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National Academy of Public Administration Assessment Contributed to Office of Inspector General Transformation

Report No. OIG-SP-2013-005

February 14, 2013



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Office of Inspector General



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The Amtrak Office of Inspector General (OIG) completed a comprehensive transformation effort that has positioned the office to function as a mainstream OIG and ultimately achieve its goal of being a model OIG. Prior to the appointment of the current Inspector General (IG) in November 2009, the Amtrak OIG was not functioning as a mainstream OIG.

For example, audits were not always performed in accordance with Generally Accepted Government Auditing Standards, investigative operations had never been peer reviewed, and the results of work were not always publicly available. In many instances, the OIG inappropriately performed Amtrak management functions and failed to conduct activities traditionally performed by other OIGs such as overseeing the audit of Amtrak's financial statements. In addition, Amtrak officials inappropriately controlled OIG hiring decisions and had unfettered access to all OIG email accounts.

The current IG initiated a transformation effort during FY 2010, with a goal of taking actions that would ultimately establish the office as a model IG. That effort was a complex and challenging undertaking as it required a change to an organizational culture that had developed over 20 years. In May, 2010, the IG engaged the National Academy of Public Administration (NAPA) to assist in the transformation by making an independent assessment of the OIG's organization. NAPA had conducted similar OIG organizational assessments. Those engagements made NAPA uniquely qualified to assess the Amtrak OIG's operations and identify business process improvements to help it become first a mainstream and ultimately a model OIG.

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NAPA used an expert panel of fellows and a project team to conduct the assessment. The fellows and team worked closely with the IG to help advance the strategic goal of becoming a model OIG by identifying the Amtrak OIG's core organizational strengths and weaknesses. NAPA's methodology included soliciting information from: OIG senior leadership and staff; Amtrak's Board of Directors and senior executives; and, congressional staff. The team also obtained information from other OIGs on best practices used by their organizations to enhance operations. NAPA provided a written report of its assessment on August 31, 2010.¹

The report contained observations and recommendations focused on the following eight areas where the Amtrak OIG could enhance its operations.

- Internal Communications
- External Communications
- Work Planning and Prioritization
- Quality and Timely Work Processes
- Independence
- Policy Management and Updates
- Human Capital Management
- Performance Measures

For each area, NAPA defined a desired future state. The report then summarized Amtrak OIG's strengths and weaknesses in relation to the future state, and recommended immediate next steps as well as longer term recommendations to achieve that future state. Many of the report's individual recommendations addressed the need to revise and improve policies and work processes to make them consistent with standards and best practices within the OIG community. The report clearly stated that becoming a model OIG would require a change in organizational culture and that multiple interim steps would have to occur to achieve the desired state.

¹http://www.amtrakoig.gov/sites/default/files/reports/Amtrak_OIG_Draft_Org_Assessment_Final_memoappendices_083110.pdf

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The report provided the OIG with a basis for developing specific prioritized action plans to improve its processes, policies, and management practices. In developing actions plans, OIG senior leadership also considered the results of other transformation related reviews, including:

- internal Quality Assurance Reviews of the Offices of Investigations and Audits;
- internal reviews of the structure and staffing of all OIG component offices (Investigations, Inspections and Evaluations (I&E), Audits, and Administrative Services—now Mission Support); and
- external reviews of OIG independence mandated by the Consolidated Appropriations Act of 2010.

These reviews identified issues and recommendations related to the eight areas discussed by NAPA. A consistent theme among the reviews was that the skill sets of many OIG employees did not match those required of a high-performing OIG. Therefore, considering the results collectively helped ensure that the plans for enhancing operations were comprehensive.

The plans,² completed in April 2011, were developed by teams composed of volunteers from the OIG's senior leadership and staff representing a diverse cross-section of function, location, and tenure. The team's multi-level and cross functional representation helped foster a common understanding of the rationale for enhancing operations and ensured that the plans considered a wide range of perspectives in addressing the issues. NAPA staff assisted some of the teams in developing the plans and this in turn helped OIG staff strengthen their team building and communication skills.

