan.
4. The PM Working Group focused on the OIG organizational performance measurement, while individual performance measurement is a critical component of the HCM Action Plans. It is necessary to recognize the linkage between these two areas. The organizational performance metrics establish the overall performance goals for the organization, and individual performance measures should be aligned with organizational performance metrics. The importance of coordinating with the HCM group was emphasized by the PM Working Group.
5. Both WPP and the PM groups stressed the importance of identifying the value and expectations of key external stakeholders, and it was established that these two teams are encouraged to reach out to stakeholders as a joint team (also with the EC group).
6. To support the development and improvement of the QA processes, the QTWP Implementation Team will identify a set of performance/accountability measures that could be leveraged by the PM team to develop OIG internal performance measures and metrics.
7. The PM emerging Implementation Roadmap includes direction for developing a performance data collection and reporting mechanism evaluating OIG-wide performance. The PM Working Group may find value in coordinating with IC Working Group to define measures to assess internal communication processes.
8. The IC, QTWP and MPU Working Groups all touched on the importance of clearly communicating new policies and procedures to OIG staff. Each Working Group looked at the issue from the perspective of their own focus: the IC group covered it as one aspect of designing rules and guidance for internal communication, the QTWP Working Group regarded it as part of developing consistent practices to guide investigations, Audit, and I&E, and the MPU Working Group highlighted past challenges in this area and recent efforts to overcome them.

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<sup>4</sup>TeamMate: Audit department's information management system

<sup>5</sup>AIMS: Investigations department's information system



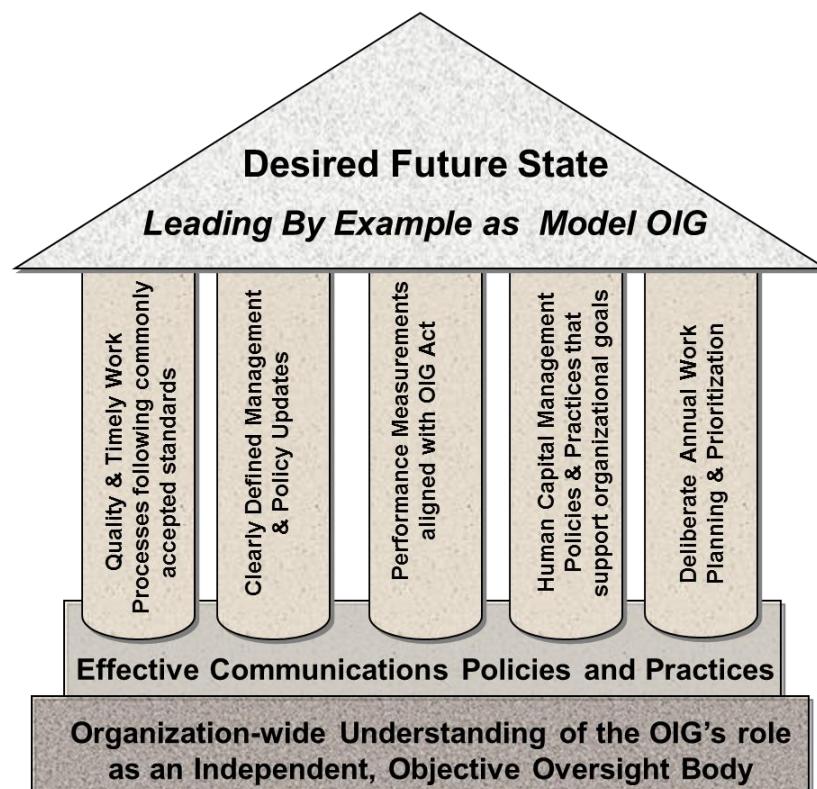
9. Several of the proposed Actions outlined in the EC Working Group's Roadmap also support the goals of the independence workgroup. These Actions include: developing an approach to educate stakeholders on the roles and value of an independent, high-performing OIG; establishing an independent OIG brand; and developing tools to guide messaging by OIG staff.
10. The QTWP's development of a communication mechanism to ensure training, planning and status updates comply with requirements and certifications will be an integral component of the QA process they develop. The QTWP recognizes that they will need to coordinate with the HCM Working Group to develop and implement this mechanism.
11. As part of their Action plan, the WPP Working Group recommended establishing communications guidance on how staff can support senior leaders with decision making. As part of the development of this guidance, the WPP Working Group explicitly recommended efforts be coordinated with the IC Working Group to examine existing and potential communication challenges.
12. The EC Implementation Team should work with their IC counterpart to share the prospective marketing plan with OIG staff and solicit their feedback before releasing it externally. This will help bring staff on-board with marketing messages.

As these issues were identified, they were tracked and communicated to avoid a redundancy of activities. They also were documented to ensure that the correct functional areas and Implementation Teams were properly acknowledged for their efforts, especially since celebrating accomplishments and rewarding OIG staff for their dedication to process improvement remains a key element of success during this time of transition.

## Progress towards Becoming a Model OIG

The identification of the OIG’s key focus areas and the development of Implementation Roadmaps to guide key activities driving change have helped the OIG demonstrate progress toward achieving its organizational improvement objectives. These Implementation Roadmaps and associated Tracking Tools lay a strong foundation for success. As depicted below, the foundational elements defining and clarifying the role and value of the OIG as well as supporting the development of the Implementation Roadmaps work together to create a strong infrastructure for achieving organizational improvement.

**Figure I-E: Foundation of the Desired Future State**



## Conclusion

As the Implementation Teams are created and begin taking advantage of the multiple opportunities for organizational cooperation and collaboration, it is anticipated these Implementation Roadmaps will serve as integral components of organizational success and will result in meaningful progress towards fulfilling Amtrak OIG's mission:

*The OIG will conduct and supervise independent and objective audits, inspections, evaluations, and investigations relating to agency programs and operations to promote economy, effectiveness and efficiency within the agency; prevent and detect fraud, waste, and abuse in agency programs and operations; review security and safety policies and programs, and, review and make recommendations regarding existing and proposed legislation and regulations relating to Amtrak's programs and operations.*

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**TAB II****The Amtrak Office of Inspector General  
Organizational Assessment Phase II  
Implementation Roadmap Development****Subject: Internal Communications**

Tab II contains the Internal Communications (IC) Implementation Roadmap and other supporting documents developed by the Working Group to guide the activities of the Implementation Team.

- Internal Communications Implementation Roadmap
- Internal Communications Implementation Tracking Tool
- Draft Communications Plan Development Guide

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## II. Internal Communications

***Desired Future State: Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.***

The Internal Communications Working Group, headed by Executive Sponsor, Assistant Inspector General (AIG) for Investigations, Adrienne Rish and Initiative Team Lead Denize Hammond, was the first group to both begin and finish their planning effort. Internal communications is a critical area targeted for improvement, as it supports virtually all Office of Inspector General (OIG) processes, and changes in this area can have positive impacts on other focus areas.

The Working Group met four times during October and early November, 2010, and identified four key Actions that frame this Roadmap. The Actions identified by the Working Group reflect two basic goals:

1. Improved information sharing, which is supported by tools, in the context of performing OIG work (Actions 1 and 2).
2. Broader and more effective IC practices across the OIG, both top-down and within and among functional groups (Actions 3 and 4).

These Actions are described in more detail later in this chapter.

### Observations

The Working Group indicated that a substantial shift in the organizational culture needs to occur - away from a “need to know” communication culture to one of more transparency in the sharing of information about ongoing and recent OIG work, so that trends, issues and lessons learned can be more readily identified and incorporated across work units. The challenge of achieving this shift in culture was discussed in depth during the Working Group sessions, and the Implementation Team is being advised to: focus on the desired behaviors; build a system of reward and reinforcement for adopting good communication practices; publicize the positive outcomes resulting from improved communication; and continuously seek the engagement and visible support of Senior Leadership throughout the implementation process to sustain momentum for the effort. Both the difficulty and importance of addressing internal communications cannot be over-emphasized, as effective communication practices within the OIG are central to improving the organization in every area.

### Characteristics and Behaviors of Improved Internal Communication

In addition to defining specific Actions to implement, the Working Group described a set of future state characteristics and sample behaviors they would expect to see as a result of improved internal communication (see chart that follows).

***Desired Future State:*** Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.

<b>Desired Future State Characteristic</b>	<b>Behavior Supporting the Characteristic</b>
When the OIG achieves its desired future state, its communications will be characterized by process and content that:	
<ul style="list-style-type: none"> <li>• Is proactive</li> <li>• Is productive, timely and efficient</li> <li>• Is transparent</li> <li>• Embraces honesty</li> <li>• Maintains accountability</li> <li>• Fosters integrity</li> <li>• Supports two-way information flow</li> <li>• Is generally accessible</li> <li>• Empowers users to make informed decisions</li> <li>• Clarifies responsibilities and expectations</li> <li>• Embodies an open and receptive approach that eliminates the risk of retribution within the OIG</li> <li>• Embraces diversity of opinions and perspectives in a respectful way</li> </ul>	<ul style="list-style-type: none"> <li>• Opens access to connecting with the right people, regardless of position</li> <li>• Clearly expresses expectations and offers relevant guidance</li> <li>• Exemplifies honesty</li> <li>• Provides relevant, accurate and timely data</li> <li>• Is responsive, acknowledging requests even if they can't be fulfilled immediately</li> <li>• Takes an approach of mentoring and coaching, not criticism</li> <li>• Is receptive to constructive criticism</li> <li>• Uses a respectful and polite tone</li> <li>• Is attentive and applies active listening</li> <li>• Keeps all team members “in the know”</li> <li>• Shares pertinent and timely information between groups, when appropriate</li> <li>• Avoids intentionally misleading information</li> <li>• Is receptive to different work styles and opinions; respects uniqueness and the right to set objectives and make decisions</li> </ul>

These characteristics and behaviors represent the manifestation of the desired future state in operational terms. This effort to define the desired state in more concrete terms was thought necessary, as “improved communication” is both broad and open to interpretation.

### **Implementation Actions and Steps**

The four Actions designed to improve internal communications each have multiple associated implementation steps, and the Working Group offered additional information to the Implementation Team in the form of context, guidance and commentary to help them carry out these Actions and Steps. This information is presented on the following pages in the Implementation Roadmap.



A Tracking Tool for the Implementation Roadmap addresses the need to identify the suggested lead for the Implementation Team; timeframes or end dates for completing each Action and its correlating Steps; and suggested measures or targets to assess progress toward accomplishing the Actions. While the Implementation Roadmap serves more to guide the implementation activities with guiding principles and tactical support, the Tracking Tool addresses metrics for identifying progress of and accountability for the outlined processes. The Tracking Tool is included as an addendum at the end of this chapter.

**Action 1.** *Develop business rules and guidance that support internal information sharing, making cross-functional and cross-location communications an integral part of performing the work of the OIG. Identify appropriate opportunities for improved internal information sharing and transparency that will help improve organizational performance.*

The purpose of this Action is to develop practices and mechanisms for sharing work-related information among staff and foster greater transparency regarding the internal operations of the OIG. This involves identifying the information needed by staff members to achieve a basic understanding of the ongoing and previous work across the office and encouraging staff to engage more with each other to enhance efficiency and effectiveness. The team members who execute this Action must possess a thorough understanding of the work processes in their own functional areas, be able to define the basic status information needs of their colleagues, and possess a comprehensive understanding of which information is appropriate to share. Their colleagues will represent the end users of the information.

<p><b>Action 1:</b> Develop business rules and guidance that support internal information sharing, making cross-functional and cross-location communications an integral part of performing the work of the OIG. Identify appropriate opportunities for improved internal information sharing and transparency that will help improve organizational performance.</p>	
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• It is the guiding assumption that information within the OIG will be shared, unless there is a specific reason not to. <ul style="list-style-type: none"> <li>◦ All staff will benefit from having access to information on the high-level status and nature of OIG work.</li> <li>◦ Having a better understanding of the inventory of work and issues (in general terms, without revealing sensitive details) will lead to better strategies on how to best to integrate the work, enhance OIG effectiveness, and reduce redundancy.</li> </ul> </li> <li>• Clear language regarding appropriate communications which eliminates the likelihood of a “closed-off” atmosphere, fosters cooperation and collaboration.</li> </ul>	
<p><b>Step 1</b> Discuss and determine the limitations and exceptions guiding the adoption of a transparent information sharing approach within the OIG (i.e., identify those instances that justify need-to-know approach)</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify the circumstances that would preclude the sharing of information with the entire OIG, or certain groups within OIG, i.e., identify data that will be compromised if shared with unauthorized users. <ul style="list-style-type: none"> <li>◦ Exceptions to a transparent information sharing approach would include internal discipline issues, issues that could be considered extremely personal</li> </ul> </li> </ul>

<p><b>Action 1:</b> Develop business rules and guidance that support internal information sharing, making cross-functional and cross-location communications an integral part of performing the work of the OIG. Identify appropriate opportunities for improved internal information sharing and transparency that will help improve organizational performance.</p>	
<p>to access).</p>	<p>and not appropriate for sharing, and those touching on a very high level of confidentiality.</p> <ul style="list-style-type: none"> <li>○ Additionally, there is a clear need to restrict detailed information dissemination as it relates to ongoing audits and investigations and the subjects of those cases.</li> </ul>
<p><b>Step 2</b> Identify the critical pieces of information that should be available so that everyone has an understanding of both ongoing and previous work across all functions within the OIG.</p>	<p><b>Things To Do:</b></p> <p><u>Content</u><sup>6</sup></p> <ul style="list-style-type: none"> <li>• Identify the critical information that each functional group requires to do its job effectively and efficiently, as well as provide OIG employees with a sense of belonging and support motivation, including:             <ul style="list-style-type: none"> <li>○ Official lines of authority to clarify roles and responsibilities (i.e., clarifying who to contact to obtain various forms of approvals, review products, submit reports).</li> <li>○ Overall work process and administrative representative (contact information) that will enable all employees to understand who-does-what.</li> </ul> </li> <li>• Evaluate the information housed on the OIG Subnet and determine if it is still relevant.</li> <li>• Determine how to increase access to content on the Subnet (or updated document repository.)</li> </ul> <p><u>Mechanism</u></p> <ul style="list-style-type: none"> <li>• Design the data elements needed in a database for researching past and present data pertaining to audit, evaluations, investigations, M&amp;P, and legal. Although this database may be developed using an existing application (e.g., TeamMate, Amtrak Investigations Management System (AIMS)), the creation of a simple OIG dashboard might require a new development effort. (Action 2 involves selection and development of the appropriate tool.)</li> </ul>

<sup>6</sup> These comments reflect ideas generated within the Working Group session as well as input obtained during a data gathering activity conducted by Working Group members. These comments reflect specific information needs around position descriptions, performance management, and tracking of administrative data (e.g., leave requests) and therefore reflect communication aspects and needs specific to Personnel Management, rather than the execution of work, and will be forwarded to the Human Capital Working Group for their consideration.

<p><b>Action 1:</b> Develop business rules and guidance that support internal information sharing, making cross-functional and cross-location communications an integral part of performing the work of the OIG. Identify appropriate opportunities for improved internal information sharing and transparency that will help improve organizational performance.</p>	
	<p><u>Administrative</u></p> <ul style="list-style-type: none"> <li>• Identify a technical lead to provide maintenance and service to the database. Define the position(s) within the OIG that should carry out this ongoing responsibility.</li> <li>• Create a template for the project summary that captures key data elements that users need.             <ul style="list-style-type: none"> <li>◦ Provide brief summaries of both current and previous cases, including, when appropriate, staff involved, duration, findings, recommendations, and resolution.</li> </ul> </li> <li>• Due to the potentially vast amount of information available on past work, determine a cut-off date so that only relevant information that may affect the OIG’s current and future work are included. (There is diminishing value and substantial cost associated with migrating old work into a searchable database.)</li> <li>• Develop policy for what and how information will be added or deleted from the database.</li> </ul>
<p><b>Step 3</b> Develop direction about how the conduct of work will change to incorporate this new information sharing.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Develop protocols on who to communicate with about specific project-related issues and the preferred method of communication. Include the contact person and method of communication in the project summary.</li> <li>• Explain what is changing and define the expectations for new behavior.             <ul style="list-style-type: none"> <li>◦ This may include the IG issuing policy for the office and providing training on the use of communication tools.</li> <li>◦ Explain how the workflow of audit, evaluations, and investigations work will change when the new information sharing tools are implemented.</li> <li>◦ Determine and explain how the work processes for M&amp;P and legal will change.</li> </ul> </li> <li>• Explain how sharing information can strengthen the case. Use examples or instances during implementation that demonstrate how smart information sharing can yield high quality results.</li> <li>• Share semiannual reports from each functional group across the OIG to provide information on current, ongoing and recent efforts, expand knowledge, identify new sources of information, etc.</li> </ul>

**Action 1:** Develop business rules and guidance that support internal information sharing, making cross-functional and cross-location communications an integral part of performing the work of the OIG. Identify appropriate opportunities for improved internal information sharing and transparency that will help improve organizational performance.

**Step 4**  
Identify measures of accountability (both rewards and sanctions) to ensure that staff appropriately utilize and maintain information-sharing tools.

**Things To Do:**

- Determine the degree to which communication contributes to the effectiveness of OIG operations.
- Identify mechanisms to monitor usage and maintenance of information sharing tools.

**Action 2.** *Based on the user information needs identified in Action 1, identify communication tools needed to support information sharing across the OIG. Identify appropriate technical leads for both AIMS and TeamMate who will be responsible for development of tool functionality, maintenance and ongoing updates to automated tools.*

The purpose of this Action is either modify or develop software tools that support information sharing across the OIG, using the staff information needs identified as part of Action 1 . This may involve tailoring TeamMate and AIMS, or developing a new tool (e.g., an OIG “dashboard” or a simple tracking spreadsheet). The tool resulting from this Action is intended to offer summaries of key data fields for access by all staff (e.g., project name, timeframes, project lead, summary of project focus). The focus of this Action is the actual design, development and implementation of the information tool. This effort requires a small team with information technology expertise specifically related to TeamMate and AIMS.

**Action 2:** Based on the user information needs identified in Action 1, identify communication tools needed to support information sharing across the OIG. Identify appropriate technical leads for both AIMS and TeamMate who will be responsible for development of tool functionality, maintenance and ongoing updates to automated tools.

**Guiding Principles:**

- The TeamMate upgrade must be completed (in progress at the time of this writing) in order to achieve implementation objectives.
- AIMS has a technical lead, but TeamMate does not, despite a significant need for it. Some degree of central policy and maintenance is required.
- TeamMate should be the highest priority, as it is critical to the effectiveness, efficiency, and success of Audits and Evaluations (The QTWP Working Group addressed the criticality of TeamMate as well, and offered an early recommendation regarding the upgrade and OIG-wide training.).
- Creating a clear sense of where overlaps in activities and work processes between Audit, I&E and Investigations exist and reducing the “need to know” culture will create higher levels of productivity and improved morale.
- All staff should learn how to use the tool, as it is intended to be a key resource that is accessed frequently; formalized training and a tutorial schedule will help better prepare staff to use information sharing tools.

