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Office of Inspector General
United States Department of State

ISP-I-21-28

Office of Inspections

July 2021

**Inspection of the
Bureau of Consular Affairs,
Office of 1CA: Leadership, Management,
and Innovation**

DOMESTIC OPERATIONS

UNCLASSIFIED



HIGHLIGHTS

Office of Inspector General
United States Department of State

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What OIG Inspected

OIG inspected the operations of the Office of 1CA: Leadership, Management, and Innovation in the Bureau of Consular Affairs.

What OIG Recommended

OIG made 1 recommendation to the Bureau of Consular Affairs.

In its comments on the draft report, the Bureau of Consular Affairs concurred with the recommendation. OIG considers the recommendation resolved. The Bureau of Consular Affairs response to the recommendation, and OIG's reply, can be found in the Recommendation section of this report. The bureau's formal written response is reprinted in its entirety in Appendix B.

July 2021

OFFICE OF INSPECTIONS
DOMESTIC OPERATIONS

Inspection of the Bureau of Consular Affairs, Office of 1CA: Leadership, Management, and Innovation

What OIG Found

- The Office of 1CA: Leadership, Management, and Innovation generally performed its mission in accordance with Department of State standards.
- The office did not promote its programs and resources adequately to domestic consular employees.
- 1CA did not conduct periodic, systematic reviews of the Leadership and Management Tenets and Management Framework that guide consular operations.
- 1CA successfully promoted innovation and the use of metrics by consular employees.

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CONTEXT

The mission of the Bureau of Consular Affairs (CA) is to protect U.S. citizens and their interests abroad, support U.S. border security at home, facilitate legitimate travel, and foster economic growth. In 2006, CA adopted 10 Leadership Tenets¹ to cultivate leadership at all levels of consular work. CA established the Office of 1CA: Leadership, Management, and Innovation (1CA) in October 2012 to foster a culture of leadership among consular professionals, institutionalize core management principles, and develop management tools and techniques that drive efficiencies in consular operations.

In 2012, 1CA added five Management Tenets² to the existing Leadership Tenets to provide a strategic vision for consular professionals. 1CA also developed a Management Framework, known as “Balanced, SMART, and Lean,” as an underlying set of principles to guide consular operations. The office derived this framework from techniques used in the private sector.³ Finally, 1CA adapted planning and decision-making tools commonly used in private industry to define challenges, identify priorities, set team goals, create plans, and measure performance.

Specifically, 1CA has developed 28 management tools⁴ and more than 30 additional management resources to promote efficient consular operations. These resources include lesson plans for training on different management tools; a professional development feedback and evaluation process for managers; an annual training day dedicated to a specific leadership and management tenet; and an advocacy program to train trainers and share best practices. 1CA maintains a website to promote these tools and resources and hosts a blog with more than 900 success stories highlighting leadership and management best practices. The stated goal of the tenets, the Management Framework, and the management tools and resources is to provide a shared vision, a common language, and a practical approach to solving problems for consular professionals working in CA’s overseas and domestic operations.

When CA established 1CA, it also tasked the office with two additional responsibilities: 1) to moderate an online Innovation Forum to solicit, vet, and disseminate practical solutions to workplace challenges and 2) to coordinate the global CA Metrics Project, an effort to develop workload data through interactive dashboards. CA’s interpretation and implementation of these last two responsibilities have since evolved, but 1CA still plays an important role in both innovation and metrics—the latter in the form of data analytics.

¹ See Appendix C for the Leadership Tenets.

² The new Management Tenets are: think globally, plan strategically, create value, assess honestly, and implement sustainably. See Appendix C.

³ “Balanced” focuses on four key areas of management: people, processes, customers, and resources; “SMART” is a framework for setting goals that are specific, measurable, attainable, relevant, and time-bound; “Lean” is a process designed to maximize value to customers and minimize waste and inefficiencies. See Appendix D.

⁴ See Appendix E for a complete list of the 28 management tools. In its technical comments that CA provided on this report, CA noted that on May 19, 2021, 1CA announced the addition of its 29th management tool. However, because the management tool was added after the inspection, it is not included in the count of management tools in this report.