² http://www.amtrakoig.gov/sites/default/files/reports/napa_recommendations_memo_and_attachments-4-8-11.pdf

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The OIG formally started implementing the plans in May 2011. However, when practical, the OIG took many actions to improve communications, develop policies and processes, and ensure independent operations even as the plans were being developed. Some actions, such as addressing issues with software tools, were implemented relatively quickly by relevant process owners. Others, such as improving the work planning process and developing performance measures, required a concerted effort by leaders and staff from across the organization and thus took more time to develop and implement.

The action plans have now been implemented and, as discussed in the following sections, the Amtrak OIG has achieved the desired future state for each of the eight areas identified in the NAPA assessment. The Amtrak OIG is committed to achieving its goal of operating as a model OIG and fostering a culture of continuous operational improvement.

INTERNAL COMMUNICATIONS

NAPA found that, historically, the Amtrak OIG culture inhibited information-sharing, and that limited communication among component offices fed an atmosphere of rumor, suspicion, and frustration. Field offices were not well integrated into the operations and had only limited communications or interaction with headquarters employees.

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 OIG has made significant advancements in strengthening internal communications and in developing a culture of transparency and information-sharing. For example, OIG leadership regularly provides staff with detailed information on the status of activities to enhance operations, communicates about OIG work efforts, and recognizes successes and milestones. In response to the latest staff survey (July 2012), 60 of the 72 (85 percent) respondents agreed or strongly agreed that they receive adequate and timely

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information from OIG leaders. The survey resulted from an action plan recommendation.

Another critical initiative in improving internal communications was the reorganization of the OIG component offices. The reorganization among other things, eliminated stovepipes by ensuring that field offices were well integrated into OIG operations. The reorganization also resulted in the establishment of additional management positions and changes in the mix of skill sets of managers and staff. Consequently, communication within and across the component offices has improved and staff work as teams that span geographic locations. This change has helped the OIG to generate objective and sophisticated products that add value to Amtrak and external stakeholders, including the Department of Transportation and Congress.

Other initiatives in internal communications that have been institutionalized to align the OIG with the desired future state include:

- biannual meetings in which all staff participate in person or by video technology to hear directly from OIG senior management and to ask questions of, and give feedback to, management;
- weekly senior leadership meetings to discuss current events and share information;
- regularly scheduled meetings between the cognizant assistant inspector general (AIG) and all staff (in person or electronically) to share information;
- separate biweekly meetings between the Inspector General/Deputy Inspector General (DIG) and each of the AIGs to discuss the component office's ongoing and planned work;
- a monthly newsletter prepared by staff with input from all OIG offices that discusses professional and personal issues of common interest;
- a photo directory of all OIG personnel to increase familiarity with staff at all locations; and

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- a quarterly report summarizing ongoing and recently completed audit, evaluation, and investigative work to share information among component offices

EXTERNAL COMMUNICATIONS

NAPA found that the OIG did not have an established process with standardized timeframes for providing updates to stakeholders. All stakeholders indicated that they wanted to know how and when the OIG would communicate with them going forward. Of particular importance was establishing clear expectations about interaction during audits and other OIG engagements. In addition, many stakeholders at Amtrak said they and their staffs would benefit from a clearer understanding of the roles and responsibilities of an independent OIG.

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 OIG has significantly enhanced communication with Amtrak's Board of Directors, Amtrak executives, Congress, and other external stakeholders by instituting policies and processes to ensure transparency and information-sharing. For example, the OIG provides Amtrak Board members, executives, and congressional contacts with a quarterly report summarizing ongoing and recently completed audit, evaluation, and investigative work. Several members of Amtrak's Executive Committee noted that the report provided them with unprecedented insight into OIG activities and helped their understanding of the value of an independent OIG.

A critical initiative by the OIG to improve external communication was the development of a policy for conducting audits and evaluations that established a standardized process for communicating with Amtrak officials at specified timeframes

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during all phases of a review. The process includes the opportunity for management to review and provide written comments on all draft reports, a practice that was not previously in place. Those comments are included in the OIG's final report. All final reports are provided to external stakeholders, including congressional contacts, and are posted on the OIG's website, the content of which has been revised and updated.