<p><b>Action 2:</b> Based on the user information needs identified in Action 1, identify communication tools needed to support information sharing across the OIG. Identify appropriate technical leads for both AIMS and TeamMate who will be responsible for development of tool functionality, maintenance and ongoing updates to automated tools.</p>	
<p><b>Step 1</b> Specify roles and responsibilities for those who will design, develop, and maintain internal tools.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Recommend the assignment of a TeamMate technical lead.</li> <li>• Specify who is responsible for testing, training, ongoing support and tool maintenance and enhancements over time.</li> <li>• Ensure that at least two employees possess expertise in all areas mentioned above to function as mentors or super-users to the rest of OIG.</li> </ul>
<p><b>Step 2</b> Using input from users (data from Action 1 Step 2 above), engage in a technical discussion about how to integrate key pieces of information from TeamMate and AIMS to form the basis of an OIG dashboard.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Install the latest version of TeamMate and its modules to support the new OIG Audit and Evaluation policy.</li> <li>• Determine how TeamMate and AIMS can support the user information needs across the OIG. <ul style="list-style-type: none"> <li>◦ Define what type of customization is required to adapt these tools to meet the user requirements.</li> <li>◦ Develop the development plan/approach to customize these tools.</li> </ul> </li> <li>• If TeamMate and/or AIMS will not support the user needs, determine the difficulty, cost and level of effort required to develop a workable solution.</li> <li>• The Implementation Team in Action 2 is facing very technical issues. For instance, AIMS is an internet based system, while TeamMate is a software application. The Implementation Team must consider how or even whether to integrate these two systems; or if integration is too expensive or too difficult, the team may consider assigning permissions to allow people to view key pieces of data in AIMS and TeamMate.</li> </ul>
<p><b>Step 3</b> Build the OIG dashboard OR assign permissions to allow viewing of key pieces of data within AIMS and TeamMate across the OIG.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Based upon the results of Step 2 and selection of the best tool option, modify the existing tools or build a custom solution.</li> <li>• Establish a schedule for design, development, testing and implementation.</li> <li>• Execute the schedule, relying on vendor support if appropriate technical skill is not resident in the OIG.</li> </ul>
<p><b>Step 4</b> Develop and deliver training or tutorials for all staff in the use of the new information sharing tool(s).</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Focus on the technical aspects of how to access the tool and update project information.</li> </ul>

**Action 3.** *Develop an OIG Communications Strategy to guide internal communications from Senior Leadership.*

The focus of this Action is to formalize both the process and content of communicating with the entire OIG. By offering a more need-driven structure to Senior Leadership, (which is defined as the Inspector General (IG), the Deputy Inspector General (DIG), and the Assistant Inspectors General (AIGs)) as they plan their periodic communications with staff, both Leadership and staff will benefit by delivering important information in the most efficient and effective manner. Many of the comments regarding the type of information desired come from interviews with OIG staff conducted by the Working Group during the course of their activities. Additional data gathering may be necessary for members of the Implementation Team in order to gain further clarity regarding the needs and preferences of OIG employees as they relate to internal communications.

<p><b>Action 3:</b> Develop an OIG Communications Strategy to guide internal communications from Senior Leadership.</p>	
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• Senior Leadership within the OIG has made good progress towards communicating more strategically and not simply “reacting” to the need for greater communications. The IG, DIG and the AIGs need to continue to communicate in a thoughtful proactive manner.</li> <li>• Deliberate efforts to deliver thoughtful, cohesive messaging that reflect OIG objectives will help to support an open and collaborative culture unified in common purpose.</li> <li>• Staff need to receive tailored, targeted communications from senior leaders, that are relevant to the work of the OIG.</li> </ul>	
<p><b>Step1</b> Develop suggested approach for periodic mass communications from Senior Leadership to staff (to include all-hands meetings, announcements, etc.).</p>	<p><b>Things To Do:</b> Discuss and develop suggestions that include:</p> <ul style="list-style-type: none"> <li>• Type of content needed or that is appropriate – e.g., sharing the expectations of the department, anticipated changes in staffing levels, actions that may impact work practices such as training, new policies or practices, and other issues that affect large segments or the entire OIG workforce.</li> <li>• Frequency – on an as-needed basis or at least quarterly.</li> <li>• Specific channels or mechanisms (e.g., email, formal policy, intranet) – Group emails for immediate distribution or formal written correspondence for a longer term distribution.</li> <li>• Specific information identified from Senior Leadership include:             <ul style="list-style-type: none"> <li>○ Clear communication about their expectations of their staff</li> <li>○ Current Amtrak developments</li> <li>○ Concerns of the Board that affect the OIG</li> <li>○ Any issues, whether internal or external to the OIG, that affect jobs</li> </ul> </li> </ul>



	<ul style="list-style-type: none"> <li>○ Meetings</li> <li>○ Policy changes</li> <li>○ Staffing updates</li> <li>○ Team accomplishments</li> <li>○ Personal news</li> <li>○ Acknowledgement of employees’ perceived “loss” as a result of recent organizational change</li> <li>• Plan more routine meetings with all staff. <ul style="list-style-type: none"> <li>○ Establish more group discussions.</li> <li>○ Thoroughly prepare the message when sharing factual updates.</li> <li>○ Provide feedback mechanisms and consider staff inputs.</li> </ul> </li> <li>• Ensure that verbal communications of department policy changes are followed up in writing.</li> <li>• Consider the Draft Communications Plan Development Guide as a resource when engaging in this task, as it offers a template for structuring the communications guidance, as well as a summary of interview data recently collected from OIG staff.</li> </ul>
<p><b>Step 2</b> Develop suggestions for developing more effective face-to-face communications from Senior Leadership to staff, based on the information needs of the staff.</p>	<p><b>Things To Do:</b> Elements to discuss include:</p> <ul style="list-style-type: none"> <li>• Address type of content needed or that is appropriate – what kinds of work-related information should be shared only in a less formal, verbal exchange.</li> <li>• Identify appropriate frequency for engaging staff – how often should Senior Leadership try to engage with individuals or smaller groups.</li> <li>• Offer general principles or a framework for effective communication are identified and documented.</li> <li>• Be direct, non-emotional, factual, clear, courteous, and respectful in your communication.</li> <li>• Be prepared for meetings, prepare an agenda, take minutes and publish them or make them available.</li> </ul>

**Action 4.** *Develop an OIG Communications Strategy to guide internal communications within and among functional groups.*

The focus of this Action is to provide more clarity and guidance to all staff as they engage with co-workers across the OIG. This kind of guidance was viewed as critical for helping move the OIG from a “need to know” culture to a more open, collaborative working environment. The intent is not to provide rigid structure for all internal communications, but rather to offer general guidance and clarify who, what, when, where, why and how staff should be communicating in support of this future state. This guidance is particularly relevant for staff from different teams or functions who must work together, share information or coordinate efforts.

<p><b>Action 4.</b> Develop an OIG Communications Strategy to guide internal communications within and among functional groups.</p>	
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• It is important to address ad hoc communication issues first, as they are not related to any work policies. This type of guidance is needed to help encourage effective internal communications and foster greater collaboration.</li> <li>• Improving cross functional communications will increase efficiencies throughout the OIG and will allow for a reduction of duplicative activities.</li> <li>• Currently there is significant disparity regarding engaging counterparts between functions, and therefore the details and tone of communications throughout the organization lacks consistency.</li> </ul>	
<p><b>Step 1</b> Develop direction for written communications within and across functions and work groups.</p> <ul style="list-style-type: none"> <li>• This Action and its Steps should be conducted separately for policy-driven communications (i.e., formal communications with rules and protocols) and ad hoc or informal communications within the OIG.</li> </ul>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Consider the Draft Communications Plan Development Guide as a resource when engaging in this task, as it offers a template for structuring the communications guidance, as well as a summary of interview data recently collected from OIG staff.</li> </ul> <p><u>Include suggestions for ad hoc communication issues:</u></p> <ul style="list-style-type: none"> <li>• Type of content needed or that is appropriate -- information on the scope of work, findings, contacts, etc.</li> <li>• Monthly or quarterly updates to communicate with the field and include achievements, successes, solicit suggestions and questions.</li> <li>• Specific channels or mechanisms (e.g., email, intranet).</li> <li>• Frequency – this should tie to the workflow and project plans; the work being done by the QTWP may be consulted when developing this guidance.</li> <li>• Roles and responsibilities include: <ul style="list-style-type: none"> <li>○ Managers below the AIG level can prepare periodic updates to share with their own groups, as well as across the OIG about successes, new developments, important findings, etc.</li> <li>○ Non-managers need guidance on how to engage</li> </ul> </li> </ul>



<p><b>Action 4.</b> Develop an OIG Communications Strategy to guide internal communications within and among functional groups.</p>	
	<p>with those from other groups as well as at higher positions within the OIG; refrain from prescribing strict bureaucratic chain-of-command protocols for routine information sharing/seeking communications that support the work, given the small size of the organization and emphasis on building greater collaboration.</p> <ul style="list-style-type: none"> <li>• Methods to be more inclusive/encouraging of all staff. <ul style="list-style-type: none"> <li>◦ Solicit information from the field and share with headquarters.</li> <li>◦ Be considerate of the field locations when scheduling dates and times for training and meetings.</li> </ul> </li> </ul> <p><u>Address policy-driven communications next:</u></p> <ul style="list-style-type: none"> <li>• Develop communication strategies specifically related to supporting OIG policy as they are developed and approved. <ul style="list-style-type: none"> <li>◦ Audit policies were recently written to reflect Yellow Book standards and are currently being reviewed and tailored to fit Amtrak OIG desired culture.</li> <li>◦ Office of Investigation policy development is ongoing and expected to be available in summer 2011.</li> </ul> </li> </ul>
<p><b>Step 2</b> Develop direction for face-to-face communications within and across functions and work groups.</p>	<p><b>Things To Do:</b> Discuss and develop suggestions for elements including:</p> <ul style="list-style-type: none"> <li>• Type of content needed or that is appropriate – what kinds of work-related information should be shared only in a verbal exchange.</li> <li>• Frequency – how often should functional groups engage with one another for the purpose of information sharing.</li> <li>• Offer general principles or a framework for effective communication to be identified and documented: <ul style="list-style-type: none"> <li>◦ Be direct, non-emotional, factual, clear, courteous, and respectful in your communication.</li> <li>◦ Be prepared for meetings, prepare an agenda, take minutes and publish them or make them available.</li> <li>◦ Encourage direct method of communications versus taking action based on indirect or hearsay communications. Sr. Management should not be easily influenced by communications that may be based on personal gain or have some bias.</li> </ul> </li> </ul>

**Action 4.** Develop an OIG Communications Strategy to guide internal communications within and among functional groups.

<p><b>Step 3</b> Identify accountability mechanisms to ensure that OIG communications reflect one collective voice and that hold all members responsible for improving communication practices.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Define what is meant by being “accountable” for supporting the improvements and engaging in more open communication.</li> <li>• Encourage, measure and acknowledge open communication among all OIG staff in employee evaluations.             <ul style="list-style-type: none"> <li>◦ Build accountability for desired communication behaviors into the overall performance evaluation process, including group, team and employee and performance goals.</li> </ul> </li> <li>• Set improvement goals that management expects to achieve upon adoption of the new communication practices (i.e., define the specific measures of success for improving communication).</li> </ul>
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**Additional Support**

The Actions and steps described above are intended to guide the activities of the Implementation Team. A draft Communications Plan Guide, which serves as an additional support document is listed as an addendum at the end of the chapter.



## Tracking Tool to Guide Action Plan Implementation

<b>Internal Communications</b>			
<b>Desired Future State:</b> Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.			
<b>Action 1. Develop business rules and direction that support internal information sharing, making cross-functional and cross-location communications an integral part of performing the work of the OIG.</b> Identify opportunities for improved internal information sharing and transparency that will help improve organizational performance. Estimated time for this Action: 30 days <sup>7</sup>			
<b>Step</b>	<b>Examples of Targets/Measure</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Discuss and determine the limitations and exceptions guiding the adoption of a transparent information sharing approach within the OIG (i.e., identify those instances that justify need-to-know approach to access).	Documented list of situations or instances that justify need-to-know and require confidentiality		
2) Identify the critical pieces of information that should be available to give everyone an understanding of both ongoing and previous work across all functions within the OIG.	Documented list of key data elements that are relevant across the OIG		
3) Develop direction about how the conduct of work will change to incorporate this new information sharing.	Written description of work processes that are affected by greater sharing information		
4) Identify measures of accountability (both rewards and sanctions) to ensure that staff appropriately utilize and maintain information-sharing tools.	Documented list of rewards and sanctions to adopt to reinforce better communication		

<sup>7</sup> In many cases durations are offered for the time being, until review by and discussions with Amtrak OIG and commitment to act on this plan



## Tracking Tool to Guide Action Plan Implementation

<b>Internal Communications</b>			
<p><b>Desired Future State:</b> Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.</p>			
<p><b>Action 2. Based on the user information needs identified in Action 1, identify communication tools needed to support information sharing across the OIG.</b> Identify appropriate technical leads for both AIMS and TeamMate who will be responsible for development of tool functionality, maintenance and ongoing updates to automated tools.            Estimated time for this Action: Completion of Action 1 plus 30 days</p>			
Step	Examples of Targets/Measure	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Specify roles and responsibilities for those who will design, develop, and maintain internal tools.	Documented roles and responsibilities for tool “owners”		
2) Using input from users (data from Action 1 Step 2 above), engage in a technical discussion about how to integrate key pieces of information from TeamMate and AIMS to form the basis of an OIG dashboard.	Documented recommended solution (options include an integrated dashboard and/or open access to both tools across all staff)		
3) Build the OIG dashboard OR assign permissions to allow viewing of key pieces of data within AIMS and TeamMate across the OIG.	Developed tool ready for implementation across the OIG		
4) Develop and deliver training or tutorials for all staff in the use of the new information sharing tool(s).	All staff trained on use of information sharing tools		



## Tracking Tool to Guide Action Plan Implementation

<b>Internal Communications</b>			
<b>Desired Future State:</b> Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.			
<b>Action 3. Develop an OIG Communications Strategy to guide internal communications from Senior Leadership.</b> Estimated time for this Action: 30 days			
<b>Step</b>	<b>Examples of Targets/Measure</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Develop suggested approach for periodic mass communications from senior management to staff (to include all-hands meetings, announcements, etc.)	Documented approach for Senior Leadership as a component of an overall communications plan		
2) Develop suggestions for developing more effective face-to-face communications from Senior Leadership to staff, based on the information needs of the staff.	Documented suggestions for Senior Leadership as a component of an overall communications plan		



## Tracking Tool to Guide Action Plan Implementation

<b>Internal Communications</b>				
<b>Desired Future State:</b> Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.				
<b>Action 4. Develop an OIG Communications Strategy to guide internal communications within and among functional groups.</b> Estimated time for this Action: <ul style="list-style-type: none"> <li>• Policy-driven: 2 months after the OI completes its policy development</li> <li>• Ad hoc: 3 months</li> </ul>				
	<b>Step</b>	<b>Examples of Targets/Measure</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Develop direction for written communications within and across functions and work groups.	Policy-driven Communications (formal communications rules and protocols)	Documented direction as a component of an overall OIG staff communications plan		
	Ad hoc Communications (informal communications)	Documented direction as a component of an overall OIG staff communications plan		



## Tracking Tool to Guide Action Plan Implementation

<b>Internal Communications</b>			
<b>Desired Future State:</b> Amtrak OIG is an organization with effective internal communication strategies that allow all OIG staff to be informed and invested in achieving a high-performance, high-accountability organizational mission.			
<b>Action 4. Develop an OIG Communications Strategy to guide internal communications within and among functional groups.</b>			
Estimated time for this Action:			
<ul style="list-style-type: none"> <li>• Policy-driven: 2 months after the OI completes its policy development</li> <li>• Ad hoc: 3 months</li> </ul>			
Step	Examples of Targets/Measure	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
2) Develop direction for face-to-face communications within and across functions and work groups.	Policy-driven Communications (formal communications rules and protocols)	Documented direction as a component of an overall staff communications plan.	
	Ad hoc Communications (informal communications)	Documented direction as a component of an overall staff communications plan	
3) Identify accountability mechanisms to ensure that OIG communications reflect one collective voice and that hold all members responsible for improving communication practices.	Documented performance measurement criteria that reflect appropriate communication practices (to be coordinated with HCM.)		



## **Tracking Tool to Guide Action Plan Implementation**

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Amtrak, Office of the Inspector General  
Draft Communications Plan Development Guide

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## Introduction

The purpose of communications planning in the context of this project is to provide a framework for engaging staff members throughout the development of Implementation Roadmaps to guide operational and organizational improvements within the Office of Inspector General (OIG). A clear approach to communication ensures that all staff receive and offer appropriate communications in a clear, timely fashion through the most effective channels.

The purpose of this planning template is to address the following communication objectives:

- **Audiences** - Identify the best way to organize staff groupings to ensure effective and timely distribution of information
- **Channels and Timing** - Provide a basic schedule or timeframe for sharing information and status of the effort
- **Content** - Assist in framing staff expectations of the project and overall OIG objectives
- **Accountability** - Implement mechanisms throughout the organization so that communication is not simply a top-down process
  - Reinforce the OIG's commitment to work as a team and communicate with "one voice" in messages to ensure that staff:
    - receive consistent information;
    - receive accurate information in a timely manner; and
    - have multiple opportunities to participate in achieving project objectives and actively engage in the communication process.

## Communication Plan

Having a communication plan further strengthens the concept of unified, consistent messaging and encourages knowledge sharing by following shared procedures for all communications. This basic guidance allows all audiences within OIG to receive accurate and timely information about the implementation activities that affect or include them. The communication plan also offers other mechanisms and types of messaging that OIG staff have requested and suggested while participating in interviews and the recent staff-wide survey. These multiple forms of communication serve as critical aspects of OIG's work toward becoming a high-performing organization and achieving Strategic Goal #6 – *Leading by Example as a Model OIG*.

### ***Staff Input to Communications***

As part of the Internal Communications Working Group Sessions, members gathered data regarding perceptions and preferences as they relate to communicating within the OIG. The Working Group engaged members from diverse functional areas, organizational levels and geographic locations. The input gathered from these sessions will help shape the development of new communications policy. Not all comments or suggestions could be accommodated but all were acknowledged. The feedback about communication offered by staff revealed the following:

#### *Which groups would you like to have more ongoing access to in the course of your work?*

- A majority of interviewees highlighted the importance of enhancing the cooperation between the Audit group and the IT group. It is very difficult for the Audit group to complete some audit projects without IT's technical expertise.
- It is noted that there should be more cooperation between the Audit and I&E groups. I&E's subject matter expertise could be leveraged by the Audit group.
- The relationships between auditors and investigators were mentioned by several people.
- Some interviewees stated that they need to have better communications with everyone.
- It seems like the I&E group didn't have as many communication issues as other groups. Several interviewees from the I&E group stressed that their supervisor has maintained effective and constant communications within the group.

#### *How communication would improve the work?*

It is believed that effective internal communications would significantly enhance the work performance of the OIG. Better communication would enable the OIG staff to

- reduce conflicts and misunderstanding;
- share each other's knowledge and expertise to improve efficiency and minimize duplicate efforts; and
- increase productivity by having clear expectations and directions from the senior management team.

How do you prefer to communicate?

Some people noted that communication methods depend on the nature of the communications. Suggested communication mechanisms include:

- Face-to-face communications such as bi-weekly staff meetings, team meetings (inviting people from other functional groups), quarterly meetings between functional groups, etc. It is recognized that face-to-face communication is important to establish strong relationships. Many interviewees highlighted the importance of having routine face time with and email updates from the senior management team.
- Email is a preferred communication method mentioned by a number of interviewees, as it requires less coordination and provides evidence of the communication.
- Phone is convenient and good for communicating pressing or time sensitive issues.
- Newsletters including meaningful information on successful projects and emerging issues
- Internal dashboard or internal website
- A monthly work summary between groups (2-3 pages)

Although it is important to develop effective communication tools, several interviewees pointed out that OIG's communication problem resulted from the lack of structured processes and policies to ensure routine information sharing in the organization. This point was reiterated by several interviewees through other questions.

What suggestions do you have for improving ongoing, work-related communications among the various OIG locations?