At the time of the inspection, the office's staffing consisted of five direct-hire positions and five third-party contractors. A timeline of key changes in 1CA's mission is shown in Figure 1, below.

Figure 1: 1CA Historical Timeline



Source: Department intranet website for 1CA.

OIG evaluated the office's policy and program implementation, consistent with Section 209 of the Foreign Service Act of 1980.⁵

POLICY AND PROGRAM IMPLEMENTATION

OIG assessed the effectiveness of 1CA's policy and program implementation through interviews with CA staff, including all former office directors, CA's senior leadership, and selected overseas consular managers; reviews of documentary materials; and a survey sent to overseas and domestic consular professionals.

Overall, OIG found that 1CA carried out its mission effectively. Seventy-two percent of the respondents (162 out of 227 respondents) to OIG's survey said that the office was very effective or somewhat effective in promoting CA's leadership and management tenets to consular employees worldwide. Additionally, 65 percent of survey respondents (147 out of 225 respondents) said that the office was very effective or somewhat effective in providing a toolkit

⁵ See Appendix A.

and techniques to cultivate leadership, management, and innovation. Interviews with senior consular leaders within CA (domestic) and at overseas posts confirmed these generally positive assessments. One senior consular leader told OIG that 1CA's tools empowered consular managers to make operational improvements by integrating metrics, tools, and innovative approaches. Another senior consular leader described the office as effective in integrating leadership and management into CA's corporate culture and supporting the former CA Assistant Secretary's vision. Finally, 17 of 32 consular managers interviewed by OIG said that 1CA tools were helpful in managing their response to the COVID-19 pandemic. Although 1CA was effective in meeting its mission, OIG found several opportunities, as described below, for the office to strengthen its operations.

Office Did Not Promote Its Programs and Resources Adequately to Domestic Staff

OIG found that 1CA did not promote its programs and resources adequately to CA's domestic employees. Domestic respondents to OIG's survey said that they were either unfamiliar with or had not used a majority of 1CA's tools, although these 28 tools are applicable to both overseas and domestic operations. For example, 77 percent of domestic respondents (72 out of 94 respondents) said that they were unfamiliar with or had not used the Team Pulse Check tool, while 75 percent (70 out of 93 respondents) were unfamiliar with or had not used the Customer Journey tool. By contrast, overseas respondents generally reported they were more familiar with 1CA tools. Overseas consular managers (17 out of 32 respondents) also were more likely to report that they used 1CA tools to mitigate effects on operations during the COVID-19 pandemic.

Domestic operations include services important to the American public, such as issuance of passport documents and citizenship determinations. Furthermore, OIG documented leadership and management challenges in domestic CA operations in prior work, which 1CA's leadership and management tools may be useful in addressing.⁶ Current staff interviewed by OIG for the 1CA inspection said that 1CA's focus on overseas operations may have contributed to this issue. 1CA's leadership and management tools are integrated into overseas consular training programs at various levels, but they are not emphasized in Civil Service leadership and passport agency training.

Guidance in 1 Foreign Affairs Manual (FAM) 252.3-4(b-d) mandates that 1CA foster the use of CA's tenets, Management Framework, and toolkit in all aspects of consular work, which includes domestic operations. To address shortcomings in the promotion of 1CA's programs and resources to domestic staff, 1CA incorporated a case study specific to domestic passport operations in its primary training course. 1CA staff also told OIG they were recruiting some Directorate of Passport Operations employees who had completed training on consular management tools and techniques to serve as subject matter experts in 1CA tools. Nevertheless, 1CA still did not reach all CA's domestic employees and contractors, limiting the

⁶ See OIG, *Targeted Review of Leadership and Management of the National Passport Center* (ISP-I-19-13, November 2018) and *Compliance Follow-Up Review: Targeted Review of Leadership and Management of the National Passport Center* (ISP-C-20-27, June 2020).

use of 1CA resources to improve operations. OIG noted, for example, that training for domestic employees could be expanded and improved to include more content on using 1CA programs and resources in a domestic setting. In addition, promotion of 1CA “success stories” could include more examples of the domestic application of 1CA programs and resources.