Further, the OIG Strategic Plan for FY 2013--2017³ includes a goal to "communicate openly and work professionally with, but independently from, Amtrak management." Strategies for achieving this goal include enhancing relationships with Congress, Amtrak's Board Members and executives, through timely, proactive communications with stakeholders about critical issues and work products. An annual written survey was developed to assist in measuring the OIG's progress in achieving this goal. Eighty-nine percent of the external stakeholders responding to the first survey agreed that the Amtrak OIG was accomplishing this goal.

Other initiatives that have been institutionalized to align the office with the desired future state include:

- a proactive congressional and public affairs program to ensure transparency and information sharing with congressional staff and other external stakeholders;
- an Amtrak OIG 101 briefing to clearly define and communicate OIG roles and responsibilities to Amtrak executives, employees, and contractors;
- a fraud awareness briefing for Amtrak executives, employees, and contractors to enhance their understanding of potential fraud schemes and fraud indicators that should be referred to the OIG;
- closed sessions among the IG/DIG and the Board of Directors during each Board meeting to discuss Amtrak and OIG programs and operations and share information about potential areas of risk from the governance perspective;
- IG/DIG participation in the Board of Directors' Audit and Finance Committee Meetings;

³ <http://www.amtrakoig.gov/sites/default/files/reports/strategic>

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- monthly meetings between the IG/DIG and the Amtrak CEO to discuss current events and share information;
- monthly meetings of the Audits and I&E AIGs with the Amtrak liaison to discuss ongoing work and recommendation follow-up; and
- a standardized, unique, logo that is used on all OIG products to support a clear, consistent brand image.

WORK PLANNING AND PRIORITIZATION

The NAPA report noted that the OIG had not centrally prioritized or coordinated its work to ensure alignment with the OIG's strategic direction and to provide maximum value and impact to Amtrak. While the OIG developed a strategic plan in early 2010, it still needs a process to objectively identify and prioritize Amtrak programs as potential subjects of audit, investigation, inspection, or evaluation.

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 OIG has established and implemented a process to consistently identify high-value topics for audit and evaluation. The five-step annual work planning process was developed using best practices and various planning processes followed by other OIGs. The process is owned by the senior leadership team, includes OIG staff and stakeholder input, and applies risk factors and criteria to prioritize potential subjects for audit or evaluation. The process assists the senior leadership team in ensuring that the OIG's financial and human resources are aligned with its and Amtrak's strategic goals.

The process was used to develop the OIG's Annual Audit, Inspection and Evaluation Plan for Fiscal Year 2013. This plan was prepared with considerable input from OIG stakeholders, including congressional staff, Amtrak Board members, and Amtrak senior managers. It is organized around eight focus areas (e.g. Governance, Acquisition) and

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describes, in each of these areas, recently published reports, on-going work, the work planned to start in FY 2013, and potential areas of focus beyond FY 2013.

The five-step planning process is summarized below.

- **Audit Universe.** An unconstrained universe of potential topics within broad focus areas for audits and evaluations is developed. The topics come from a variety of internal and external sources such as legislation, stakeholder requests, strategic and business plans, investigative referrals, prior audit follow-ups, data analytics, and proposals from OIG leadership and staff members.
- **Risk Assessment.** Topics within each focus area will be initially ranked based on Total Risk. Total Risk is determined by considering both Inherent Risk and Control Risk. For each topic, inherent risk is assessed based on its size, scope, significance, complexity, change magnitude, and alignment with Amtrak's enterprise risk management priorities. Control risk is assessed based on the results of prior audits and state of internal controls/management effectiveness in the given topic area. All risks are ranked as high, medium, or low, initially by the topic proposal's submitter.
- **Prioritization.** The AIGs for Audits and I&E apply their judgment to rank topics within each focus area by taking into account stakeholder interest, sense of importance, urgency/timeliness, and project mix. The IG and DIG review the ranked topics, and then apply their own judgment by taking into account the overall value and impact of the given topic area. These rankings provide an unconstrained plan.
- **Constraints.** The IG/ DIG with input from AIGs make an assessment of the effort required to audit or evaluate a given topic area, and the constraints to successfully accomplish the project, such as availability of staff, funds for contractors, skill needed, and time available. The final topic selections provide the basis for a constrained plan, which is then shared with major stakeholders for their feedback.