Many interviewees stressed the importance of initiating communication policies and procedures to hold staff members accountable. For example, respond to all emails within 24 hours; put out-of-office reply notifications on email and voicemails; make adherence to policy part of everyone's performance evaluation.

It is believed that regular meetings are crucial to improve communications. Effective meetings should be structured to allow open discussions and encourage staff's participations.

- All-hands meeting (twice a year)
- By-weekly staff meetings/calls including field offices

- Conference calls to allow each group to summarize activities

The use of electronic tools was mentioned by a number of interviewees to improve communications between field offices and HQ.

- Internal web page/website to exchange information
- Internal instant chat capability
- TeamMate
  - Allow access to TeamMate from staff laptops and remotely to allow the audit teams to use their time efficiently and effectively while working away from the office.
  - Everyone should have Read-Only access to all TeamMate projects.
  - Assign someone to be in charge of administering TeamMate.

Many interviewees noted that the Senior Management team should play a more active role in improving communications between HQ and field offices. The importance of field visits by the senior management was highlighted by several interviewees, however, it is also noted that field visits promised previously have not been materialized.

*What kinds of information would you like to receive on a regular basis from senior management?*

When asked about the desired information from the Senior Leadership, interviewees provided a wide range of responses. Typical comments were:

- Information on 1) ongoing work status; 2) staff updates (new hires, reassignments, and promotions); 3) changes in policy, procedure or administrative issues (sent in writing); 4) team accomplishments; 5) all-hands meeting agenda, focus, and purpose; and 6) training opportunities.
- Clear expectations for staff members; performance goals and objectives
- External Issues that impact the work of OIG:
  - Executive Committee Meetings and Board Meetings (Amtrak's development and priorities)
  - Congressional investigations

*What are the best ways to solicit feedback from the staff?*

Interviewees noted that staff feedback to the senior management should be anonymous and confidential. Suggested feedback mechanisms include:

- Team Meetings, All-hands Meetings (with discussions), Focus Groups, Brownbag Lunches
- Individual face-to-face talk with the senior management
- Website, all-staff email
- Suggestion Box, Surveys, Newsletter, professional celebration
- Internal Advisors
- Distribution of a quick reference listing all employees with their primary duties

It is suggested that the OIG use an outside vendor to facilitate anonymous upward feedback to supervisors and peers annually. Individuals should specify the corrective actions to address opportunities for improvement identified in their upward feedback reports. In addition, performance managers should take into account the feedback provided to individuals when developing specific professional development goals during the goal setting process.

### **Meeting Communication Objectives**

These findings helped shape the areas for action in the Internal Communications Working Group sessions and identified the need for more structured communications activities. This information - as well as potentially gathering additional data - can assist in addressing communication objectives and developing a communications plan that meets the needs of the OIG and improves information sharing.

Objectives noted earlier in the document include:

***Audiences - Identify the best way to organize staff groupings to ensure effective and timely distribution of information***

This activity will allow the Implementation Team to focus communications content and timing on the appropriate groups and customize accordingly. Sample questions to ask include:

- How should groups be organized to receive OIG-wide information?
  - By functional group?
  - By geographic location?
  - By level within the OIG?
  
- What is the best way to solicit upward communications from staff at all levels?
  - By functional group?
  - By geographic location?
  - By level within the OIG?
  
- How are these staff members currently being engaged in the communications process and what mechanisms are the most (and least) effective?

***Channels and Timing - Provide a basic schedule or timeframe for sharing information and status of the effort***

A key activity for the Internal Communications Implementation Team will be to develop a communications schedule and populate the template below, which can be customized or modified during the Implementation phase.

***Communications Schedule***

***Top Down Messaging From Leadership***

Communication Item	Content	Audience	Channel	Timing	Owner	Purpose/ Outcome/ Outputs
<b>Face-to-Face</b>						
<b>Written</b>						



*Horizontal Messaging Across OIG Functions*

Communication Item	Content	Audience	Channel	Timing	Owner	Purpose/ Outcome/ Outputs
<b>Face-to-Face</b>						
<b>Written</b>						

***Content - Assist in framing staff expectations of the project and overall OIG Objectives***

The Implementation Team will need to maintain an open relationship with both Senior Leadership as well as staff representatives to ensure that the communications activities respond to staff expectations and offer opportunities to clarify and respond to these expectations periodically. The Implementation Team will need to develop a “pulse checking” mechanism during the implementation process.

***Reinforce the Senior Staff’s commitment to work as a team and communicate with “one voice” in messages to ensure that staff:***

- receive consistent information;
- receive accurate information in a timely manner; and
- have multiple opportunities to participate in achieving project objectives

The Implementation Team’s will be tasked with a quality assurance role in order to ensure that the messages being received consistently reflect the intended timeline, convey the same message to all and maintain the collective tone of the OIG and its leadership.

***Implement accountabilities throughout the organization so that communication is not simply a top-down process***

A challenge for this Implementation Team is identifying ways to motivate all communicators to maintain positive momentum for consistent, high-quality communication.

**TAB III**

**The Amtrak Office of Inspector General  
Organizational Assessment Phase II  
Implementation Roadmap Development**

**Subject: External Communications**

Tab III contains the External Communications Implementation Roadmap and Tracking Tool developed by the Working Group to guide the activities of the Implementation Team.

- External Communications Implementation Roadmap
- External Communications Implementation Tracking Tool

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### III. External Communications

*Desired Future State: Amtrak OIG has constructive relationships with Amtrak, Congress, and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.*

The External Communications (EC) Working Group, headed by Executive Sponsor, Assistant Inspector General (AIG) for Investigations, Adrienne Rish and assisted by Principal Communications Officer, Michael Fruitman (Initiative Team Lead, John Grimes, was on medical leave) completed two Working Group sessions and continued work via email and phone conferences during January and early February 2011, and identified three key Actions that frame this Roadmap. These Actions are described in more detail later in this chapter.

#### External Communications

The key observations from the Amtrak Phase I review included:

- The IG has developed good, early working relationships with Amtrak management, the Board, and the Hill.
- OIG does not have an established process with standardized timeframes for providing stakeholders updates on work-in-progress; stakeholders have expressed a desire in knowing how and when the OIG will communicate with them.
- Some external stakeholders perceive that they have received less information than others from the Amtrak OIG and suspect that information has been leaked by OIG staff.

In addition to maintaining outreach to the Amtrak Board and Congress this year, OIG Leadership has attended other key stakeholder meetings, such as the Council of the Inspectors General on Integrity and Efficiency. OIG has also begun working on further strengthening their relationships with stakeholders by developing a more proactive approach to engaging stakeholders and coordinating both internal and external messaging to ensure consistency.

#### Observations

The Working Group indicated that Amtrak OIG needs to engage external stakeholders in a way that clarifies the uniquely relevant value of the Amtrak OIG as a capable and independent body of oversight. The group recognized the value of developing a “marketing plan” in essence that helps explain what the OIG does, how the work gets done and what the meaningful results of this work are. In the past, Congressional engagement was extremely reactive and did not provide the relationship building and mutual trust and respect that empower an effective OIG.

The group identified the need to develop an “OIG 101”, basic approach that would allow for customization of a standard baseline document that can be shared with stakeholders, external and internal alike. The key steps in this endeavor will require keen attention to accountability and creative approaches to measuring impact.

## Characteristics of Improved External Communication

In addition to defining specific actions to implement, the Working Group described a set of future state characteristics and sample behaviors they would expect to see as a result of improved external communication (see chart that follows).

*Desired Future State - Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.*

### **Desired Future State Characteristic**

We will know that the organization has achieved this desired future state because the activities related to external communications will be:

- Proactive
- Supporting a clear, consistent brand image
- Easily understood and free of jargon
- Well-received by external stakeholders
- Reflecting high-impact, useful, and valuable
- Periodically monitored for feedback
- Appropriately coordinated to ensure the appropriate channels, audience and content
- Communicating OIG independence
- Engaging and approachable by stakeholders
- Reflective of Strategic Plan Goal 6 – *Leading by Example as a Model OIG*

## Implementation Actions and Steps

The three Actions designed to improve external communications each have multiple associated implementation steps, and the Working Group offered additional information to the Implementation Team in the form of context, guidance and commentary to help them carry out these Actions and Steps. This information is presented on the following pages in the Implementation Roadmap.

A Tracking Tool for the Implementation Roadmap addresses the need to identify the suggested lead for the Implementation Team; timeframes or end dates for completing each Action and its correlating Steps; and suggested measures or targets to assess progress toward accomplishing the Actions. While the Implementation Roadmap serves more to guide the implementation activities with guiding principles and tactical support, the Tracking Tool addresses metrics for identifying progress of and accountability for the outlined processes. The Tracking Tool is included as an addendum at the end of this chapter.

**Action 1.** *Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.*

The purpose of this Action is to develop a practical and concise message relating to the uniquely relevant value of Amtrak OIG. As effective engagement of key external stakeholders is crucial to a successful OIG, it is imperative that the Implementation Team take an approach that allows the organization to “market” its capabilities. The first Step in this process is to ensure that stakeholders understand what Amtrak OIG does, what its goals and objectives are and why no one else is equally suited to perform this work.

<b>Action 1:</b> Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.	
<b>1a.</b> Develop a practical, succinct statement of the roles and value of an independent, high-performing OIG.	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>• The Implementation Team will need to develop the language that offers a concise business case for the uniquely relevant value of the Amtrak OIG and responds to the reasonable expectations of the external stakeholders.</li> <li>• This OIG value statement should be incorporated into the OIG overall marketing plan.</li> </ul>	
<b>Step 1</b> Clarify the overall goals and specific objectives of the OIG.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Clarify overall goals and objectives in its strategic plan. [This task has already been completed.]</li> </ul>
<b>Step 2</b> Identify information needs from external stakeholders that help OIG achieve its objectives and provide value to stakeholders.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Take advantage of existing information: <ul style="list-style-type: none"> <li>○ NAPA Phase I report includes the information regarding stakeholders’ information needs.</li> </ul> </li> </ul>
<b>Step 3</b> Develop the business case that communicates the value of the OIG.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• The new relationship document is a good information source.</li> <li>• Coordinate with the Independence Working Group.</li> </ul>
<b>Step 4</b> Solicit feedback from OIG Senior Leadership.	

<b>Action 1:</b> Develop overall approach to educating stakeholders about the unique value of Amtrak OIG.	
<b>1b.</b> Develop an organized, high-level marketing plan to establish the brand of Amtrak OIG.	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>Given the lack of clear understanding of OIG roles and unique values among stakeholders and OIG employees, it is crucial to develop an organized, high-level marketing plan that will strategically scope out Amtrak OIG branding efforts and provide the framework to guide OIG communication activities.</li> <li>The goal is not to develop a comprehensive, detailed plan, but some basic, high-level guidance.</li> </ul>	
<b>Step 1</b> Identify target audiences of the OIG marketing efforts.	<b>Things To Do:</b> The Working Group identified the <u>main target audiences</u> : <ul style="list-style-type: none"> <li>Amtrak Board and Management</li> <li>Amtrak Staff who OIG directly work with when conducting audit, investigations, and evaluations</li> <li>Congress</li> <li>Press, Public, and others.</li> </ul>
<b>Step 2</b> Conduct Amtrak OIG SWOT analysis.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>Conduct internal and external analysis of strengths and weaknesses of the OIG.</li> <li>Scan the cultural environment of OIG as well as key stakeholders (Amtrak Board and Management, Congress).</li> <li>Identify capabilities of and challenges for others to conduct oversight of Amtrak.</li> </ul>
<b>Step 3</b> Develop marketing/branding materials for different audiences.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>The overall introduction (Action 1a) of OIG roles, responsibilities, and unique values is the core message that should stay the same for every audience.</li> <li>Develop selected materials to meet the needs of different audiences.</li> <li>Ensure consistency and accuracy of marketing products.</li> <li>Example marketing products: OIG 101(Action 1c) and the Semiannual Reports (SARs).</li> </ul>
<b>Step 4</b> Develop instruments and structure to distribute OIG marketing messages.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>Develop different communication channels for different audiences.</li> </ul>
<b>Step 5</b> Specify roles and responsibilities for those who will manage the OIG marketing efforts.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>Ensure clarity related to roles and responsibilities as they relate to marketing efforts.</li> </ul>



<b>Action 1:</b> Develop overall approach to educating stakeholders about the unique value of Amtrak OIG.	
<b>1b.</b> Develop an organized, high-level marketing plan to establish the brand of Amtrak OIG.	
<p><b>Step 6</b> Solicit feedback from OIG Senior Leadership and staff members.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Coordinate with the Internal Communications Group. The OIG should share the marketing plan internally—every employee will become an OIG “ambassador.”</li> </ul>

<b>Action 1:</b> Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.	
<b>1c.</b> Develop details of “OIG 101” to support high-level messaging.	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>• The goal of an “OIG 101” approach is to help stakeholders understand the roles and responsibilities of an independent, high-performing OIG and guide the interactions between the OIG and its stakeholders.</li> <li>• OIG 101 is one of the OIG marketing products and can be developed concurrently with the marketing plan (Action 1b); however, it is important to ensure that the OIG 101 supports the overall OIG marketing efforts.</li> </ul>	
<b>Step 1</b> Identify the stakeholders who should receive OIG 101.	<b>Things To Do:</b> The Working Group identified the main stakeholders: <ul style="list-style-type: none"> <li>• Amtrak Board, Management, and Staff</li> <li>• Congress</li> <li>• OIG Staff.</li> </ul>
<b>Step 2</b> Identify those working on content development in functional areas to avoid duplicative content development activities.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Suggested OIG educational materials/products to check: <ul style="list-style-type: none"> <li>○ Quality Standards for Federal OIGs</li> <li>○ Office of Investigations: <ul style="list-style-type: none"> <li>▪ “Investigations Handbook”</li> <li>▪ Hotline Information</li> <li>▪ Fraud Awareness</li> </ul> </li> <li>○ Legal Counsel—Overall OIG Introduction</li> <li>○ Audit –Audit 101 materials</li> <li>○ I&amp;E New Employees Orientation Materials</li> </ul> </li> <li>• This Step could be done concurrently with Step 3.</li> </ul>
<b>Step 3</b> Develop the critical pieces of information that should be included in messaging materials.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Include suggested key elements of the OIG 101 materials: <ul style="list-style-type: none"> <li>○ Vision and mission of the Amtrak OIG</li> <li>○ OIG’s roles, responsibilities, and value to Amtrak, its passengers, the public, and stakeholders</li> <li>○ Effective interactions with an independent OIG.</li> <li>○ OIG value statement to be developed in 1a.</li> </ul> </li> </ul>
<b>Step 4</b> Determine message delivery format/mechanism for OIG 101.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Consider suggestions for delivery mechanisms: PPT presentation, coordinating leave-behind</li> <li>• Coordinate with the Internal Communications Working Group.</li> </ul>
<b>Step 5</b> Select the OIG staff members with effective communication skills to share the materials and or give presentation.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Consider empowering a diverse cross section of employees to share messaging responsibilities.</li> </ul>

<b>Action 1:</b> Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.	
<b>1c.</b> Develop details of “OIG 101” to support high-level messaging.	
<b>Step 6</b> Develop follow-up guidelines.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Develop a schedule and method(s) to follow up with stakeholders after conducting the OIG 101</li> <li>• Revise the OIG 101 (materials, mechanisms, schedule, etc.) based on the feedback from stakeholders.</li> </ul>
<b>Step 7</b> Solicit feedback from OIG Senior Leadership and staff members.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Coordinate with the Internal Communications Group to share the OIG 101 internally.</li> </ul>

**Action 2.** *Establish standard external communication strategies for OIG work*

The purpose of this Action is to identify the key external stakeholders and generate standards that will guide external communication activities and enable a consistent and proactive process. Once in place this process will allow external stakeholders to anticipate on a regular basis updates on key cases, progress on activities and emerging issues in a timely fashion. This all needs to be done in a way that clearly defines Amtrak OIG’s roles an independent oversight body with a clear value and purpose.

<b>Action 2:</b> Establish standard external communication strategies for OIG work.	
<b>Guiding Principles:</b> <ul style="list-style-type: none"> <li>• The goals is to develop general standards to guide OIG communication activities—communicating OIG work results, status, interim findings, heads-up, potential issues, etc.</li> </ul>	
<b>Step 1</b> Identify the core stakeholders who should receive OIG communications on a regular basis.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Coordinate with the <i>Work Planning and Prioritization</i> and <i>Performance Measurement</i> Working Groups.</li> </ul>
<b>Step 2</b> Establish external communications protocols/rules.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Develop different distribution protocols for different groups.</li> </ul>
<b>Step 3</b> Determine the key information that should be communicated to stakeholders regularly.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Consider suggestions for communication content: <ul style="list-style-type: none"> <li>○ Progress, highlights, summary of significant activities</li> <li>○ Emerging and potential Amtrak issues that may warrant OIG involvement.</li> <li>○ Perceived risks</li> <li>○ OIG strategic plan and work plans</li> <li>○ Interesting/successful cases</li> <li>○ ARRA audit efforts</li> <li>○ OIG recommendations follow-up.</li> </ul> </li> </ul>

<b>Action 2: Establish standard external communication strategies for OIG work.</b>	
<p><b>Step 4</b> Specify roles and responsibilities for those who will maintain external communication process in the OIG.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify the responsibilities of the Communication Director</li> <li>• Identify the people/groups that should be involved in the communication process and their responsibilities</li> <li>• Develop guidance on the interactions among individuals/groups during the process (e.g. a communication timeframe).</li> </ul>
<p><b>Step 5</b> Develop standard communication instruments and structure for reporting to external stakeholders.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Consider suggestions for communication channels or mechanisms:               <ul style="list-style-type: none"> <li>○ Regular newsletter/written updates to the Amtrak Management, Board, and Congress.</li> <li>○ Improve the OIG website to create a user-friendly and informative tool for communicating activities and results</li> <li>○ Author a monthly column in the Amtrak newsletter</li> <li>○ Attend board meetings and management meetings regularly.</li> </ul> </li> </ul>
<p><b>Step 6</b> Develop a schedule to inform stakeholders of OIG progress, discuss issues, and seek appropriate input.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• It is extremely important to solicit feedback in a manner that clearly communicates OIG’s independence and its oversight role.</li> </ul>
<p><b>Step 7</b> Solicit feedback from OIG Senior Leadership and staff members.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Incorporate feedback into communications materials.</li> </ul>

**Action 3. Develop Plan to Assess the Impact of External Communications Effort**

The purpose of this Action is focus on accountability as a key component of a successful communications strategy. Assigning accountability in communications activities is a challenge and requires clearly defined expectations and common understanding of the overall goals of the initiative. Assessing progress will require soliciting feedback from the stakeholders and identifying creative ways to measure impact.