Recommendation 1: The Bureau of Consular Affairs should implement programs to increase awareness and use of 1CA programs and resources among domestic employees. (Action: CA)

Office Did Not Conduct Periodic Reviews of Its Tenets and Management Framework

1CA did not conduct periodic reviews of the Leadership and Management Tenets and Management Framework that guide consular operations in domestic offices and at overseas posts. Principle 12.05 of the Government Accountability Office’s *Standards for Internal Control in the Federal Government*⁷ states that management should periodically review policies for continued relevance and effectiveness in achieving the entity’s objectives. In addition, 18 FAM 301.4-4a states, “Bureaus and independent offices should conduct evaluations to examine the performance and outcomes of their programs, projects, and processes at a rate commensurate with the scale of their work, scope of their portfolio, and the size of their budget.”

CA promulgated its Leadership Tenets in 2006, well prior to the formal establishment of 1CA in 2012. The bureau formulated the Management Tenets at the same time it established 1CA. The office introduced the Management Framework and launched the first of its 28 management tools the following year, in 2013. Although 1CA had evaluated the use, effectiveness, and continued applicability of the tools, it did not formally review the tenets or Management Framework, despite their predating the tools. CA created a new tenet, “Cultivate Diversity, Equity, and Inclusion,” with 1CA’s involvement in 2020. 1CA also received informal feedback on how consular professionals embraced the tenets and Management Framework. However, these ad hoc activities did not constitute a periodic review.

Without such a review, there is a risk that the tenets and Management Framework will lose relevance to those working in consular affairs. For example, some consular professionals told OIG that the tenets did not address work-life balance and resilience issues, and others noted the large number of tenets and a lack of clarity on how to apply them. Additionally, one senior consular leader told OIG the Management Framework was rooted in outdated private sector thinking, while another noted that CA originally conceived the Management Framework as a resource that would grow in sophistication over time but had not. Ten of the 50 consular managers interviewed by OIG reported that the tenets and Management Framework should be reviewed periodically. During the inspection, CA agreed to conduct periodic, systematic evaluations of the 1CA Leadership and Management Tenets and Management Framework.

⁷ Government Accountability Office, *Standards for Internal Control in the Federal Government* 56-57 (GAO-14-704G, September 2014).

Office Met Standards for Innovation and Metrics

OIG found that 1CA successfully promoted innovation and the use of metrics by consular employees. Department standards in 1 FAM 252.3-4 state that 1CA is responsible for coordinating an online Innovation Forum and a global CA Metrics Project,⁸ but, at the time of the inspection, neither operated in the manner described in Department guidelines.

For example, CA terminated the Innovation Forum in 2016 when the Department closed the underlying platform. OIG found that 1CA refocused its innovation efforts to emphasize non-technological innovations, while CA developed other platforms to promote technological innovation such as the Visa Office's Innovation Portal.⁹ OIG confirmed that 1CA still solicited, vetted, and disseminated best practices and innovative solutions developed by consular employees through 1CA's "Success Stories."¹⁰ 1CA launched its most recent program for promoting innovation in January 2021 as the Adaptation Initiative, a year-long messaging campaign to share innovative practices that overseas consular professionals developed to adjust to the negative impact of COVID-19 on visa and passport operations.¹¹ OIG concluded that these activities substantially met the intent of 1 FAM 242.3-4.

Similarly, OIG found that 1CA's terminology and interpretation of the global CA Metrics Project¹² also had evolved. In the several years prior to this inspection, CA incorporated various metrics into newer consular systems¹³ and shifted to analysis of data collected through those

⁸ According to 1 FAM 252.3-4, 1CA "coordinates the moderation of the online CA Innovation Forum to review and implement innovative consular management practices." 1CA also "coordinates the global CA Metrics Project, created to enable data-based decision making while empowering consular professionals to measure the achievement of shared goals."

⁹ The VO (Visa Office) Innovation Portal is a CA intranet website that serves as a one-stop shop for consular professionals to learn how to submit innovation tools and to discover tools approved by CA for worldwide use. Examples include tools to manage the submission and review of investor (E) visas, quick response (QR) codes for frequently used immigrant visa interview case notes or reporting tools to view the productivity of a consular section work unit.