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- **Audit Plans.** Finally, short-term annual plans, and long-term five-year plans when necessary, are developed and communicated internally with staff, and externally with Amtrak officials, stakeholders, and the general public.

Lastly, during FY 2012, the OIG published a revised Strategic Plan for Fiscal Years 2012-2017. The revised plan was developed following best practices that were identified in a 2010 OIG review of models and practices widely used in Strategic Planning. The intent in revising the plan was to articulate the OIG vision in the context of its overarching goal to operate as a model OIG. The plan establishes goals, strategies, and performance indicators to achieve the vision and assess progress. The plan supports Amtrak's Strategic Plan, particularly its goal of attaining a standard of financial and organizational excellence.

QUALITY AND TIMELY WORK PROCESSES

Assessment data indicated that the lack of documented and well-understood processes, tools, and deadlines resulted in misaligned resources, inconsistent reporting formats, and inadequate accountability. The NAPA report also identified a strong desire among OIG staff for processes and structure, and noted that actions were underway to develop policy and process guidance and to provide training.

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 OIG has established and is following disciplined policies and procedures for conducting audit, evaluation, and investigative work in accordance with standards prescribed by the Government Accountability Office (GAO) and the Counsel of Inspectors General on Integrity and Efficiency (CIGIE). The policies for audits, evaluations, and investigations were completely revised to ensure compliance with applicable standards. All staff attended training on the revised policies to gain a

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common understanding of the requirements for conducting OIG work and developing products.

During FY 2013, the Offices of Audits and Investigations will be peer-reviewed by another OIG that will assess the adequacy and implementation of Amtrak OIGs policies in the context of standards prescribed by GAO and CIGIE. Upon successful completion of the Investigations peer review, the OIG will request Attorney General Approval to implement statutory law enforcement authority under the IG Act, as amended.

One of the early accomplishments in improving work processes was addressing outstanding issues with project management software tools (TeamMate, Amtrak Investigations Management System). The tools, widely used in the accountability community, provide disciplined processes for documenting audit, evaluation, and investigative work. However, several reviews of the OIG including NAPA's had identified incomplete and inconsistent use of the tools by the OIG. The OIG has upgraded the tools, developed guidance, provided training, and staff are consistently using the tools to document their work.

Other initiatives that have been institutionalized to align the office with the desired future state include:

- creating and staffing an Office of Quality Assurance and Internal Affairs to provide an independent internal assessment of compliance with established policies;
- instituting a new process for conducting independent referencing of audit and evaluation products;
- developing a Quality Control Checklist for audit and evaluation products;
- conducting independent Quality Assurance Reviews of audit and evaluation products;
- regularly updating staff on policy development and revisions;

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- revising the OIG Hotline reporting protocols, enhancing staff skills through training, and conducting supervisory review to ensure proper handling of hotline reports; and
- enhancing coordination between the Offices of Investigations, Audits, and Inspections and Evaluations, by sharing information on areas of mutual interest

Lastly, the OIG completed assessments of the structure and staffing of all component offices (Investigations, Inspections and Evaluations, Audits, and Mission Support). The assessments resulted in adjustments to staffing levels and changes in the skill sets and locations of supervisors and staff.

INDEPENDENCE

NAPA reported that recent developments demonstrated a strengthened level of OIG independence and OIG employees appear to understand that they are no longer able to participate in Amtrak management decisions. OIG leadership and stakeholders were concerned that Amtrak did not understand what independence truly entails with regard to specific authorities and responsibilities, such as human resources decisions and access to company records. Most stakeholders interviewed stressed the need to educate Amtrak staff about what an independent, high-performing OIG does, and how it should interact with them.

Desired Future State: Amtrak OIG has an independent and transparent relationship with its stakeholders, in accordance with the letter and spirit of the Inspector General Act and applicable industry standards. Each stakeholder group has a clear understanding and a practical, applied definition of what it means to have transparent interactions with an independent OIG.

The OIG has addressed issues that hindered its ability to operate independently within the spirit of the IG Act and has an independent yet transparent relationship with all key stakeholders. For example, a closed session among the IG/DIG and the Board of Directors during each Board meeting provides an excellent forum for transparency

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about the independence of the OIG's operations and its ongoing, planned and completed work.