<b>Action 3: Develop Plan to Assess the Impact of External Communications Effort.</b>	
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• Accountability is a key component of the <i>Implementation Roadmap</i>; however, it is a very subjective concept and difficult to measure.</li> </ul>	
<p><b>Step 1</b> Clearly articulate expectations and goals of external communications activities.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• The Working Group has clarified external communication expectations and goals in the <i>Desired Future State Elements List</i>. This list can be shared with Implementation Team.</li> </ul>

<b>Action 3: Develop Plan to Assess the Impact of External Communications Effort.</b>	
<p><b>Step 2</b> Identify mechanisms for ensuring adherence to established external communication processes.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Suggested method to assess external communication efforts:               <ul style="list-style-type: none"> <li>○ Periodically monitoring feedback from stakeholders                   <ul style="list-style-type: none"> <li>▪ Conduct survey with “customers”(e.g., Amtrak, Congress) to assess OIG communication performance</li> <li>▪ 5-6 questions, keep it simple</li> <li>▪ The survey should focus on the effectiveness of the communication, not their happiness with the finding of the reports. For example:                       <ul style="list-style-type: none"> <li>➤ “Was the communication timely?”</li> <li>➤ “Were the messages clear and easy to understand?”</li> <li>➤ “Any suggestions to improve the communications?”</li> </ul> </li> <li>▪ The goal of the survey is NOT to ask whether stakeholders are happy with OIG reports findings, but to provide them the right information at the right time.</li> <li>▪ Some OIGs have the materials that could be tailored for Amtrak OIG to develop the survey.</li> </ul> </li> </ul> </li> </ul>
<p><b>Step 3</b> Identify measurements of impact of External Communication Efforts.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Example measurements (from other OIGs): the DOJ IG considered fewer requests to testify before Congress a positive outcome and an indication of the strength of their reports.</li> </ul>

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## Tracking Tool to Guide Action Plan Implementation



<b>External Communications</b>			
<b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.			
<b>Action 1: Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.</b>			
<b>1a. Develop a practical, succinct statement of the roles and value of an independent, high-performing OIG.</b> Estimated time for this Action: 30 days			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Clarify the overall goals and specific objectives of the OIG.			Done
2) Identify information needs from external stakeholders that help OIG achieve its objectives and provide value to stakeholders.	Documented list of the information needs from external stakeholders.		
3) Develop the business case that communicates the value of the OIG.	Developed Amtrak OIG value statement.		
4) Solicit feedback from OIG Senior Leadership.	Revised OIG value statement based on feedback from the Senior Leadership.		



## Tracking Tool to Guide Action Plan Implementation



<b>External Communications</b>			
<b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.			
<b>Action 1: Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.</b>			
<b>1b. Develop an organized, high-level marketing plan to establish the brand of Amtrak OIG.</b>			
Estimated time for this Action: 4 months			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Identify target audiences of the OIG marketing efforts.	Documented list of target audiences.		
2) Conduct Amtrak OIG SWOT analysis.	An Amtrak OIG SWOT report.		
3) Develop marketing/branding materials for different audiences.	OIG Marketing materials for: <ul style="list-style-type: none"> <li>• Amtrak Management</li> <li>• Amtrak staff</li> <li>• Congress</li> <li>• Others</li> </ul>		





## Tracking Tool to Guide Action Plan Implementation



<b>External Communications</b>			
<b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.			
<b>Action 1: Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.</b>			
<b>1b. Develop an organized, high-level marketing plan to establish the brand of Amtrak OIG.</b>			
Estimated time for this Action: 4 months			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
4) Develop instruments and structure to distribute OIG marketing messages.	Developed communication instruments and documented communication schedules for: <ul style="list-style-type: none"> <li>• Amtrak Management</li> <li>• Amtrak staff</li> <li>• Congress</li> <li>• Others</li> </ul>		
5) Specify roles and responsibilities for those who will manage the OIG marketing efforts.	Documented roles and responsibilities for marketing process “owners.”		
6) Solicit feedback from OIG Senior Leadership and staff members.	Revised OIG marketing plan based on the comments from the Senior Leadership.		



## Tracking Tool to Guide Action Plan Implementation



External Communications			
<p><b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.</p>			
<p><b>Action 1: Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.</b></p>			
<p><b>1c. Develop details of “OIG 101” to support high-level messaging.</b> Estimated time for this Action: 4 months</p>			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Identify the stakeholders who should receive OIG 101.	Documented list of stakeholders who should receive OIG 101.		
2) Identify those working on content development in functional areas to avoid duplicative content development activities.	Documented plan for cooperation with other groups working on content development.		
3) Develop the critical pieces of information that should be included in messaging materials.	Developed Amtrak OIG 101 materials for: <ul style="list-style-type: none"> <li>• Amtrak Management</li> <li>• Amtrak staff</li> <li>• Congress</li> <li>• Others</li> </ul>		



## Tracking Tool to Guide Action Plan Implementation



<b>External Communications</b>			
<b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.			
<b>Action 1: Develop overall approach to educating stakeholders about the unique value of the Amtrak OIG.</b>			
<b>1c. Develop details of “OIG 101” to support high-level messaging.</b> Estimated time for this Action: 4 months			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
4) Determine message delivery format/mechanism for OIG 101.	Developed OIG 101 distribution mechanism for: <ul style="list-style-type: none"> <li>• Amtrak Management</li> <li>• Amtrak staff</li> <li>• Congress</li> <li>• Others</li> </ul>		
5) Select the OIG staff members with effective communication skills to share the materials and or give presentation.	Documented list of staff members who will take the responsibilities of sharing the materials with stakeholders.		
6) Develop follow-up guidelines.	Documented follow-up guidelines		
7) Solicit feedback from OIG Senior Leadership and staff members.	Revised OIG 101 materials and plans based on the Senior Leadership’s comments.		



## Tracking Tool to Guide Action Plan Implementation



<b>External Communications</b>			
<b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.			
<b>Action 2: Establish standard external communication strategies for OIG work</b> Estimated time for this Action: 9 months			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Identify the core stakeholders who should receive OIG communications on a regular basis.	Documented list of stakeholders who should receive OIG communications on a regular basis.		
2) Establish external communications protocols/rules.	Audit	Documented external communication rules in:	
	Investigations		
	I&E		
3) Determine the key information that should be communicated to stakeholders regularly.	Documented list of the key information that should be communicated regularly to: <ul style="list-style-type: none"> <li>• Amtrak Management</li> <li>• Amtrak staff</li> <li>• Congress</li> <li>• Others</li> </ul>		



## Tracking Tool to Guide Action Plan Implementation



External Communications			
<p><b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.</p>			
<p><b>Action 2: Establish standard external communication strategies for OIG work</b>            Estimated time for this Action: 9 months</p>			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
4) Specify roles and responsibilities for those who will maintain external communication process in the OIG.	Documented roles and responsibilities for external communication “managers.”		
5) Develop standard communication instruments and structure for reporting to external stakeholders.	Developed communication tools and for reporting to: <ul style="list-style-type: none"> <li>• Amtrak Management</li> <li>• Amtrak staff</li> <li>• Congress</li> <li>• Others</li> </ul>		
6) Develop a schedule to inform stakeholders of OIG progress, discuss issues, and seek appropriate input.	Documented schedules to communicate with: <ul style="list-style-type: none"> <li>• Amtrak Management</li> <li>• Amtrak staff</li> <li>• Congress</li> <li>• Others</li> </ul>		



## Tracking Tool to Guide Action Plan Implementation



<b>External Communications</b>			
<p><b>Desired Future State:</b> Amtrak OIG has constructive relationships with Amtrak, Congress and its other external stakeholders that enable it to gather and share information in order to conduct proactive and timely communications while maintaining independence and supporting its mission.</p>			
<p><b>Action 3: Develop Plan to Assess the Impact of External Communication Effort.</b>            Estimated time for this Action: 4 months (Beginning 4 months after implementation begins and could be done concurrently with Action 2.)</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Clearly articulate expectations and goals of external communications activities.	Documented expectations and goals of OIG external communications activities.		
2) Identify mechanisms for ensuring adherence to established external communication processes.	Developed mechanisms to monitor feedback from stakeholders periodically.		
3) Identify measurements of impact.	Documented list of measures that reflect the impact of OIG external communication efforts.		

**TAB IV****The Amtrak Office of Inspector General  
Organizational Assessment Phase II  
Implementation Roadmap Development****Subject: Quality and Timely Work Processes**

Tab IV contains the Quality and Timely Work Processes Implementation Roadmap and other supporting documents developed by the Working Group to guide the activities of the Implementation Team.

- Quality and Timely Work Processes Implementation Roadmap
- Quality and Timely Work Processes Implementation Tracking Tool
- Audit Workflow Chart
- Investigations Workflow Chart

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## IV. Quality and Timely Work Processes

***Desired Future State: Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.***

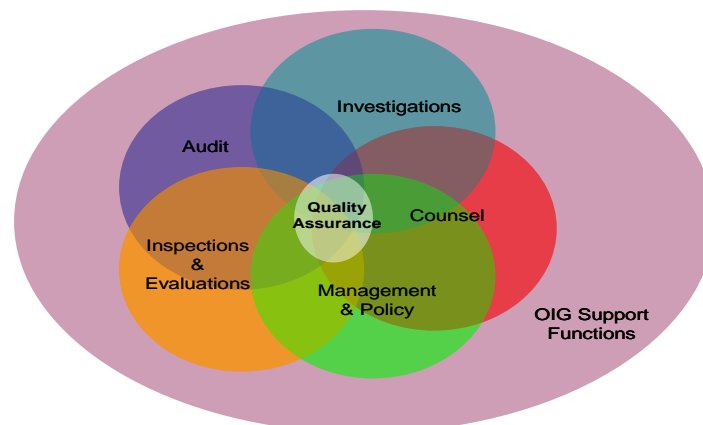
The Quality and Timely Work Processes (QTWP) Working Group, headed by Executive Sponsor, Assistant Inspector General (AIG) for Audit, Dave Warren and Initiative Team Lead, Dan Krueger, completed three Working Group sessions and continued work via email and by phone to refine documents developed during these Working Group sessions.

The Working Group unanimously agreed that the Office of Inspector General (OIG)'s goal should not be simply to pass the pending peer review, but to fully comply with the IG Act and always be prepared to pass a peer review. All group members actively participated in discussions and contributed to the development of the Tracking Tool, each sharing his or her unique and valuable perspective.

The Working Group outlined the plan to support the OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections and Evaluations (I&E), and Investigations. In addition, group participants highlighted the importance of a strong, effective Quality Assurance (QA) process in the organization, as well as the risks of not having consistency in the OIG's work processes. While reviewing project progress, the Panel concurred with the assessment of this risk and, referencing their past experiences within the IG and audit communities, voiced concern about current work processes. They cautioned that the OIG should recognize the criticality of developing rigorous work processes for both audit and non-audit functions, and should acknowledge the potential outcome that another OIG would take over Amtrak OIG's responsibilities if Amtrak OIG does not follow standards.

The group also recognized the overarching importance of QA and the connections it has with the entire OIG organization. The graphic below represents the Working Group's view of the interrelationship between QA and the key functional groups of the OIG.

**Figure IV-A  
The Interrelationship of Quality Assurance and Key Functions within Amtrak OIG**



The Working Group also developed a draft flowchart of Audit steps and activities, which provides a launching point for the Implementation Team to develop the OIG QA process. Similarly, an Investigations process flow document was developed to allow for a starting point for further discussion during implementation. (Both documents are listed as addendums at the end of this chapter.)

### Characteristics and Behaviors of Improved Quality and Timely Work Processes

In addition to defining specific actions to implement, the Working Group described a set of future state characteristics and sample behaviors they would expect to see as a result of improved quality and timely work processes (see chart that follows).

<i>Desired Future State - Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.</i>	
<b>Desired Future State Characteristics</b>	<b>Behavior Supporting the Characteristics</b>
When OIG achieves its desired future state, the organization will be characterized by process and content that fosters the capability to:	
<ul style="list-style-type: none"> <li>• Be self-confident and prepared to always adhere to IG Act standards for policy and procedure</li> <li>• Possess a common understanding of the processes driving the achievement of quality throughout the organization</li> <li>• Clearly define procedures, timeframes, and responsibilities for all components of the OIG</li> <li>• Assure each member of the OIG is accountable for conducting work to the highest QA standards</li> <li>• Create and sustain a culture of teamwork and collaboration</li> <li>• Standardize procedures throughout the levels of the OIG</li> <li>• Effectively communicate to stakeholders how OIG’s work adds value</li> <li>• Identify the skills needed to conduct value-added activities</li> <li>• Conduct operations at both OIG headquarters and field offices in a consistent and transparent manner</li> </ul>	<ul style="list-style-type: none"> <li>• Providing clear expectations</li> <li>• Facilitating active two-way communications</li> <li>• Encouraging openness</li> <li>• Creating a retribution-free environment</li> <li>• Increasing training to model good behaviors and clarify desired conduct</li> <li>• Showing respect for others</li> </ul>

## Implementation Actions and Steps

The Actions designed to improve quality and timely work processes within the OIG each have multiple associated implementation steps, and the Working Group offered additional information to the eventual Implementation Team in the form of context, guidance and commentary to help them carry out these Actions and Steps. This information is presented on the following pages in the Implementation Roadmap.

A Tracking Tool for the Implementation Roadmap addresses the need to identify the suggested lead for the Implementation Team; timeframes or end dates for completing each Action and its correlating Steps; and suggested measures or targets to assess progress toward accomplishing the Actions. While the Implementation Roadmap serves more to guide the implementation activities with guiding principles and tactical support, the tracking tool addresses metrics for identifying progress of and accountability for the outlined processes. The Tracking Tool is included as an addendum at the end of this chapter.

Since the sessions have been completed, the OIG has completed some Actions and Steps developed by the Working Group. The progress and current status are noted on the Implementation Roadmaps and Tracking Tools.

**Action 1. Policy and Practices.** *Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.*

**Action 1a.** The purpose of Action 1a is to adopt a shared set of business practices across all OIG locations that guide the work of the Audit and I&E groups. New policies for these two groups have recently been developed, based on Yellow Book standards, which form the basis of this Action. The policies have been reviewed, refined and published. The Audit and I&E are implementing these policies.

<p><b>Action 1: Policy and Practices.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections &amp; Evaluations, and Investigations.</p>	
<p><b>1a.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit and Inspections &amp; Evaluations.</p>	
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• All affected staff within the OIG must be formally communicated with when new policy is approved.</li> <li>• Training provides the information about both “what” the new policy is and “how” it will be put into practice. It is a critical link in turning policy into new behaviors and work practices.</li> <li>• All OIG staff would benefit from a rudimentary understanding of all functions within the office. Special attention should be paid to those policies in one group that somehow link to or affect the work of another group.</li> <li>• Adoption of new policy requires reinforcement for appropriate behaviors associated with procedural changes, as well as feedback and opportunities for improvement with the policy is not followed</li> </ul>	
<p><b>Step 1</b> Create functional focus groups to review and update policies/best practices guiding Audit and I&amp;E.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Per subsequent communications with the Deputy IG, this review is currently being performed and may be completed by the time an implementation team is selected for this focus area. [Policies and best practices have undergone an initial review and revision. Further review to identify additional improvements is necessary.]</li> </ul>
<p><b>Step 2</b> Communicate new and updated policies.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Prepare messages from the IG/DIG/AIG to all Audit and I&amp;E staff when the new policy is available, with messages to include the subject matter addressed, how it will be implemented, and where staff can access the policy. [This task has been completed initially. Once additional polices are established and/or updated, additional communication will be necessary.]</li> </ul>
<p><b>Step 3</b> Provide training on revised policies and updates.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Develop and deliver training (possibly with vendor support) to all Audit and I&amp;E staff on the new policies, modified procedures, and expected behaviors in how the work is performed. [This task was completed using the writing course to reinforce how we do our work. Periodic training should be scheduled to reinforce the new policies.]</li> </ul>

<b>Action 1: Policy and Practices.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.	
<b>1a.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit and Inspections & Evaluations.	
<b>Step 4</b> Provide cross-training to Investigations on basic Audit and I&E processes.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Develop a high-level overview course or briefing to all non-Audit/I&amp;E staff that explains key policies and work processes from Audit/I&amp;E. This course may be a simplified version of that developed in Step 3 for the Audit/I&amp;E staff, or may require a separate effort.</li> </ul>
<b>Step 5</b> Identify and establish accountability measures and mechanisms (links to peer review process).	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Develop appropriate accountability measures to assess how well individuals and groups adhere to Audit/I&amp;E policy</li> <li>• Using the measures of accountability, build in behavioral elements into performance appraisals to reinforce personal responsibility for adhering to policy.</li> </ul>

**Action 1b.** The purpose of Action 1b is to adopt a shared set of business practices across all OIG locations that guide the work of the Investigations. New policies for this group are currently in development, based on federal law enforcement standards, which form the basis of this Action. At present the policies are being developed, with an anticipated completion date of July 2011. This Action encompasses the completion of those policies, and the associated communication and training that accompany their adoption.

<b>Action 1:</b> Policy and Practices. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.	
<b>Action 1b.</b> Policy and Practices. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Investigations.	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>• All affected staff within the OIG must be formally communicated with when new policy is approved.</li> <li>• Training provides the information about both “what” the new policy is and “how” it will be put into practice. It is a critical link in turning policy into new behaviors and work practices.</li> <li>• All OIG staff would benefit from a rudimentary understanding of all functions within the office. Special attention should be paid to those policies in one group that somehow link to or affect the work of another group.</li> <li>• Adoption of new policy requires reinforcement for appropriate behaviors associated with procedural changes, as well as feedback and opportunities for improvement with the policy is not followed.</li> </ul>	
<b>Step 1</b> Finalize and get approval for policies guiding Investigations.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Investigative policy is currently under development, with an anticipated completion date of late July, 2011. As each policy is developed and approved it can be moved, communicated and adopted.</li> </ul>
<b>Step 2</b> Communicate new and updated policies.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Prepare messages from the IG/DIG/AIG to all Investigations staff when the new policy is available, with messages to include the subject matter addressed, how it will be implemented, and where staff can access the policy.</li> </ul>
<b>Step 3</b> Train staff in new procedures.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Develop and deliver training (possibly with vendor support) to all Investigations staff on the new policies, modified procedures, and expected behaviors in how the work is performed.</li> </ul>
<b>Step 4</b> Provide cross-training to Audit and I&E on basic processes (e.g., offer Fraud Awareness briefing).	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Develop a high-level overview course or briefing to all non-Investigations staff that explains key policies and work processes from Investigations. This course may be a simplified version of that developed in Step 3 for the Investigations staff, or may require a separate effort.</li> </ul>

**Action 1:** Policy and Practices. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.

**Action 1b.** Policy and Practices. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Investigations.

<p><b>Step 5</b> Identify and establish accountability measures and mechanisms (links to QA process).</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Develop appropriate accountability measures to assess how well individuals and groups adhere to Investigations.</li> <li>• Using the measures of accountability, build behavioral elements into performance appraisals to reinforce personal responsibility for adhering to policy.</li> </ul>
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**Action 2.** *Quality Assurance Process to Adhere to the IG Act. Develop and implement a quality assurance process that is encompassed by work plans to ensure that OIG maintains high-quality standards.*

This Action is aimed at creating a culture that is committed to producing high quality products and embeds QA into the overall work process, rather than treating it as a stand-alone activity conducted at a project’s conclusion. Periodic quality checks that are based upon criteria from IG peer reviews will ensure that concerns are identified early, course corrections are made, and final products require little revision. The intent is to build QA into the basic work processes adopted across the OIG and make it a natural part of performing the work.