¹⁰ 1CA's website features an interactive Success Story map that allows consular professionals to find 1CA tools their peers have used to improve their consular sections. Users can filter their search of a success story by 1CA tool or resource, consular section work unit or size, or location of a consular section.

¹¹ The COVID-19 pandemic significantly affected the Department of State's operations. On March 20, 2020, the Department suspended routine visa processing worldwide and significantly reduced passport operations domestically the same month. The Department took these dual actions for the health and safety of employees and customers. Steep declines in passport and visa fee revenue caused by COVID-19's effect on international travel and tourism also severely affected CA's budget.

¹² The CA Metrics Project is a collaboration between CA's Offices for Consular Systems and Technology, Executive Director, and 1CA to provide consular staff overseas with data about their embassy or consulate through accurate, interactive dashboards (e.g., visa and passport processing times and rework rates and crisis preparedness.)

¹³ These systems include the following:

The Consular Management Dashboard provides consular managers overseas visualization of certain consular management control data such as information on visa and passport appointment wait times, consular fee refund rates, and visa adjudication review in an easy-to-view format using a program called Tableau.

metrics. Despite changes in program definitions, which the FAM and Foreign Affairs Handbook (FAH) did not always reflect, OIG found that 1CA's promotion of data analytics to facilitate data-based decision-making also substantially met the intent of 1 FAM 242.3-4.

Foreign Affairs Manual and Foreign Affairs Handbook Did Not Accurately Describe Recent Mission

CA did not consistently update references to 1CA's responsibilities in recent revisions to the FAM and FAH. OIG found that references to 1CA in 1 FAM 252.3-4 and 7 FAH-1 H-122.6-4, as well as other FAM and FAH references to 1CA, had not been reconciled to eliminate discrepancies and inconsistencies related to 1CA's mission. At the time of the inspection, 1CA was engaged with other CA offices to review and update the FAM and FAH. CA and 1CA staff acknowledged the inconsistencies and told OIG they would address the problem during the update.

The Global Visa Dashboard visualizes global visa statistics including issuances, refusals, and application volume in a manner that allows users to self-service data requests for information across different embassies or consulates, visa classes and over different periods of time.

The OCS (Overseas Citizen Services) Global Dashboard visualizes volume data for services for American citizens such as, passports and consular reports of birth abroad. It can help contextualize and compare demand for services across missions, regions and identify trends in service delivery.

The Consular Consolidated Database is CA's central data storehouse of current and archived data from overseas missions and domestic offices. It is an important consular management tool consolidating a variety of statistical reports to monitor and compare workloads.

The Consular Launchpad for Enterprise Analytics and Reporting is a portal that allows CA users to access and share authoritative and vetted data, dashboards, and reports from the Consular Consolidated Database and other CA applications.

RECOMMENDATION

OIG provided a draft of this report to Department stakeholders for their review and comment on the findings and recommendation. OIG issued the following recommendation to the Bureau of Consular Affairs. The bureau's complete response can be found in Appendix B. ¹ The bureau also provided technical comments that were incorporated into this report, as appropriate.

Recommendation 1: The Bureau of Consular Affairs should implement programs to increase awareness and use of 1CA programs and resources among domestic employees. (Action: CA)

Management Response: In its June 18, 2021, response, the Bureau of Consular Affairs concurred with this recommendation. The bureau noted an estimated completion date of May 2022.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that the Bureau of Consular Affairs implemented programs to increase awareness and use of 1CA programs and resources among domestic employees.

¹ OIG faced delays in completing this work because of the COVID-19 pandemic and resulting operational challenges. These challenges included the inability to conduct most in-person meetings, limitations on our presence at the workplace, difficulty accessing certain information, prohibitions on travel, and related difficulties within the agencies we oversee, which also affected their ability to respond to our requests.