The OIG also enhanced its operational independence by working collaboratively with Board members and executives to improve their understanding of the IG Act; the roles and responsibilities of an independent high-performing OIG; and best practice concepts for interaction used in the accountability community. Other specific actions that the OIG and Amtrak have taken to eliminate Amtrak-imposed restrictions, inappropriate Amtrak OIG staff actions, and ensure the OIG's operational independence include:

- executing a Memorandum of Understanding with Amtrak to ensure that the OIG has independent personnel authority,
- revising Amtrak policies to eliminate instances in which Amtrak officials had control or approval authority over OIG resources and activities,
- moving OIG e-mail accounts off Amtrak servers to prevent unauthorized access, and
- completing the second phase of a 3-year plan to oversee the independent public accountant conducting Amtrak's annual financial statement audit.

In addition, the Consolidated Appropriations Act of 2010 included two provisions to assure Congress the Amtrak OIG was operating independently from the corporation.

The first provision required an independent IG to determine whether the corporation and the Amtrak OIG had agreed on a set of policies and procedures for interacting with each other that are consistent with the letter and spirit of the IG Act of 1978 , as amended. On March 17, 2010, the Farm Credit Administration IG issued a report concluding that the corporation and the Amtrak IG agreed to a set of policies and procedures for interacting with each other that is consistent with the letter and the spirit of the IG Act.

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The second provision required that 1 year after such determination was made, the Council of Inspectors General on Integrity and Efficiency (CIGIE) appoint an IG to evaluate the current operational independence of the Amtrak OIG. The CIGIE appointed the U.S. Postal Service (USPS) OIG to review the current operational independence of the Amtrak OIG.

The October 28, 2011 USPS OIG report found that Amtrak OIG and the company had made operational independence a high priority by undertaking organizational changes and pursuing independence initiatives, with many of the issues having been resolved. Nevertheless, USPS OIG found that the company's structure and management of its separate hotline had resulted in employee confusion, along with allegations of potential fraud not being appropriately referred to the OIG for investigation. Of particular concern, USPS OIG found that the company was not referring potentially fraudulent employee injury claims to the Amtrak OIG.

In responding to the USPS OIG report, the Amtrak Board of Directors agreed with all five recommendations and the OIG worked with Amtrak executives to ensure that the recommendations were implemented. Specific accomplishments include:

- resolving independence issues, including those that the OIG had identified separately through its operational improvement initiatives and the specific recommendations contained in the USPS OIG report;
- renaming the company's internal hotline as the Amtrak Help-Line for ethics and compliance issues to differentiate it from the OIG-managed Fraud Hotline;
- establishing procedures to ensure that the OIG reviews, and has the right of first refusal for audit and investigative purposes, every complaint received by the Help-Line; and
- agreeing to and implementing new protocols on how the company will report potentially fraudulent injury claims by Amtrak employees and others to the OIG.

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Also in response to the USPS OIG report, Amtrak's President and CEO issued a memorandum on January 2, 2012, to all Amtrak employees entitled "Cooperation with OIG." The memorandum outlines Amtrak policy and employees' responsibilities to report fraud, waste, and abuse to the OIG and to cooperate with its inquiries.

The OIG Strategic Plan for FY 2013-2017 includes a goal to "communicate openly and work professionally with, but independently from, Amtrak management." Strategies for achieving the goal include benchmarking and adopting best practices on building collaborative working relationships used by other OIGs and agencies. An annual written survey was developed to assist in measuring the OIG's progress in achieving this goal. Eighty-six percent of stakeholders agreed or strongly agreed and 89 percent of OIG employees agreed or strongly agreed to questions on the survey designed to measure this goal.

The OIG is committed to maintaining its independent yet transparent relationship with Amtrak and will continue to work with the Board of Directors, executives, and the Congress, as appropriate, to do so.

POLICY MANAGEMENT AND UPDATES

The NAPA report cited widespread recognition within Amtrak OIG of the need for standardized, quality policies and guidance, as well as greater structure and consistency in process. Also, there was no process to actively monitor the external environment for potential policy updates, a mechanism that high functioning OIGs have in place. Further, the function, roles, and responsibilities of the Management & Policy group, (now Mission Support), were unclear, there was a lack of communication and products coming from that group, and there was a concern that staff skills within the group may not be adequate.