**Action 2:** *Quality Assurance Process to Adhere to the IG Act. Develop and implement a quality assurance process that is encompassed by work plans to ensure that OIG maintains high-quality standards.*

<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• All OIGs are subject to peer review. The methodology for performing peer reviews is prescribed by the Council of Inspectors General for Integrity and Efficiency (CIGIE).</li> <li>• A clear depiction of the key activities and steps in the execution of work is a necessary precursor to identifying the appropriate QA activities throughout the process.</li> <li>• Because QA must be an ingrained part of performing the work, not exclusively a final step in the work process, a mapping of specific QA actions within workflow is required.</li> <li>• Training provides the information about both “what” the QA process is and “how” it will be put into practice. It is a critical link in developing new behaviors and work practices.</li> <li>• Many OIG staff, particularly auditors, have specific periodic training and certification requirements that are foundational elements of a QA approach. OIG staff must be current in their training and certifications to ensure successful outcomes from a peer review.</li> <li>• Adoption of new behaviors requires some level of accountability, and adherence to quality standards is critical to the success of the OIG.</li> </ul>	
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<p><b>Step 1</b> Identify the criteria that guide peer reviews in the IG community and make it readily available.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Obtain and review the methodology and criteria used in peer reviews for both Audit/I&amp;E and Investigations</li> <li>• Identify the relationship between the criteria and internal work practices within the OIG</li> </ul>
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<p><b>Action 2:</b> <i>Quality Assurance Process to Adhere to the IG Act. Develop and implement a quality assurance process that is encompassed by work plans to ensure that OIG maintains high-quality standards.</i></p>	
<p><b>Step 2</b> Map consistent workflow for Audit, I&amp;E, and Investigations (incorporating support functions, i.e., Counsel, M&amp;P, HR and IT).</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Review the draft workflow prepared by this Working Group</li> <li>• Review and modify the draft workflow by meeting with team (auditors, I&amp;E staff, investigators) to further refine workflow in their areas</li> <li>• Include a depiction of the role of the Director of QA and how they support QA among each group and the office overall</li> <li>• Validate workflow with AIGs from each area</li> </ul>
<p><b>Step 3</b> Identify points in workflow to introduce QA process.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Utilize draft workflow prepared by this Working Group once validated by AIGs</li> </ul>
<p><b>Step 4</b> Develop and deliver training on workflow and the QA process.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Develop and deliver training (possibly with vendor support) to all OIG staff on the QA activities that apply to the workflow guiding their work.</li> <li>• Content should be developed for Audit, I&amp;E and Investigations.</li> </ul>
<p><b>Step 5</b> Establish a communication mechanism to support training planning and status updates to comply with requirements and certifications.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify the annual training requirements among the OIG staff to maintain their certifications and other skills</li> <li>• Have each AIG or their designate coordinate with the Human Resources group to ensure annual training requirements are identified for each individual and training is actually taken by those staff</li> <li>• Work with Human Resources to develop an annual training plan</li> <li>• Develop an estimate for the cost of required training in the annual OIG budget cycle</li> <li>• Work with Human Resources to develop a Tracking Tool to ensure all staff receive training and it is appropriately recorded in their personnel records</li> </ul>



**Action 2:** *Quality Assurance Process to Adhere to the IG Act. Develop and implement a quality assurance process that is encompassed by work plans to ensure that OIG maintains high-quality standards.*

<p><b>Step 6</b> Identify and establish accountability measures and mechanisms for adhering to quality standards.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Create metrics that explicitly measure organization-wide accountability and ensure compliance to established quality standards.</li> <li>• Communicate consequences related to non-compliance.</li> </ul>
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**Action 3:** *Project Management System. Develop tools, guidance and training to support a consistent approach to use of automated tools in the conduct of work across the OIG.*

### Intermediate Outcomes

In the early phase of its work the QTWP Working Group developed a Fast-Track Implementation Plan to address the outstanding TeamMate and Amtrak Investigations Management System (AIMS) issues identified by both the Internal Communications and QTWP Working Groups. The groups concurred that TeamMate had become an urgent problem in the OIG that required immediate action. The QTWP group submitted a fast-track plan to the IG and DIG in November 2010 for immediate consideration. The actions and steps identified in the plan are critical to ensure basic, effective use of TeamMate and AIMS, and to build expertise to meet the long-term needs of the OIG. This Fast-Track Implementation Plan Outline, listed below, was submitted in November of 2010 and activities have been initiated to determine the appropriate upgrade that is needed as well as developing an effective schedule for additional training on new features. Amtrak OIG Senior Leadership is respectful of time constraints placed on employees as a result of recent training and employee engagement activities and is making every attempt to balance the need for systems upgrades and adaptation as well as additional training associated with this transition.

Within the Investigations group, all field staff have received basic and follow-on training (refresher training using existing training materials) in the use of the AIMS, and are currently inputting all case data into system. All users have been granted rights to the system based upon their roles in the organizational structure and have been instructed that utilization of the AIMS will be incorporated into their individual performance appraisal. This ensures a consistent level of accountability necessary within the organization. As a result of the recent training, the Investigations staff is also enjoying additional user capabilities such as exporting reports as MS Excel spreadsheets to allow further manipulation of data. Additional reporting capabilities include the ability to view activity at global, regional and individual levels, giving the user a wider variety of ways to interpret and analyze data.

*Submitted to Senior Leadership in November, 2010 for immediate consideration:*

### **Implementation Plan Supporting the Consistent Use of TeamMate and AIMS**

Two Working Groups (Internal Communications and Quality and Timely Work Processes) each identified the urgent need to address outstanding issues that have hampered the routine usage of TeamMate and AIMS throughout the OIG. The issues surrounding these tools were thoroughly addressed by both Working Groups, with each indicating that no further discussion was needed before forwarding this recommendation to Senior Leadership for immediate consideration. Both groups concur that these actions and steps are critical to improving internal operations of the OIG. Establishing mechanisms to ensure these issues are addressed (as well as identifying owners of the initiative activities) should be considered by OIG leadership at this time to avoid any delays.

These groups propose the establishment of Implementation Team/s to address the following Actions and steps:

#### **Action Items from Internal Communications:**

- Identify communication tools needed to support information sharing within the OIG.
- Identify appropriate technical leads for both AIMS<sup>8</sup> and TeamMate responsible for development of tool functionality, maintenance and ongoing updates to automated tools.

#### **Action Item from Quality & Timely Work Processes:**

- Develop tools, guidance and training to support a consistent approach to use of automated tools in the conduct of work across the OIG.

#### **Steps to support these actions:**

##### **TeamMate Phase I – to be completed by June 30, 2011**

**(A pre-requisite step is to purchase and install most current version of TeamMate that offers technical support available from vendor.)**

- 1) Specify roles and responsibilities for those who will design, develop, and maintain TeamMate.
- 2) Determine the basic features and functions of TeamMate that will be used across the OIG and determine user training requirements. The new features that may be used are being piloted in the Los Angeles and Chicago offices during April and May 2011.

<sup>8</sup>A technical lead has been designated for AIMS, but none has yet been chosen for TeamMate

- 3) Develop and deliver training for all OIG employees on the use of TeamMate basic features and functions. A statement of work has been developed to contract for TeamMate training.
- 4) Identify and train TeamMate Champions as key point of contact for technical questions at various OIG locations.
- 5) Identify and establish accountability measures and mechanisms regarding use of TeamMate tools in the conduct of work.
- 6) Revise the existing TeamMate protocol documents, so it is consistent with the revised Audit and I&E policies.

The Quality and Timely Work Process Working Group also identified Phase II actions that will further expand usage of these tools and tailor functionality to specific Amtrak OIG policy and user requirements. Both Working Groups recognized the criticality of a basic level of usage, as well as the longer-term need for building expertise beyond the basic functions.

### **TeamMate Phase II**

- 7) Determine what additional functions are needed in TeamMate (beyond basics) that support new OIG policies (i.e., define user requirements.)
- 8) Develop and deliver training for all OIG employees on the use of TeamMate additional functions.

### **AIMS Phase I – to be completed by January 31, 2011**

- 1) Provide information and training for AIMS (this is refresher training using existing training materials).
- 2) Explore and resolve any issues or limitations related to user permissions (i.e., ensure that users have appropriate accesses to functions they need).
- 3) Identify and establish accountability measures and mechanisms regarding use of AIMS in the conduct of work.

### **AIMS Phase II**

- 4) Determine what additional capabilities, add-ons, etc. are both useful and possible, given the user needs and technical capabilities of AIMS (e.g., explore ability to link with external spreadsheets, generate individual productivity reports).

The Working Groups acknowledged that some of these capabilities can be developed only after policy development efforts for Audit, I&E and Investigations are further along. Timelines for these Phase II steps will be developed as the work of the Quality and Timely Work Processes

Working Group continues. The groups also recognize that time and human resource constraints need to be considered but felt strongly about bringing forth this critical issue prior to the culmination of the Academy Phase II initiative to ensure that actions are taken on a timely basis and that the important work of the focus groups does not impede necessary organizational progress.

The Quality and Timely Work Processes group continues to clarify details related to these Action steps (including identifying the skills needed for Implementation Team members and potential participants) in anticipation of an impending Implementation Team being established.

### **Current Status of Fast-track Implementation Plan**

Under the leadership of a quality assurance contractor, this implementation effort has begun with the necessary training and consideration for the appropriate technical updates that will allow for optimal utilization of these extremely integral project management tools. Statements of Work have been developed for contracting to upgrade to the R-9 version of TeamMate and to provide the related training. Contractors should be selected during April to accomplish these tasks.



## Tracking Tool to Guide Action Plan Implementation



<b>Quality and Timely Work Processes</b>			
<b>Desired Future State:</b> Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.			
<b>Action 1: Policy and Practices.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.			
<b>Action 1a. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit and Inspections &amp; Evaluations.</b>			
Estimated time for this Action is: 6 months			
Step	Examples of Targets/Measures	Status	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Create functional focus groups to review and update policies/best practices guiding Audit and I&E.	First meeting of focus group to review policies for Audit and I&E.		<ul style="list-style-type: none"> <li>• Policies and best practices have undergone an initial review and revision.</li> <li>• Further review to identify additional improvements is necessary.</li> </ul>
2) Communicate new and updated policies.	OIG leadership sends first communication on new policies to Audit and I&E staff.		
3) Provide training on revised policies and updates.	Audit and I&E staff receive training on new policies and modified procedures.		
4) Provide cross-training to Investigations on basic Audit and I&E processes.	Investigations staff receive simplified training course on Audit and I&E processes.		



## Tracking Tool to Guide Action Plan Implementation



<b>Quality and Timely Work Processes</b>			
<b>Desired Future State:</b> Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.			
<b>Action 1: Policy and Practices.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.			
<b>Action 1a. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit and Inspections &amp; Evaluations.</b>			
Estimated time for this Action is: 6 months			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
5) Identify and establish accountability measures and mechanisms (links to peer review process).	Performance appraisal process is modified to include measures of accountability for adhering to policy.		

<b>Quality and Timely Work Processes</b>			
<b>Desired Future State:</b> Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.			
<b>Action 1: Policy and Practices.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.			
<b>Action 1b. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Investigations.</b>			
Estimated time for Action is: 5 months to develop and adopt policies; execution ongoing.			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Finalize and get approval for policies guiding Investigations.	Investigations policies are approved by Senior Leadership		



## Tracking Tool to Guide Action Plan Implementation



<b>Quality and Timely Work Processes</b>			
<b>Desired Future State:</b> Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.			
<b>Action 1: Policy and Practices.</b> Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Audit, Inspections & Evaluations, and Investigations.			
<b>Action 1b. Support the Amtrak OIG workforce in the adoption of consistent business practices to guide its work in Investigations.</b>			
Estimated time for Action is: 5 months to develop and adopt policies; execution ongoing.			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
2) Communicate new and updated policies.	OIG Senior Leadership sends first communication on new policies to Investigations staff.		
3) Train staff in new procedures.	Investigations staff receive training on new policies and modified procedures.		
4) Provide cross-training to Audit and I&E on basic processes (e.g., offer Fraud Awareness briefing).	Audit and I&E staff receive simplified training course on Investigations processes.		
5) Identify and establish accountability measures and mechanisms (links to QA process).	Performance appraisal process is modified to include measures of accountability for adhering to policy.		



## Tracking Tool to Guide Action Plan Implementation



<b>Quality and Timely Work Processes</b>			
<p><b>Desired Future State:</b> Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.</p>			
<p><b>Action 2. Quality Assurance Process to Adhere to the IG Act.</b> Develop and implement a quality assurance process that is encompassed by work plans to ensure that OIG maintains high-quality standards.                      Estimated time for Action is: 6 months.</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Identify the criteria that guide peer reviews in the IG community and make it readily available.	Methodology and criteria for OIG peer review process is documented and communicated to Audit/I&E and Investigations staff.		
2) Map consistent workflow for Audit, I&E, and Investigations (incorporating support functions, i.e., Counsel, M&P, HR and IT).	Comprehensive workflow for Audit, I&E and Investigations is composed.		
3) Identify points in workflow to introduce Q&A process.	Q&A process is added to workflow.		
4) Develop and deliver training on workflow and the QA process.	All OIG staff have been trained on the Q&A activities that apply to their work.		
5) Establish a communication mechanism to support training planning and status updates to comply with requirements and certifications.	Training program is implemented and processes are developed to ensure that all OIG staff remain up-to-date with their Q&A training requirements		





## Tracking Tool to Guide Action Plan Implementation



<b>Quality and Timely Work Processes</b>			
<b>Desired Future State:</b> Amtrak OIG consistently follows commonly accepted work practices and standards both within functional areas and across locations. Work adheres to established quality standards and, as appropriate, is accessible and transparent to OIG staff.			
<b>Action 2. Quality Assurance Process to Adhere to the IG Act.</b> Develop and implement a quality assurance process that is encompassed by work plans to ensure that OIG maintains high-quality standards. Estimated time for Action is: 6 months.			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
6) Identify and establish accountability measures and mechanisms for adhering to quality standards.	Metrics are developed that measure accountability organization-wide and ensure compliance with established quality standards. Consequences for non-compliance are clearly communicated to staff.		

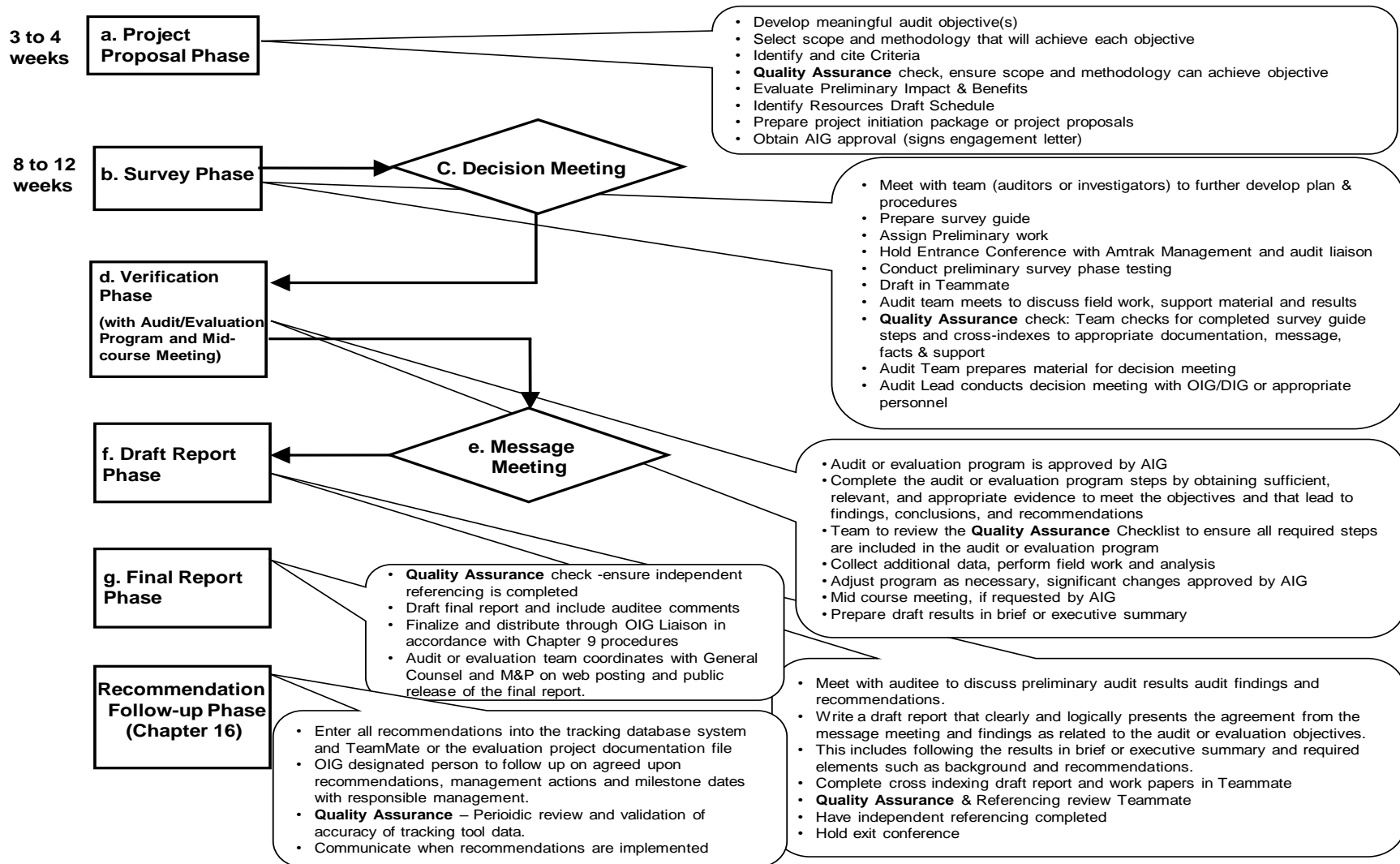


## Tracking Tool to Guide Action Plan Implementation



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**Figure 1: Flow Chart of the 6 Phases and 2 Decision Points  
of the Audit and Evaluation Process**



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## **Investigative Process Flow**

Activities below are outlined for actions taken when opening and closing investigations. As investigations can differ in nature, not all documents will appear in all case files.

The Agent's role in these tasks is to execute and his or her supervisor should be verifying the activities and outcomes.

### **Investigative Plan**

Upon opening a *Preliminary Investigation*, the agent in charge should:

- Determine the primary nature of the allegation (criminal, civil and/or administrative);
- Determine the plan focus and objectives of the investigation;
- Identify possible violations of law, rule or regulation and understand the corresponding elements of proof standards;
- Coordinate the decision to open an investigation with appropriate authorities, if warranted;
- Verify whether Internal Audit or Evaluations is performing or has performed an audit relating to the subject matter of the investigation;
- Determine the applicable judicial venue and coordinate with prosecutors, when appropriate;
- Determine the appropriate administrative office and coordinate with adjudicators, when appropriate;
- Identify and prioritize the investigative steps necessary to meet investigative objectives. This includes identifying the best approach to take during the investigation in order to resolve the allegation(s) or issue(s);
- Determine the resources necessary to meet investigative requirements;
- Establish a time-phased approach that ensures individual leads are pursued on a timely basis and periodic evaluations of progress occur. This should include an affirmative decision to continue or terminate the investigation;
- Ensure that investigative steps include the identification of any causative factors that can be reported as weaknesses or internal control issues requiring corrective action by agency management;
- Coordinate with the appropriate agency or other Government officials if notable security or public health and safety issues are raised.

After a case is closed, the investigations supervisor must verify:

- Documents properly indexed in case file;
- Case file properly labeled and tabbed;
- Investigative plan and case review documents present;
- 302s with appropriate attachments and approvals in folder;
- 302s with attachments uploaded in AIM;
- Verify all statistics are documented in AIM;
- Verify that all statistics are supported by 302 or Stand Alone Documents (Indictment, Judgments of Convictions);
- Were the allegations addressed?
- Was the complainant interviewed?
- Were appropriate interviews conducted;
- Evidence noted and suspended by Evidence Custodian for disposal;
- 302 notes filed in envelop or bulky folder;
- Case file reviewed for potential Amtrak management referral issues and alternative remedies;
- Response from Amtrak Management;
- Closing ROI indexed.

**TAB V**

**The Amtrak Office of Inspector General  
Organizational Assessment Phase II  
Implementation Roadmap Development**

**Subject: Work Planning and Prioritization**

Tab V contains the Work Planning and Prioritization Implementation Roadmap and other supporting documents developed by the Working Group to guide the activities of the Implementation Team.

- Work Planning and Prioritization Implementation Roadmap
- Work Planning and Prioritization Implementation Tracking Tool
- Amtrak OIG Stakeholders Chart

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## V. Work Planning and Prioritization

*Desired Future State: Amtrak OIG has an annual work planning and prioritization process that engages stakeholders in identifying opportunities for improvement and risk reduction. This process identifies high value work and enables OIG to more effectively allocate its resources to this work.*

The Work Planning and Prioritization (WPP) Working Group Team, headed by Executive Sponsor, Cal Evans, Assistant Inspector General (AIG) for Inspection and Evaluation (I&E) and Initiative Team Lead, Phil Ong, completed four Working Group sessions.

An Implementation Roadmap and Tracking Tool were drafted based upon the findings and materials developed during the facilitated Working Group sessions. The Working Group participants shared their experiences and challenges as they related to consistent, and in some parts of the organization, non-existent planning and prioritization of work for an upcoming year. Some key findings that emerged from these sessions include:

- The efforts to develop the Annual Planning process refer to the Audit and I&E functional areas, as the work conducted in Investigations is more reactive. Eventually the Investigations may be able to adapt elements of this planning process to segments of its work.
- There was some concern that the Office of Inspector General (OIG) Five Year Strategic Plan may not reflect the appropriate goals for the OIG. With that concern noted, the planning process developed here is intended to support any goals and objectives for the office, and focus on the creation of a documented process for planning that transcends specific goals.
- The objectives for the Annual Audit Planning Process are unclear to some staff. Staff in functional and support areas other than Audit and I&E are somewhat unfamiliar with this process.
- There is acknowledgement that the development of an effective Annual Planning process will take some time and require some evolution into a meaningful and impactful endeavor.

### Implementation Actions and Steps

The Actions and Steps listed below reflect the outputs from the WPP Working Group sessions.

**Action 1:** *Identify Annual Planning Methodology. Establish a planning methodology that reflects both OIG best practices in work planning and any relevant, unique issues faced by the Amtrak OIG.*

The focus of this Action is to develop and document an overall Annual Planning process that

- is consistent with internal policy,
- ensures that work undertaken is of value to stakeholders, and
- reflects the priorities and criteria of internal OIG leadership.

The output of this Action is a documented annual work planning process.

<p><b>Action 1:</b> Identify Annual Planning Methodology. Establish a planning methodology that reflects both OIG best practices in work planning and any relevant, unique issues faced by the Amtrak OIG.</p>	
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• The OIG leadership believes that the current planning needs include documenting and formalizing the process, including more opportunities for staff to engage and utilize designated leaders or spokespersons to assist in the communications process.</li> <li>• Working Group findings revealed that the Senior Leadership value an approach that leverages the knowledge and experience of the senior staff and their ability to consider multiple sources of information (e.g., external requirements from Congress, Amtrak, Amtrak OIG’s broader environment) over a heavily quantitative approach to risk assessment.</li> <li>• Both the Inspector General (IG) and the Working Group recognize the need to maintain large, medium and small projects to support a balanced portfolio. This is necessary both to employ staff with varying levels of experience and to continuously have outputs in a timely manner (i.e., big, important issues may take more than a year to complete, but smaller and intermediate findings must be made available throughout any given year).</li> <li>• Senior Leadership approval is essential to development of this or any OIG procedure. It is crucial to capture leadership perspective and make refinements to reflect the best way to plan work within the Amtrak OIG.</li> <li>• When this planning approach is finalized, it becomes another form of OIG policy that can be posted and shared with all office staff.</li> </ul>	
<p><b>Step 1</b> Review recently developed OIG Policy &amp; Procedures and use as a starting point for developing more detailed guidance to conduct annual work planning. Identify any areas in the new policy that need additional detail to add clarity regarding the actual required procedures.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify areas where the current work planning guidance is insufficient or unclear.</li> <li>• Review the benchmarking conducted during Phase I to learn about the approaches model OIGs take to planning and possibly expand benchmarking to focus on the content of the work other organizations engage in and identify as having high value.</li> </ul> <p><i>Content</i></p> <ul style="list-style-type: none"> <li>• Include Senior Leadership guidance in the review/selection of OIG work planning methods.</li> </ul> <p><i>Mechanism</i></p> <ul style="list-style-type: none"> <li>• Refrain from heavily quantitative, tool-driven activities - employ qualitative data-gathering approach in order to gain Senior Leadership insight related to risk.</li> </ul>

<p><b>Action 1:</b> Identify Annual Planning Methodology. Establish a planning methodology that reflects both OIG best practices in work planning and any relevant, unique issues faced by the Amtrak OIG.</p>	
<p><b>Step 2</b> Identify key external stakeholders and what they value from Amtrak OIG.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Coordinate with the Performance Measurement Working Group to avoid duplication of effort.</li> <li>• Describe the characteristics stakeholders value in OIG’s work.</li> </ul> <p><i>Mechanism</i></p> <ul style="list-style-type: none"> <li>• Use initial list of stakeholders and accompanying graphic developed by WPP Working Group as a starting point.</li> </ul>
<p><b>Step 3</b> Engage OIG senior leaders to identify and prioritize key areas/criteria that will guide the assessment of opportunities and risk (e.g., what are the types of opportunities and risks that will always be high in priority; what kinds of opportunities and risks are unique to Amtrak and the Amtrak OIG).</p>	<p><b>Things To Do:</b> <i>Note: this Step can be done concurrently with Step 1; They do not need to take place sequentially.</i></p> <ul style="list-style-type: none"> <li>• Develop a clearer understanding of the considerations and criteria used in prioritizing the work.</li> </ul> <p><i>Content</i></p> <ul style="list-style-type: none"> <li>• Gather information through individual interviews with the IG, Deputy IG (DIG) and AIGs. Examples of questions to include: <ul style="list-style-type: none"> <li>○ How do they accommodate emergent requirements and/or special projects?</li> <li>○ How do they prioritize stakeholders (i.e., who’s most important)?</li> <li>○ How do they factor in special requirements, such as ARRA, that require considerable resources, but have a specific end-date (i.e., are temporary)?</li> </ul> </li> </ul> <p><i>Mechanism</i></p> <ul style="list-style-type: none"> <li>• Include a mechanism to record information gathered from the Senior Leadership highlighting areas such as: <ul style="list-style-type: none"> <li>○ Staff capabilities</li> <li>○ Timing of projects</li> <li>○ Balance of strategic goals with internal priorities</li> <li>○ New work vs. revisiting previous issues or work</li> <li>○ Residual risk</li> </ul> </li> </ul>
<p><b>Step 4</b> Document the planning model based on input from Steps 1, 2 and 3.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify optimal format for recording and sharing details of the planning approach based on input from Steps 1, 2 and 3.</li> </ul>

<b>Action 1:</b> Identify Annual Planning Methodology. Establish a planning methodology that reflects both OIG best practices in work planning and any relevant, unique issues faced by the Amtrak OIG.	
<b>Step 5</b> Solicit feedback from OIG Senior Leadership on the draft of the documented work planning process.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>Recommend a group meeting with the IG, DIG and AIGs to discuss the documented process, review expectations and assumptions held by leadership, and identify any modifications needed.</li> </ul>
<b>Step 6</b> Refine planning assessment method based on OIG Senior Leadership feedback and establish documented process for annual work planning and prioritization.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>Refine planning assessment method based on OIG Senior Leadership feedback and establish documented process for annual work planning and prioritization.</li> <li>Coordinate with M&amp;P after the plan is finalized and post on the shared policy repository.</li> </ul>

**Action 2:** *Establish communications guidance on what staff needs to provide to Senior Leadership to support the decision-making and planning process. Create the foundation for greater participation in the annual work planning process.*

The intent of this Action is to define who, what and when staff are included in the work planning process. Because the IG is committed to greater staff participation in aspects related to how the office plans and conducts its business, this Action is key to identifying how that participation will be fostered and carried out.

<b>Action 2:</b> Establish communications guidance on what staff needs to provide to Senior Leadership to support the decision-making and planning process. Create the foundation for greater participation in the annual work planning process.	
<b>Guiding Principles:</b> <ul style="list-style-type: none"> <li>It is imperative to establish a participative approach within the organization to develop OIG annual work plans.</li> <li>OIG staff should be encouraged to offer ideas with sufficient information to the Senior Leadership to make an informed decision.</li> </ul>	
<b>Step 1</b> Develop specific guidance for staff on preparing information related to both “data calls” (top-down requests) and unsolicited or bottom-up submissions of issues.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>Prepare guidelines that explain <u>what</u> and <u>how</u> to submit ideas or respond to requests for information (e.g., provide a set of points to address that reflect the considerations or criteria used in the prioritization process identified in the previous Action).</li> </ul>

<p><b>Action 2:</b> Establish communications guidance on what staff needs to provide to Senior Leadership to support the decision-making and planning process. Create the foundation for greater participation in the annual work planning process.</p>	
<p><b>Step 2</b> Identify communication mechanisms within the OIG that can be used to gather input.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Review the existing communication channels already in use within the OIG; identify new channels that might be needed.</li> <li>• Coordinate this Step with the Internal Communications Implementation Team; they are creating an inventory of existing OIG communication mechanisms.</li> </ul>
<p><b>Step 3</b> Outline the Annual Planning schedule and identify the timeframe for gathering input from the workforce in the planning cycle.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Outline the Annual Planning schedule and identify the timeframe for gathering input from the workforce in the planning cycle. This is a high level schedule that notes when inputs will be gathered, when OIG leadership will be developing the annual plan, and other major activities. The level of measurement is in months and general timeframes, not specific dates as this is intended to be the overall approach to annual planning and not the plan for any particular year.</li> </ul>

**Action 3:** *Develop a mechanism to document, share and track information from key stakeholders and environmental scanning to support annual work planning process.*

Input from external sources, such as Congress, CIGIE, and others is critical to the Annual Planning process. There must be a thoughtful, coordinated approach to how this information is gathered, captured, and included in the OIG’s planning activities.

<b>Action 3:</b> Develop a mechanism to document, share and track information from key stakeholders and environmental scanning to support annual work planning process.	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>• The interactions with external stakeholders must be well coordinated within the OIG. At present there is no mechanism to record conversations held among OIG staff with the various stakeholders, which increases the risk that certain issues may be inadvertently overlooked during the Annual Planning process.</li> <li>• The Implementation Team will develop a rudimentary knowledge management tool (Step 2) for compiling relevant information from external sources and making it available to the IG, DIG, AIGs and others who engage with external stakeholders in conversations that would impact the overall work planning process. The issues identified during conversations with stakeholders should be periodically reviewed for relevance and criticality.</li> </ul>	
<b>Step 1</b> Identify existing mechanisms for gathering information from external sources to support work planning.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Conduct conversations with the IG and DIG to identify: <ul style="list-style-type: none"> <li>○ Who they and the AIGs routinely interact with,</li> <li>○ How frequently they interact with different external stakeholders (e.g., how often they meet with Amtrak board members, hill staff, others), and</li> <li>○ What the best option is for recording these conversations to create a resource for the planning activity.</li> </ul> </li> </ul>
<b>Step 2</b> Develop a simple Tracking Tool for IG, DIG, AIGs and others to track information obtained through discussions with stakeholders.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Develop a simple spreadsheet for IG, DIG, AIGs and others to track relevant planning-related information.</li> </ul>
<b>Step 3</b> Develop process for updating and maintaining the content of the data contained in the Tracking Tool.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Identify person/s responsible for overseeing planning-related data management.</li> <li>• Develop process for updating and maintaining the content of the data contained in the Tracking Tool.</li> <li>• Identify criteria to guide the review that assess whether the issues are still valid, should be raised to the level of a planned action by the OIG, or if they are no longer relevant.</li> </ul>



## Tracking Tool to Guide Action Plan Implementation



<b>Work Planning &amp; Prioritization</b>			
<p><b>Desired Future State:</b> Amtrak OIG has an annual work planning and prioritization process that engages stakeholders in identifying opportunities for improvement and risk reduction. This process identifies high value work and enables OIG to more effectively allocate its resources to this work.</p>			
<p><b>Action 1: Identify Annual Planning Methodology.</b> Establish a planning methodology that reflects both OIG best practices in work planning and any relevant, unique issues faced by the Amtrak OIG. Estimated time for Action is: 4 Months</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Review recently developed OIG Policy & Procedures and use as a starting point for developing more detailed guidance to conduct annual work planning. Identify any areas in the new policy that need additional detail to add clarity about the actual required procedures.	Documented list of areas that need additional details and clarification.		
2) Identify key external stakeholders and what they value from Amtrak OIG. <sup>9</sup>	Descriptions of the characteristics stakeholders value in OIG's work.		

<sup>9</sup> This Step is also identified in the Performance Measurement roadmap; the intent is not to duplicate this task, but ensure that stakeholder identification is conducted and used in both road maps



## Tracking Tool to Guide Action Plan Implementation



<b>Work Planning &amp; Prioritization</b>			
<p><b>Desired Future State:</b> Amtrak OIG has an annual work planning and prioritization process that engages stakeholders in identifying opportunities for improvement and risk reduction. This process identifies high value work and enables OIG to more effectively allocate its resources to this work.</p>			
<p><b>Action 1: Identify Annual Planning Methodology.</b> Establish a planning methodology that reflects both OIG best practices in work planning and any relevant, unique issues faced by the Amtrak OIG.            Estimated time for Action is: 4 Months</p>			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
3) Engage OIG senior leaders to identify and prioritize key areas/criteria that will guide the assessment of opportunities and risks (e.g., what are the types of opportunities and risks that will always be high in priority; what kinds of opportunities and risks are unique to Amtrak and the Amtrak OIG).	Documented list of the key considerations and criteria in prioritizing OIG opportunities and risks.		
4) Document the planning model based on input from steps 1,2 and 3.	Developed OIG planning model.		
5) Solicit feedback from OIG Senior Leadership on the draft of the documented work planning process.	Scheduled group meeting with the OIG Senior Leadership to review the draft work planning process.		
6) Refine planning assessment method based on OIG Senior Leadership feedback and establish documented process for annual work planning and prioritization.	Revised work planning process based on the comments from the Senior Leadership.		





## Tracking Tool to Guide Action Plan Implementation



<b>Work Planning &amp; Prioritization</b>			
<p><b>Desired Future State:</b> Amtrak OIG has an annual work planning and prioritization process that engages stakeholders in identifying opportunities for improvement and risk reduction. This process identifies high value work and enables OIG to more effectively allocate its resources to this work.</p>			
<p><b>Action 2: Establish communications guidance on what staff needs to provide to Senior Leadership to support the decision-making and planning process.</b> Create the foundation for greater participation in the annual work planning process            Estimated time for Action is: 30 Days</p>			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Develop specific guidance for staff on preparing information related to both “data calls” (top-down requests) and unsolicited, or bottom-up submissions of issues.	Documented guidance (what & how) for staff members to provide information to support the work planning process.		
2) Identify communication mechanisms within the OIG that can be used to gather input.	Documented list of the mechanisms to collect input from OIG staff members.		
3) Outline the annual planning schedule and identify the timeframe for gathering input from the workforce in the planning cycle.	Documented overall OIG annual planning schedule.  Documented timeframe to gather input from OIG staff members in the planning cycle.		



## Tracking Tool to Guide Action Plan Implementation



<b>Work Planning &amp; Prioritization</b>			
<p><b>Desired Future State:</b> Amtrak OIG has an annual work planning and prioritization process that engages stakeholders in identifying opportunities for improvement and risk reduction. This process identifies high value work and enables OIG to more effectively allocate its resources to this work.</p>			
<p><b>Action 3: Develop a mechanism to document, share and track information from key stakeholders and environmental scanning to support annual work planning process.</b> <sup>10</sup>            Estimated time for Action is: 30 Days</p>			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Identify existing mechanisms for gathering information from external sources to support work planning.	<p>Scheduled of meetings with the IG and DIG.</p> <p>Documented list of the mechanisms to gather information from external stakeholders for the OIG annual work planning.</p>		
2) Develop a simple Tracking Tool for IG, DIG, AIGs and others to track information obtained through discussions with stakeholders.	Developed spreadsheet to track relevant planning related information.		

<sup>10</sup> This Action has a direct link to the External Communications focus area



## Tracking Tool to Guide Action Plan Implementation



<b>Work Planning &amp; Prioritization</b>			
<p><b>Desired Future State:</b> Amtrak OIG has an annual work planning and prioritization process that engages stakeholders in identifying opportunities for improvement and risk reduction. This process identifies high value work and enables OIG to more effectively allocate its resources to this work.</p>			
<p><b>Action 3: Develop a mechanism to document, share and track information from key stakeholders and environmental scanning to support annual work planning process.</b> <sup>10</sup>            Estimated time for Action is: 30 Days</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
<p>3) Develop process for updating and maintaining the content of the data contained in the Tracking Tool.</p>	<p>Documented roles and responsibilities for the planning related data managers.</p> <p>Developed process for updating and maintaining the Tracking Tool.</p> <p>Documented list of criteria to determine whether certain issues are relevant to OIG work planning.</p>		

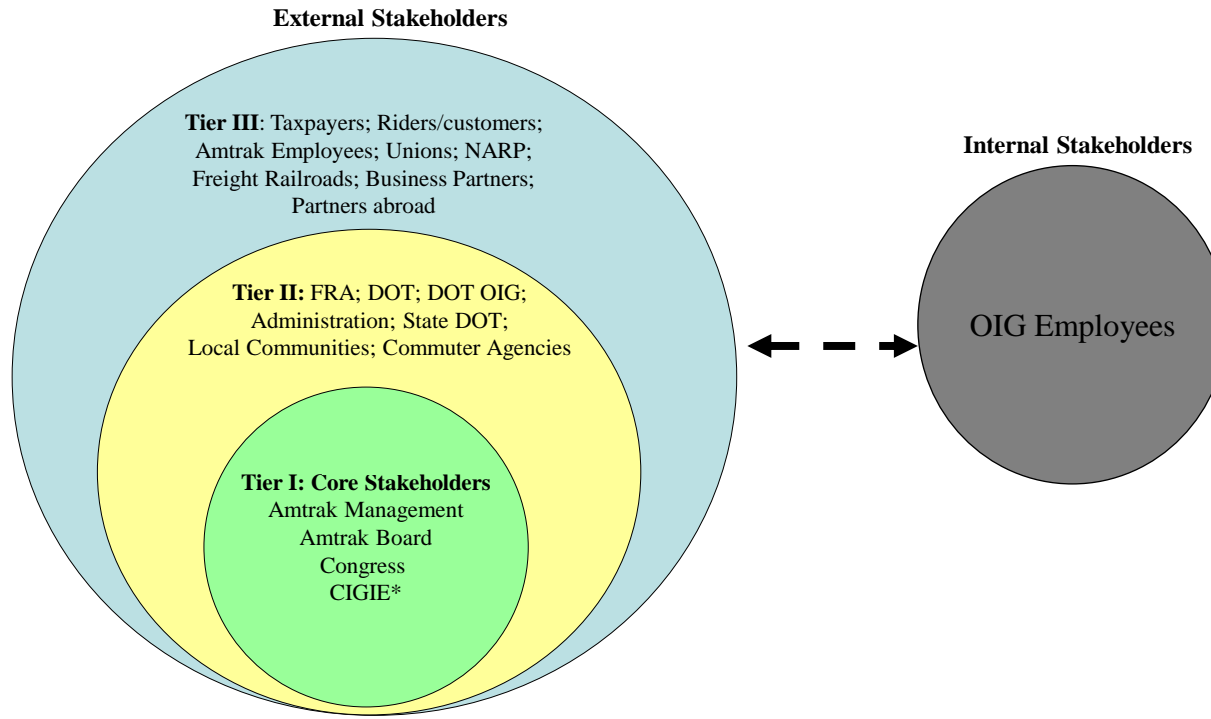


## **Tracking Tool to Guide Action Plan Implementation**



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**Figure V-A Amtrak OIG Stakeholders**



**Tier I:** Parties that are directly impacted by OIG reports/products and can directly effect change.  
**Tier II:** Parties that are indirectly impacted by OIG reports and can reasonably effect change.  
**Tier III:** Parties that are indirectly impacted by OIG and have little ability to effect change.