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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 OIG has established and is following disciplined policies and procedures for office-wide operations and for conducting audit, evaluation, and investigative work. Many of the OIG's transformation efforts related to improving and filling gaps in management policies have already been discussed under the earlier sections on quality and timely work processes and independence.

The policy enhancements that have been institutionalized resulted from a leadership-driven, OIG-wide policy review effort that began in spring 2010. The review objectives were to:

- establish standardized, quality policies and guidance that provided greater structure and consistency in office wide and component group processes, and
- identify all Amtrak policies that subjected OIG activities to review or approval by company employees or managers and obtain exemptions or develop separate OIG policies, as appropriate.

A standardized process has been established for maintaining, updating, and monitoring the status of all OIG policies. Weekly reports, provided to all OIG personnel, track the status of all OIG-wide and component offices policies. Draft policies and/or revisions are circulated for review and comment by managers in each of the component offices before they are forwarded to the DIG/IG for review and approval. While the responsibility for monitoring and updating relevant policy lies with the component offices, the IG maintains ultimate responsibility and signature authority for OIG policies. As each new or revised policy is finalized, it is sent via e-mail to all OIG personnel and

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posted on an office-wide shared computer drive that houses the OIG Knowledge Management Library.

The OIG Strategic Plan for FY 2013-2017 includes a goal to “consistently follow efficient, disciplined processes.” One of the performance indicators established for the goal is to assess the percentage of established policies that are annually reviewed and updated as needed. The target for this metric is 100 percent compliance.

The OIG, as mentioned, completed an assessment of the functions, structure and staffing for the Office of Management & Policy. The assessment, which identified deficiencies in the organizational structure and skill sets of managers and staff, defined a vision for providing administrative services based on best practices in the accountability community. The transformation of the office (now Mission Support) is complete, and included redefining the mission, roles, and responsibilities and replacing staff that did not have the requisite skill sets and experience.

Given the importance of Mission Support to the OIG’s ability to perform its core functions of audit, evaluation, and investigation, the OIG Strategic Plan for FY 2013-2017 includes a goal to “create and maintain effective mission-support systems.” An annual employee written survey measures, among other things, the OIG’s progress in achieving and maintaining this goal. The first survey conducted in July 2012, provided a baseline on areas of perceived strengths and weaknesses for use in our continuous improvement efforts as they relate to Mission Support.

HUMAN CAPITAL MANAGEMENT

The NAPA report emphasized that human capital management is one of the Amtrak OIG’s most pressing areas of concern. Specifically, NAPA and other reviews found that the skill sets of many incumbent OIG employees were not adequate to perform the high-value, strategic work required to satisfy the needs of the OIG’s stakeholders. Further, there were not enough managers with strong supervisory skills and subject-matter expertise to train staff to perform the OIG’s work.

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Desired Future State: Amtrak OIG attracts and retains high-performing employees; has consistent job titles and job descriptions; and has in place training plans and performance management plans that link individual performance to OIG objectives.

The Amtrak OIG has significantly enhanced its human capital management practices and established policies and processes to institutionalize those practices. While this area was individually reported by NAPA, it is now being addressed as part of the OIG's mission support improvement initiatives. It is discussed separately here for clarity of the OIG's actions specifically related to the NAPA recommendations.

Also, as noted earlier, to address deficiencies noted by NAPA and other reviews, OIG senior leadership completed assessments of the structure and staffing for all of its component offices (Investigations, Inspections and Evaluations, Audits, and Mission Support). The assessments considered a variety of factors including the OIG strategic goals, budgetary resources, staffing levels, and the skill sets and geographic location of staff.

All of the assessments identified the need for enhancements that required reorganization, additional management positions, and improvements in the skill sets of managers and staff. The OIG has implemented many of the enhancements identified for each of the component offices. The resulting improvements include:

- reducing the number of job titles and establishing standardized titles within component groups and across the OIG;
- revising position descriptions, based on best practices within the accountability community, to reflect the skill sets required to perform high-value, strategic work;
- removing staff who did not have the requisite skill sets, training, and experience for positions that they were encumbering;
- hiring senior investigative managers with extensive experience in Federal law enforcement;

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- realigning field offices to more effectively utilize audit and investigative staff; and
- establishing an Office of Quality Assurance & Internal Affairs to provide an independent mechanism for monitoring compliance with policies and procedures.