\*CIGIE is included in the Tier I group because it is a user of Amtrak OIG products, but not a body that is a subject of their work. They collect and track outputs from all OIGs and play a key role in offering peer input regarding the quality of OIG products and processes across the community.

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## **TAB VI**

### **The Amtrak Office of Inspector General Organizational Assessment Phase II Implementation Roadmap Development**

#### **Subject: Performance Measurement**

Tab VI contains the Performance Measurement Implementation Roadmap and other supporting documents developed by the Working Group to guide the activities of the Implementation Team.

- Performance Measurement Implementation Roadmap
- Performance Measurement Implementation Tracking Tool
- Amtrak OIG Stakeholders Chart

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## VI. Performance Measurement

***Desired Future State: Amtrak OIG has performance metrics that reflect the requirements of the Inspector General Act; meet the expectations of Congress and other stakeholders; and reflect the value of OIG work to Amtrak. These metrics are integrated into OIG's operating and performance management systems.***

The Performance Measurement (PM) Working Group Team, led by Executive Sponsor Cal Evans, Assistant Inspector General (AIG) for Inspection and Evaluation (I&E), and Initiative Team Lead, Nico Lindenau, completed four Working Group sessions.

The Implementation Roadmap and Tracking Tool are based upon the findings and materials developed during the facilitated Working Group sessions. Some key findings that emerged from these sessions included:

- Senior Leadership engagement is a crucial component of the overall success of identifying the most meaningful performance metrics.
- There is a need to address Human Capital Management decision makers to ensure appropriate linkages exist between organizational goals and individual performance measures. The performance measures addressed by this Working Group are at the organizational level, and do not reflect individual performance appraisal components.
- This group anticipated that, like many other Offices of Inspector General (OIG), a PM Implementation Team may be challenged in its efforts to identify meaningful, outcome-based qualitative metrics of organizational performance.
- There is a lack of consensus across the OIG in how stakeholders are identified and prioritized as they relate to the independent oversight work of the Amtrak OIG. The Working Group developed a tool to guide the Implementation Team and assist in clarifying stakeholder positioning. (Figure VI – A is located as an addendum at the end of this chapter.) The Working Group had mixed perceptions about the role or importance of some stakeholders (e.g., Council of Inspector General on Integrity and Efficiency (CIGIE)). This graphic requires further review and validation by the OIG leadership as well as the PM and Work Planning and Prioritization (WPP) Implementation Teams.

## Implementation Actions and Steps

The Actions designed to improve performance measurement within the OIG have multiple associated implementation steps, and the Working Group offered additional information to the Implementation Team in the form of context, guidance, and commentary to help them carry out these Actions and Steps. This information is presented on the following pages in the Implementation Roadmap.

The Tracking Tool for the Implementation Roadmap addresses the need to identify the suggested lead for the Implementation Team; timeframes or end dates for completing each Action and its correlating Steps; and suggested measures or targets to assess progress toward accomplishing the Actions. While the Implementation Roadmap serves more to guide the implementation activities with guiding principles and tactical support, the Tracking Tool provides metrics for identifying progress of and accountability for the outlined processes. The Tracking Tool is included as an addendum at the end of this chapter.

**Action 1.** *Identification of Measures and Metrics. Develop measures that reflect the overall performance of the OIG, including both outputs (quantities) and outcomes (impacts).*

The purpose of this Action is to identify and/or develop a concise set of metrics that serve as meaningful indicators of the OIG’s performance. These metrics will be office-wide in perspective, and are intended to help leadership assess the OIG’s performance in fulfilling its mission and demonstrating its impact. These measures will include those that support statutory reporting requirements, as well as non-traditional measures that can be more meaningful indicators of performance and success. Development of these non-traditional measures will require a bit of creativity, as well as original thinking about how OIGs can demonstrate their value as trusted stewards of public funds.

**Action 1:** Identification of Measures and Metrics. Develop measures that reflect the overall performance of the OIG, including both outputs (quantities) and outcomes (impacts).

**Guiding Principles:**

- OIGs have established reporting requirements. Measures and reporting mechanisms to support those requirements are currently in place. An initial inventory of those measures is necessary to learn what is currently being used.
- The OIG needs to understand the range and priority of its stakeholders as it determines how to demonstrate its value.
- The Inspector General (IG) and Deputy IG (DIG) have a strong understanding of the perceptions and needs of the OIG’s stakeholder community. In addition, the IG and DIG have certain expectations about the scope of performance measurement. Clarification is needed on the degree to which performance measurement will focus on measures that support external reporting or internal efficiency.
- There are no standard outcome-reporting measures in the IG community. Many metrics are not quantifiable or data-driven.
- Measures should be meaningful and practical to garner support; measures that impose a significant administrative burden are less likely to be adopted. There is no need to take a theoretical approach and develop comprehensive metrics that cover every possibility. The

<p><b>Action 1:</b> Identification of Measures and Metrics. Develop measures that reflect the overall performance of the OIG, including both outputs (quantities) and outcomes (impacts).</p>	
<p>OIG needs reasonable number of meaningful, basic performance indicators.</p> <ul style="list-style-type: none"> <li>• The current strategic plan includes a number of output and outcome measures that could serve as a starting point from which the OIG can move forward. The Implementation Team should take full advantage of existing data and tools.</li> <li>• Senior leaders must ultimately show their approval and support for the performance measures, and commit the office to reporting on the measures. This is critical in moving the OIG toward becoming a culture that emphasizes performance.</li> </ul>	
<p><b>Step 1</b> Document measures and metrics that support statutory reporting requirements.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Consult IG Act, semi-annual reports, Management &amp; Policy (M&amp;P) group, Senior Leadership and CIGIE literature for guidance on statutory reporting requirements</li> <li>• Identify what is currently gathered and reported within Amtrak OIG. Consult with M&amp;P to identify existing mechanisms, as this group currently compiles the data and prepares the semi-annual reports.</li> </ul>
<p><b>Step 2</b> Identify key external stakeholders and what they value from Amtrak OIG.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Coordinate with the WPP group; this Step is also identified in the WPP Roadmap; the intent is not to duplicate this task, but ensure that stakeholder identification is conducted and used in both Roadmaps.</li> <li>• Review, refine, and validate the initial list/graphic of stakeholders developed by WPP and PM Working Groups.</li> <li>• Review the stakeholder interview data captured during the earlier organizational assessment to understand what Amtrak stakeholders have said they value.</li> <li>• Benchmark CIGIE and other OIGs for latest work on organizational performance measures; suggest conducting interviews with members of these organizations. The discussions should focus on big-picture measures and indicators of performance, not specific metrics.</li> </ul>

<p><b>Action 1: Identification of Measures and Metrics.</b> Develop measures that reflect the overall performance of the OIG, including both outputs (quantities) and outcomes (impacts).</p>	
<p><b>Step 3</b> Discuss with Senior Leadership their perception of key external stakeholders’ expectations relating to meaningful performance measures and indicators.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Rather than contacting these stakeholders directly, the implementation team should leverage the Senior Leadership as a data source. IG and DIG have very frequent conversations with stakeholders, have a good sense of stakeholders’ interests, and can clarify for the Implementation Team any confusion about the balance of stakeholders’ expectations and OIG responsibilities. This is the first Step in gauging stakeholder perception.</li> <li>• Frame the discussion with the IG and DIG around: “What does Congress/Amtrak Management/Board value most from the OIG?”; “How do they judge the OIG’s impact?”; “What do they most need from the OIG?”</li> <li>• Summarize the findings from this discussion to serve as valuable information to share within the OIG.</li> </ul>
<p><b>Step 4</b> Develop additional qualitative measures and metrics of OIG performance that address:</p> <ul style="list-style-type: none"> <li>• OIG overall <ul style="list-style-type: none"> <li>○ internal processes (efficiency, outputs)</li> <li>○ external measures and outcomes (impact of work)</li> </ul> </li> <li>• Each functional group</li> </ul>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Based on the conversations with the IG and DIG in Step 3, determine the degree to which such items as efficiency and potential savings should be measured.</li> <li>• Coordinate this effort with: <ul style="list-style-type: none"> <li>○ Human Capital Management to help them in developing cascading measures of performance (ensure that individual measures relate to organizational level measures).</li> <li>○ Quality and Timely Work Process (QTWP) to support their efforts in improving the quality assurance(QA) processes; the QTWP Implementation Team will identify a set of performance/accountability measures that could be leveraged by the PM team to develop internal performance measures and metrics.</li> <li>○ Internal Communications team to develop ways to assess improved internal communication processes.</li> </ul> </li> </ul>
<p><b>Step 5</b> Engage with OIG Senior Leadership to discuss, refine and finalize the list of OIG performance measures and metrics.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Present the Senior Leadership with draft measures and metrics developed based on all the research, interviews, and discussions and ask for feedback.</li> </ul>

**Action 2. Identification of Data Sources and Reporting Mechanism.** Determine data sources for supporting the measures and generating reports; develop a data collection and reporting plan.

This Action focuses on the logistics of determining how to collect, compile, and report performance data, after the measures are identified in Action 1. It includes an assessment of existing data collection and internal communication channels, as well as identification of new data collection and reporting mechanisms that must be established.

<p><b>Action 2: Identification of Data Sources and Reporting Mechanism.</b> Determine data sources for supporting the measures and generating reports; develop a data collection and reporting plan.</p>	
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• An understanding of existing mechanisms provides a way to save both cost and effort in accomplishing this Action.</li> <li>• Keep data collection as simple and seamless as possible.</li> </ul>	
<p><b>Step 1</b> Identify existing data sources and collection mechanisms.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Consult with M&amp;P and others to identify existing mechanisms to gather data for semi-annual reports</li> </ul>
<p><b>Step 2</b> Determine gaps where no data source currently exists.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Consider the areas identified by the Working Group. <ul style="list-style-type: none"> <li>○ New measures may not currently have a data source.</li> </ul> </li> </ul>
<p><b>Step 3</b> Propose new data collection mechanisms to close any gaps or improve existing process.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify areas where data collection and reporting can be incorporated into existing work practices and work flow.</li> </ul>
<p><b>Step 4</b> Develop a dashboard or other tool to report both statutory and outcome-based data.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Utilize vehicles such as the internal staff newsletter to keep OIG staff posted on current progresses in the organization.</li> <li>• Coordinate with the Internal Communication Group to identify existing mechanisms to report performance measurement data.</li> </ul>
<p><b>Step 5</b> Solicit feedback from OIG Senior Leadership on data collection and reporting mechanisms.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify optimal mechanisms for reporting as perceived by Senior Leadership.</li> </ul>
<p><b>Step 6</b> Review feedback and incorporate modifications as appropriate to data collection and reporting plan.</p>	

**Action 3.** *Establish Accountability for Gathering and Reporting Performance Data. Identify mechanisms for ensuring adherence to established, inclusive performance measurement processes*

Accountability is a key component of the Implementation Roadmap and contributes greatly to supporting the adoption of new performance measures and behaviors within the OIG. The intent of this Action is to develop the mechanisms to ensure the accountability for gathering and reporting performance data in the organization. Although the OIG needs a participative approach to measure its performance, the Working Group highlighted the importance of identifying the group and its leader who will be responsible for managing the performance measurement process (Step 1).

<p><b>Action 3: Establish Accountability for Gathering and Reporting Performance Data.</b> Identify mechanisms for ensuring adherence to established, inclusive performance measurement processes.</p>	
<p><b>Guiding Principle:</b></p> <ul style="list-style-type: none"> <li>Clarifying the process “ownership” is a key component for the success in developing effective performance measurements within the OIG.</li> </ul>	
<p><b>Step 1</b> Identify the responsible group/leader who will maintain the overall responsibility for managing performance measurement process.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>Clarify the roles and responsibilities of “Performance Measurement Manager” <ul style="list-style-type: none"> <li>Such as coordinating activities, analyzing data, setting schedules, providing guidance, and monitoring the number of OIG recommendations implemented.</li> </ul> </li> </ul>
<p><b>Step 2</b> Identify the mechanism by which managers are held accountable for requesting and gathering input from staff.</p>	



## Tracking Tool to Guide Action Plan Implementation



<b>Performance Measurement</b>			
<p><b>Desired Future State:</b> Amtrak OIG has performance metrics that reflect the requirements of the Inspector General Act; meet the expectations of Congress and other stakeholders; and reflect the value of OIG work to Amtrak. These metrics are integrated into OIG’s operating and performance management systems.</p>			
<p><b>Action 1. Identification of Measures and Metrics.</b> Develop measures that reflect the overall performance of the OIG, including both outputs (quantities) and outcomes (impacts). Estimated time for this Action is: 9 Weeks</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Document measures and metrics that support statutory reporting requirements.	Assembled list of measures used to assess performance of other OIGs.		
2) Identify key external stakeholders and what they value from Amtrak OIG.	Descriptions of the characteristics stakeholders value in OIG’s work.		
3) Discuss with Senior Leadership their perception of key external stakeholder’s expectations relating to meaningful performance measures and indicators.	Summary of discussion with OIG Senior Leadership on external stakeholder’s expectations.		



## Tracking Tool to Guide Action Plan Implementation



<b>Performance Measurement</b>			
<p><b>Desired Future State:</b> Amtrak OIG has performance metrics that reflect the requirements of the Inspector General Act; meet the expectations of Congress and other stakeholders; and reflect the value of OIG work to Amtrak. These metrics are integrated into OIG’s operating and performance management systems.</p>			
<p><b>Action 1. Identification of Measures and Metrics.</b> Develop measures that reflect the overall performance of the OIG, including both outputs (quantities) and outcomes (impacts). Estimated time for this Action is: 9 Weeks</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
<p>4) Develop additional qualitative measures and metrics of OIG performance that address:</p> <ul style="list-style-type: none"> <li>• OIG overall               <ul style="list-style-type: none"> <li>○ internal processes (efficiency, outputs)</li> <li>○ external measures and outcomes (impact of work)</li> </ul> </li> <li>• Each functional group</li> </ul>	<p>List of qualitative measures of OIG performance developed in conjunction with the Human Capital, Quality and Timely Work Processes, and Internal Communication Working Groups, which cover the individual functional groups and OIG as a whole.</p>		
<p>5) Engage with OIG Senior Leadership to discuss, refine and finalize the list of OIG performance measures and metrics.</p>	<p>Finalized list of OIG performance measures and metrics.</p>		





## Tracking Tool to Guide Action Plan Implementation



<b>Performance Measurement</b>			
<p><b>Desired Future State:</b> Amtrak OIG has performance metrics that reflect the requirements of the Inspector General Act; meet the expectations of Congress and other stakeholders; and reflect the value of OIG work to Amtrak. These metrics are integrated into OIG’s operating and performance management systems.</p>			
<p><b>Action 2. Identification of Data Sources and Reporting Mechanism.</b> Determine data sources for supporting the measures and generating reports; develop a data collection and reporting plan. Estimated time for Action is: 4 Weeks</p>			
Step	Examples of Targets/Measures	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Identify existing data sources and collection mechanisms.	Documented list of data sources and collection mechanisms currently available to the Amtrak OIG.		
2) Determine gaps where no data source currently exists.	List of Amtrak OIG activities for which performance data is lacking.		
3) Propose new data collection mechanisms to close any gaps or improve existing process.	List of data collection mechanisms to cover existing gaps.		
4) Develop a dashboard or other tool to report both statutory and outcome-based data.	Creation of a tool through which Amtrak OIG staff can submit and record data.		



## Tracking Tool to Guide Action Plan Implementation



<b>Performance Measurement</b>			
<p><b>Desired Future State:</b> Amtrak OIG has performance metrics that reflect the requirements of the Inspector General Act; meet the expectations of Congress and other stakeholders; and reflect the value of OIG work to Amtrak. These metrics are integrated into OIG’s operating and performance management systems.</p>			
<p><b>Action 2. Identification of Data Sources and Reporting Mechanism.</b> Determine data sources for supporting the measures and generating reports; develop a data collection and reporting plan.            Estimated time for Action is: 4 Weeks</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
5) Solicit feedback from OIG Senior Leadership on data collection and reporting mechanisms.	Brief assessment by Senior Leadership on the new data collection and reporting mechanisms.		
6) Review feedback and incorporate modifications as appropriate to data collection and reporting plan.	Modified data collection and reporting mechanisms.		



## Tracking Tool to Guide Action Plan Implementation



<b>Performance Measurement</b>			
<p><b>Desired Future State:</b> Amtrak OIG has performance metrics that reflect the requirements of the Inspector General Act; meet the expectations of Congress and other stakeholders; and reflect the value of OIG work to Amtrak. These metrics are integrated into OIG’s operating and performance management systems.</p>			
<p><b>Action 3. Establish Accountability for Gathering and Reporting Performance Data.</b> Identify mechanisms for ensuring adherence to established, inclusive performance measurement processes.            Estimated time for Action is: 4 Weeks</p>			
<b>Step</b>	<b>Examples of Targets/Measures</b>	<b>Status</b>	<b>Comments: Obstacles; Help Needed; Dependencies; Other Comments</b>
1) Identify the responsible group/leader who will maintain the overall responsibility for managing performance measurement process.	Group/leader accepts responsibility for managing performance measurement process.		
2) Identify the mechanism by which managers are held accountable for requesting and gathering input from staff.	Mechanism selected for gathering input from staff; selection of mechanism is communicated to staff.		

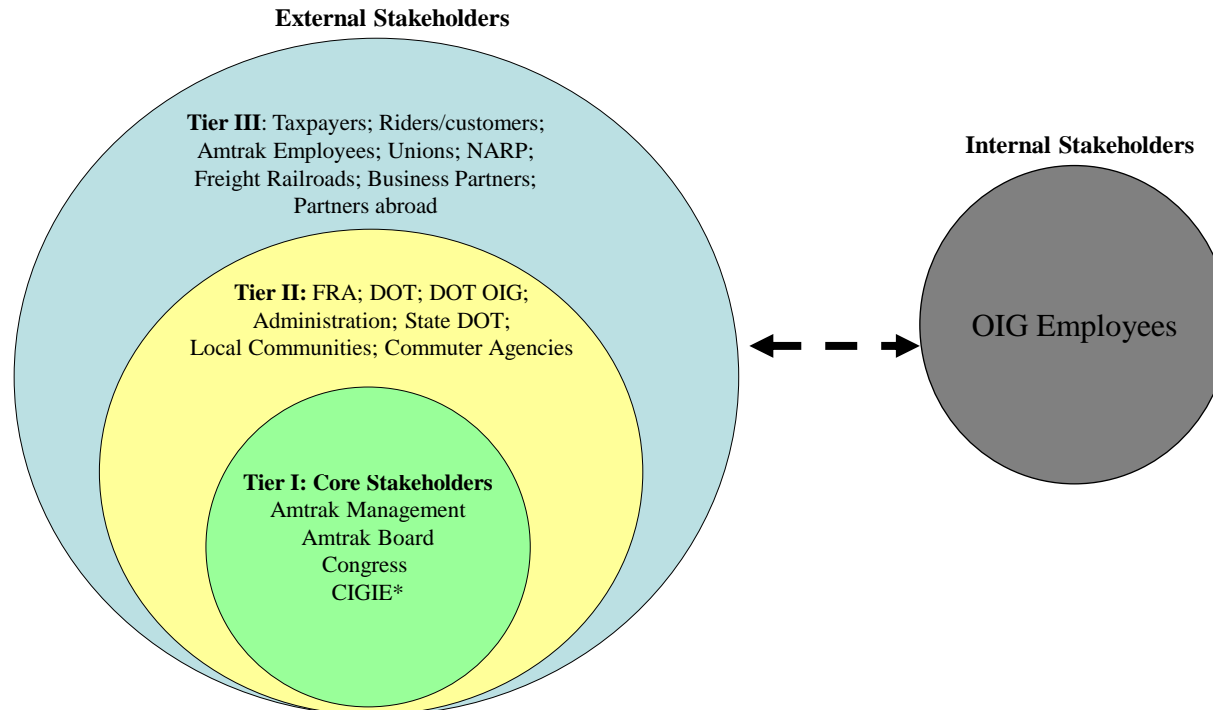


## **Tracking Tool to Guide Action Plan Implementation**



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**Figure VI-A Amtrak OIG Stakeholders**



**Tier I: Parties that are directly impacted by OIG reports/products and can directly effect change.**  
**Tier II: Parties that are indirectly impacted by OIG reports and can reasonably effect change.**  
**Tier III: Parties that are indirectly impacted by OIG and have little ability to effect change.**

\*CIGIE is included in the Tier I group because it is a user of Amtrak OIG products, but not a body that is a subject of their work. They collect and track outputs from all OIGs and play a key role in offering peer input regarding the quality of OIG products and processes across the community.

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## **TAB VII**

### **The Amtrak Office of Inspector General Organizational Assessment Phase II Implementation Roadmap Development**

#### **Subject: Management & Policy Updates**

Tab VII contains the Management & Policy Updates Implementation Roadmap and Tracking Tool developed by the Working Group to guide the activities of the Implementation Team.

- Management & Policy Updates Implementation Roadmap
- Management & Policy Updates Implementation Tracking Tool

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## VII. Management and Policy Updates

*Desired Future State: Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; CIGIE information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible to and used regularly by staff.*

The Management and Policy Updates (MPU) Working Group was headed by Executive Sponsor, Assistant Inspector General (AIG) for Management and Policy (M&P), Bret Coulson and Initiative Team Lead Tarun Goel. MPU was selected for improvement, as it plays a key support role to the Office of Inspector General (OIG) processes, but the earlier organizational assessment indicated that few staff understood the role or operations of M&P. In particular, the role of M&P in the policy development and updating process required further clarification and documentation.

The Working Group met four times during January and early February 2011, and identified four key Actions that frame this Roadmap. These Actions are described in more detail later in this chapter.

### Observations

Key observations from the Amtrak Phase I review included:

- OIG leadership and staff recognize the need for standardized, quality policies and guidance.
- OIG has thus far not been able to fully engage staff in policy development.
- Recently developed policies have been placed on the secure subnet, but they do not appear to have been widely read and understood.
- The function and role of M&P is not clear, and skill sets may not be aligned to OIG needs.

The Working Group recognized early in the process that there is a lack of clarity among OIG staff about what the role of M&P is, especially in regard to policy development and updates. Similar to other OIGs, the AIGs for Audit/Inspections and Evaluations (I&E), and Investigations take the lead in developing policy within their functional areas. M&P does not champion this type of policy development, but serves in a more administrative or support role. M&P does take a stronger lead, however, in developing OIG administrative policy (e.g., travel, expenses, and personnel matters). These policies are sometimes taken directly from Amtrak corporate policy, with or without modifications to better fit the OIG. M&P consults with the OIG Senior Leadership in this policy development process.

Some of the policy issues identified in the Amtrak Phase I Review were addressed late in 2010. For example, in September 2010, Audit and I&E policies that follow Yellow Book standards were finalized and approved by the OIG leadership. Since that time staff in Audit and I&E have

been receiving training on those policies. In addition, the developed policies have been posted on the secure subnet.

Finally, it should be noted that many of the issues mentioned in this section align with the issues addressed by the Quality and Timely Work Processes Working Group. Because quality assurance (QA)—particularly for Audit and I&E—requires policy that is up-to-date with Yellow Book, updates to policy may affect specific aspects of the QA guidance.

### **Characteristics of Improved Management and Policy Updates**

As part of its work, this Working Group identified a set of characteristics that describe the future state of MPU in the policy update process (see chart that follows). These characteristics frame the desired future state in concrete terms, and provide a way to measure the progress of the implementation team and sustain the momentum for the effort.

*Desired Future State: Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; CIGIE information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible to and used regularly by staff.*

#### **Desired Future State Characteristic**

When the OIG achieves its desired future state, its Management and Policy Updates will be characterized by process and content that is:

- Efficient
- Upgraded
- User-friendly
- Reflective of a Model OIG
- Nimble
- Dependable
- Reliable
- Providing Consistent Output
- Providing Great Transparency
- Proactive (versus Reactive)

## Implementation Actions and Steps

The four Actions designed to improve MPU each have multiple associated implementation steps, and the Working Group offered additional information to the Implementation Team in the form of context, guidance and commentary to help them carry out these Actions and Steps. This information is presented on the following pages in the Implementation Roadmap.

A Tracking Tool for the Implementation Roadmap addresses the need to identify the suggested lead for the Implementation Team; timeframes or end dates for completing each Action and its correlating Steps; and suggested measures or targets to assess progress toward accomplishing the Actions. While the Implementation Roadmap serves more to guide the implementation activities with guiding principles and tactical support, the Tracking Tool addresses metrics for identifying progress of and accountability for the outlined processes. The Tracking Tool is included as an addendum at the end of this chapter.

### **Action 1.** *Define departmental roles and responsibilities in the policy development process.*

The purpose of this Action is to clarify existing roles of each functional unit within the OIG in the policy development process. Audit/I&E and Investigations each lead policy development that guides the way the work is performed within that group. M&P has a role in this process, but in an administrative capacity, rather than leading the effort. This effort will clarify and document who-does-what in the policy development process. This is a high-level focus on the groups within the OIG, describing how each group supports the process and relates to other groups. A more detailed description of process, including specific roles and responsibilities is developed in Action 2.

<b>Action 1:</b> Define departmental roles and responsibilities in the policy development process.	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>• Each group has primary responsibility for developing policy regarding their work area, but the process is not yet documented or institutionalized.</li> <li>• M&amp;P has a supporting role in most policy development activities and the specific nature of their relationship requires documentation.</li> <li>• A visual depiction of the process provides another way to enhance understanding about how the different groups coordinate.</li> </ul>	
<b>Step 1</b> Document roles and responsibilities of each functional department (Audit, I&E, Investigations, Legal, and M&P) in policy development and updates.	<b>Things To Do:</b> <ul style="list-style-type: none"> <li>• Meet with leaders from each functional group to identify and document the overall approach followed to developing policy governing their group (e.g., annual cycles, groups involved in review and approval).</li> <li>• Note the standards they follow (e.g., Audit and I&amp;E follow <i>Yellow Book</i>; Investigations follows <i>Quality Standards for Investigations</i>)</li> </ul>

<b>Action 1: Define departmental roles and responsibilities in the policy development process.</b>	
<p><b>Step 2</b> Describe how each functional department relates to M&amp;P in the context of policy development and updates.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Examine the policy development process for the functional groups noted in Step 1 and identify points in the process where M&amp;P can lend support and the nature of that support (e.g., compiling, facilitating reviews, and publishing to the web).</li> <li>• Document the types of policy that M&amp;P takes the lead in development efforts (e.g., administrative policies)</li> </ul>
<p><b>Step 3</b> Document work flow between Audit, I&amp;E, Investigations, Legal, and M&amp;P in the development of policy and updates.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Using input from Steps 1 and 2, create a graphic depicting the flow of activities in the policy development processes for each group, noting where M&amp;P lends support.</li> </ul>

**Action 2.** *Develop roles and responsibilities of leaders from each functional area in the policy development process*

The first Action addressed how policy is developed among the groups. This Action adds further detail by specifying the roles and responsibilities of the people within the groups.

<b>Action 2: Develop roles and responsibilities of leaders from each functional area in the policy development process</b>
<p><b>Guiding Principles:</b></p> <ul style="list-style-type: none"> <li>• Each AIG has key authorities in the policy development process within their area. This Action specifies what each functional leader does in the policy development process.</li> <li>• The processes of developing policy among each group are slightly different. The processes must be documented to enhance clarity and ensure that each is consistently followed over time.</li> <li>• There is recognition that input within functional areas should be supplied mainly from the coordinating functional experts, recognizing the value of specialized experience in the development of policy. Support-related policy feedback would be solicited and provided more broadly.</li> </ul>

<b>Action 2:</b> Develop roles and responsibilities of leaders from each functional area in the policy development process	
<p><b>Step 1</b> Identify leadership roles and responsibilities for each AIG in monitoring the external environment for potential policy updates.</p> <ul style="list-style-type: none"> <li>• Define process for monitoring Amtrak corporate policy updates</li> <li>• Define process for monitoring non-Amtrak sources (e.g., Congress, CIGIE, other groups)</li> </ul>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Discuss with each AIG what they specifically do in the policy development process, particularly how they monitor events external to Amtrak OIG that have policy implications for how the work is performed</li> <li>• Document differences or special considerations for dealing with Amtrak corporate policies adopted by the OIG.</li> </ul>
<p><b>Step 2</b> Determine roles and responsibilities of each functional group in developing and updating internal policy, including the review and approval process.</p> <ul style="list-style-type: none"> <li>• Define process for developing and updating policy related to conduct of Audits, I&amp;E, Investigations.</li> <li>• Define process for developing and updating policy related to OIG administration and office management.</li> <li>• Recognize the evolving role of QA as it relates to policy.</li> </ul>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Specify who-does-what within a group in the policy development process.</li> <li>• Include annual policy reviews and identify the timeframe when those will occur (OIG decided to review and update all <b>policies</b> at each January). Some policy revisions may emerge during the course of the year, such as changes to Yellow Book—these changes should be made as they arise, not wait for an annual review. The intent is that all policy gets reviewed <i>at least</i> annually—not that it waits for a set policy review period.</li> </ul>
<p><b>Step 3</b> Document a policy development process that engages managers and key staff in reviews of draft policies in each functional area (i.e., institute a top down and bottom up process for policy development when staff is experienced with standard IG practices).</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify the scope of roles and responsibilities within each group among the various staff including the AIGs, senior managers, and others.</li> <li>• Document how each group updates its policies.</li> </ul>

**Action 3.** *Create and publish policy guidance across the OIG*

After policy is developed and finalized, it must be published and prepared for dissemination. Associated internal guidance in how to apply the policy must be compiled, explained, and made accessible to staff. This Action focuses on the compilation of OIG policy into distinct volumes, and development of training to teach new policies and procedures.

<b>Action 3: Create and publish policy guidance across the OIG</b>	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>New policies must be shared with staff beyond sending out an email that they exist or where to find them. Staff must also be trained in new procedures or methods that support those policies to ensure they are followed.</li> </ul>	
<p><b>Step 1</b> Facilitate policy updates and implementation by developing tools and training guidelines that demonstrate the practical application of the policies (e.g., Agent Handbook for Investigators). Create two types of “handbooks”:</p> <ul style="list-style-type: none"> <li>Two or three that address the technical aspects of how work is performed by Audit/I&amp;E and Investigations, and</li> <li>One that describes administrative office policy</li> </ul>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>Take note of the status of each type of policy: <ul style="list-style-type: none"> <li>Audit policies development: completed</li> <li>Investigation policies development: in progress</li> <li>Internal policies: in progress</li> <li>Legal has a role in policy development of all groups.</li> </ul> </li> <li>Develop and deliver training to increase understanding of the policy, and teach any new procedures or behaviors associated with the policy: <ul style="list-style-type: none"> <li>People who develop the policies may not be responsible for conducting the training—consider contractor support for policy training.</li> </ul> </li> </ul>

**Action 4.** *Develop and deploy an online repository of all OIG policy.*

All OIG policy must be easily accessible by staff. The secure subnet, which has been the mechanism for hosting policy, is not easily accessible and is rarely used by the majority of staff. The MPU Working Group identified an immediate solution to posting both existing and new policy that will greatly enhance accessibility.

In addition, the group discussed posting the policies on an OIG intranet. This site was in development at the time of this writing, thus the group proposed the immediate posting to the external website on a secure page. In the future, the OIG may wish to post the policies on the intranet in addition to the website. This would offer staff one more option for accessing the information in a user-friendly manner and would avoid the need for an additional login to a secure external page.

<b>Action 4:</b> Develop and deploy an online repository of all OIG policy.	
<b>Guiding Principles:</b>	
<ul style="list-style-type: none"> <li>• Individuals may want to review multiple policies related to a certain theme, such as review local and long distance travel policies. An underlying approach to organizing policies by “type” will aid users in finding related information.</li> <li>• The migration and posting of policy must have a lead point-of-contact to ensure the Action is carried out.</li> <li>• All staff must be informed about where the policy is located and given guidance on how to access the secure webpage.</li> </ul>	
<p><b>Step 1</b> Develop technical approach regarding how policies will be posted on secure Amtrak OIG webpage for employees only (e.g., link to a static pdf file for each posted policy, provide password access to employees only).</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• This is technical discussion; a review or analysis will be necessary to identify which policies should be grouped and/or linked as being related in some way.</li> </ul>
<p><b>Step 2</b> Identify responsibilities for migrating all policies that have currently been housed on the secure subnet to the secure webpage and identify process and timeframes for posting newly-developed policy.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify point person in each functional area to ensure relevant newly-developed policy and updates are posted in timely fashion.</li> <li>• Audit/I&amp;E policy has been developed and can be posted immediately.</li> <li>• Policy for Investigations can be posted on a rolling schedule as it is developed (expected completion date for Investigations policy development is July 2011)</li> <li>• M&amp;P (Organization-wide) can be posted immediately.</li> <li>• Any other newly-developed or revised policy can be posted as completed.</li> </ul>
<p><b>Step 3</b> Communicate new location of policy information to staff along with secure webpage access information.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Communicate to all staff the new procedure for accessing policy along with organizational expectations for compliance with Amtrak OIG Policy</li> <li>• Provide each staff member with links, permissions and passwords for accessing the secure pages</li> </ul>
<p><b>Step 4</b> Determine the approach to further refining the policy repository.</p>	<p><b>Things To Do:</b></p> <ul style="list-style-type: none"> <li>• Identify timeline for intranet development and analyze the value of migrating policy once again to the intranet, once established.</li> <li>• Establish linkage so that changes made to policy in one location also occur in other locations.</li> </ul>

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## Tracking Tool to Guide Action Plan Implementation



### Management and Policy Updates

**Desired Future State:** Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; CIGIE information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible and used regularly by staff.

**Action 1. Define departmental roles and responsibilities in the policy development process.**

Estimated time for this Action is: no more than 30 days.

Step	Example of Targets/Measure	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Document roles and responsibilities of each functional department (Audit, Inspections and Evaluation, Investigations, Legal, and M&P) in policy development and updates.	Documented roles and responsibilities for each functional department in policy development.		
2) Describe how each functional department relates to M&P in the context of policy development and updates.	Documented roles of M&P in the policy development in each functional group.  Documented list of the policies that M&P should take the lead in development efforts.		
3) Document work flow between Audit, I&E, Investigations, Legal, and M&P in the development of policy and updates.	Graphic description of the policy development work flow in each group and the relationships between M&P and other groups in these processes.		



## Tracking Tool to Guide Action Plan Implementation

<b>Management and Policy Updates</b>			
<p><b>Desired Future State:</b> Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; CIGIE information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible and used regularly by staff.</p>			
<p><b>Action 2. Develop roles and responsibilities of leaders from each functional area in the policy development process</b>            Estimated time for this Action is: no more than 30 days, could be done concurrently with Action 1.</p>			
Step	Example of Targets/Measure	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Identify leadership roles and responsibilities for each AIG in monitoring the external environment for potential policy updates. <ul style="list-style-type: none"> <li>• Define process for monitoring Amtrak corporate policy updates.</li> <li>• Define process for monitoring non-Amtrak sources (e.g., Congress, CIGIE, other groups).</li> </ul>	Documented leadership roles and responsibilities for each AIG in monitoring external environment.  Documented process for monitoring Amtrak corporate policy updates.  Documented process for monitoring non-Amtrak sources.		
2) Determine roles and responsibilities of each functional group in developing and updating internal policy, including the review and approval process. <ul style="list-style-type: none"> <li>• Define process for developing and updating policy related to conduct of Audits, I&amp;E, Investigations.</li> <li>• Define process for developing and updating policy related to OIG administration and office management.</li> <li>• Recognize the evolving role of QA as it relates to policy.</li> </ul>	Documented review and approval process in: <ul style="list-style-type: none"> <li>• each functional group</li> <li>• OIG administration and office management</li> </ul> Documented roles of QA in policy development.		



## Tracking Tool to Guide Action Plan Implementation

<b>Management and Policy Updates</b>			
<p><b>Desired Future State:</b> Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; CIGIE information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible and used regularly by staff.</p>			
<p><b>Action 2. Develop roles and responsibilities of leaders from each functional area in the policy development process</b>            Estimated time for this Action is: no more than 30 days, could be done concurrently with Action 1.</p>			
Step	Example of Targets/Measure	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
3) Document a policy development process that engages managers and key staff in reviews of draft policies in each functional area (i.e., institute a top down and bottom up process for policy development when staff is experienced with standard IG practices).	Documented roles and responsibilities of various staff (AIGs, senior managers, and others) within each group.  Documented policy updates process in each group.		



## Tracking Tool to Guide Action Plan Implementation



### Management and Policy Updates

**Desired Future State:** Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; CIGIE information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible and used regularly by staff.

### Action 3. Create and publish policy guidance across the OIG

Estimated time for this Action: depends on the policy development of each groups (three different timelines)\*

Step	Example of Targets/Measure	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Facilitate policy updates and implementation by developing tools and training guidelines that demonstrate the practical application of the policies (e.g., Agent Handbook for Investigators). Create two types of “handbooks”: <ul style="list-style-type: none"> <li>• Two or three that address the technical aspects of how work is performed by Audit/I&amp;E, and OI, and</li> <li>• One that describes administrative office policy</li> </ul>	Developed handbooks that address the technical aspects of how work is performed by Audit, I&E, and Investigations.  Developed handbook that describes administrative office policies.  Documented policy training guidance in each group.		

\* Audit: 30 Days, Investigations: 6 months (in conjunction with completion of its policy development, M&P: 45 Days



## Tracking Tool to Guide Action Plan Implementation



### Management and Policy Updates

**Desired Future State:** Amtrak OIG maintains and applies current, accurate, and consistent policies across the office; has a process to monitor changes in the broader external environment that affects its work practices (e.g., Amtrak policies; Yellow Book updates; CIGIE information) as well as a mechanism for incorporating those changes into internal policy; and the office makes all guidance easily accessible and used regularly by staff.

#### **Action 4. Develop and deploy an online repository of all OIG policy.**

Estimated time for this Action is: 60 Days

Step	Example of Targets/Measure	Status	Comments: Obstacles; Help Needed; Dependencies; Other Comments
1) Develop technical approach regarding how policies will be posted on secure Amtrak OIG webpage for employees only (e.g., link to a static pdf file for each posted policy, provide password access to employees only).	Developed method to assess which policies are related and create broad categories for grouping individual policies.		
2) Identify responsibilities for migrating all policies that have currently been housed on the secure subnet to the secure webpage and identify process and timeframes for posting newly-developed policy.	Documented roles and responsibilities for migrating policies to secure webpage in each group.  Documented schedule to post newly-developed policies and updates.		
3) Communicate new location of policy information to staff along with secure webpage access information.	Documented plan to communicate new procedures for accessing policies within the OIG.		
4) Determine the approach to further refining the policy repository.	Documented plan to improve the functionalities of the secure webpage.  Documented timeline of OIG intranet development.		



## **Tracking Tool to Guide Action Plan Implementation**



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