Another important component of the OIGs initiatives to establish quality and timely work processes that comply with applicable standards in the accountability community included an enhanced employee development program. All audit, evaluation, and investigative staff attended extensive training on the revised policies to obtain a common understanding of the requirements for conducting OIG work and developing products. Staff has also received focused training on work planning, evidence, interviewing, documentation, report writing, Team Mate, data analytics tools and federal law enforcement requirements and operations.

The OIG now also participates in Amtrak's performance management system to ensure consistency in assessment and compensation decisions, but retains independent final decision making authority. The OIG uses the system to link individual performance and contributions to organizational success by cascading performance expectations from the IG's goals, which align with the OIG's strategic goals, down through the organization. Additionally, the OIG participates in the company's program to improve safety in all aspects of its operations.

To ensure that our performance management process is implemented effectively, the OIG provided senior leaders, managers and staff with formal classroom training to ensure their understanding of the performance management system, including its requirements and timelines. The training helped prepare participants for critical conversations during the process by addressing how to: set effective goals and expectations; provide feedback and coaching; conduct mid-year and end-year performance reviews; and handle compensation decisions and conversations.

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Finally, as part of our continuous improvement efforts, the OIG is also in the process of completing a comprehensive human capital management strategy that will be aligned with the OIG Strategic Plan for FY 2013-2017. When completed, this initiative will help ensure structure, consistency, and accountability for the implementation of key human capital initiatives. For example, the plan will include initiatives for career advancement, leadership development, and succession planning.

PERFORMANCE MEASURES

The NAPA report cited the importance of measuring performance at both the organizational and individual levels. The OIG leadership team recognized the importance of establishing performance metrics that reflect the value of their work.

Desired Future State: Amtrak OIG has performance metrics that reflect the requirements of the IG 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 OIG developed performance metrics to assess its progress in achieving the goals articulated in the OIG Strategic Plan for FY 2013-2017⁴. The Plan's goals, strategies, and metrics support the OIG's vision to:

“operate as a model OIG, generating products that add value. Utilizing modern infrastructure and effective support systems, and following efficient, disciplined processes that meet the standards of the accountability community, our diverse and talented team will work professionally with, but independently from, Amtrak management.”

⁴ http://www.amtrakoig.gov/sites/default/files/reports/strategic_plan2.pdf

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The performance metrics were developed using input from a variety of sources including the views of OIG senior leadership and staff from all of the component offices, discussions with the Amtrak Board of Directors and executives, and the views of congressional staff. The OIG also considered measures used by other OIGs, which vary greatly given that no standard or agreement in the community exists on what measures are best suited for an OIG.

The fourteen OIG developed metrics include a mixture of quantitative and qualitative metrics. Specifically:

- Dollar value of recommendations
- Management concurrence with recommendations
- Management implementation of recommendations
- Stakeholders' agreement that OIG adds value
- Peer review results
- Number of reports issued
- Timeliness of investigations
- Policies reviewed and updated
- Qualifications of OIG staff
- OIG staff motivation
- Diversity of workforce
- Stakeholders' views of OIG communications/professionalism
- OIG staff views of OIG communications/professionalism
- OIG staff views of Mission Support systems

The OIG also developed a metrics data collection and reporting plan that includes survey instruments to solicit input for the qualitative factors from employees and stakeholders. The OIG Strategic Plan for FY 2013-2017 contains baseline data as well as short- and long-term targets for each of the metrics.

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OIG MISSION AND CONTACT INFORMATION

Amtrak OIG's Mission The Amtrak OIG's mission is to provide independent, objective oversight of Amtrak's programs and operations through audits, inspections, evaluations, and investigations focused on recommending improvements to Amtrak's economy, efficiency, and effectiveness; preventing and detecting fraud, waste, and abuse; and providing Congress, Amtrak management and Amtrak's Board of Directors with timely information about problems and deficiencies relating to Amtrak's programs and operations.

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