PRINCIPAL OFFICIALS

| Title | Name | Arrival Date |
|------------------------------|------------------|---------------------|
| Office Director | Katherine Lawson | 9/2020 |
| Deputy Director ^a | Daniel Pauly | 10/2018 |

Source: Generated by OIG from data provided by Bureau of Consular Affairs.

^a The Deputy Director position became vacant in March 2021.

APPENDIX A: OBJECTIVES, SCOPE, AND METHODOLOGY

This inspection was conducted from January 4 to March 26, 2021, in accordance with the Quality Standards for Inspection and Evaluation, as issued in 2012 by the Council of the Inspectors General on Integrity and Efficiency, and the Inspector's Handbook, as issued by OIG for the Department and the U.S. Agency for Global Media (USAGM).

Objectives and Scope

The Office of Inspections provides the Secretary of State, the Chief Executive Officer of USAGM, and Congress with systematic and independent evaluations of the operations of the Department and USAGM. Inspections cover three broad areas, consistent with Section 209 of the Foreign Service Act of 1980:

- **Policy Implementation:** whether policy goals and objectives are being effectively achieved, and whether all elements of an office or mission are being adequately coordinated.
- **Resource Management:** whether resources are being used and managed with maximum efficiency, effectiveness, and economy and whether financial transactions and accounts are properly conducted, maintained, and reported.
- **Management Controls:** whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; and whether instance of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken.

OIG's specific objectives for this inspection were to determine whether:

- Consular managers adequately promoted the use of the Bureau of Consular Affairs' (CA) Leadership and Management Tenets, Management Framework, and management tools.
- The Office of 1CA: Leadership, Management, and Innovation (1CA) established goals, performance metrics, and evaluations for its programs.
- 1CA's efforts to promote and foster innovation after the closure of the Sounding Board met Foreign Affairs Manual (FAM) requirements to review and implement innovative consular practices.
- CA's Data Community of Practice met FAM requirements to coordinate the CA Metrics Project.
- Consular sections and CA's domestic offices used 1CA tools to mitigate the effects of COVID-19-related budget shortfalls and decreases in workload.
- There was any effect on 1CA operations from the drop in CA funding due to the COVID-19 pandemic.

Methodology

OIG used a risk-based approach to prepare for this inspection. Due to the COVID-19 pandemic and taking into consideration relevant guidance, OIG conducted the inspection remotely and relied on audio- and video-conferencing tools in lieu of in-person interviews with Department and other personnel.

OIG also administered a survey sent to a random sample of consular professionals worldwide to measure the effectiveness of 1CA's programs and resources. The sample was drawn from email addresses provided by CA for domestic-based employees and by consular chiefs for employees from 15 randomly selected overseas posts. The survey was sent to a total of 606 consular professionals, of which 36 percent responded. The survey asked respondents to rate the effectiveness of 1CA programs and resources using a scale of "very effective," "somewhat effective," "not effective," and "don't know/no opinion." The survey also asked respondents to indicate the effectiveness and use of the 28 1CA tools used to cultivate leadership, management, and innovation skills. In addition to the survey, OIG examined records pertinent to the inspection.

OIG reviewed the substance of the report and its findings and recommendations with offices, individuals, and organizations affected by the inspection. OIG used professional judgment, along with documentary, testimonial, and analytical evidence collected or generated, to develop its findings, conclusions, and actionable recommendations.

APPENDIX B: MANAGEMENT RESPONSE



United States Department of State

Washington, D.C. 20520

6/18/2021

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THRU:CA – Acting A/S Ian Brownlee

TO: OIG – Sandra Lewis, Assistant Inspector General for Inspections

FROM: CA/1CA - Katherine Lawson, 1CA Director

SUBJECT: Response to Draft OIG Report – Inspection of the Bureau of Consular Affairs, Office of 1CA: Leadership, Management, and Innovation

The Bureau of Consular Affairs (CA) has reviewed the draft OIG inspection report. We provide the following comments in response to the recommendations provided by OIG:

OIG Recommendation 1: The Bureau of Consular Affairs should implement programs to increase awareness and use of 1CA programs and resources among domestic employees. (Action: CA)

Management Response: CA concurs with the recommendation, and CA/1CA will intensify efforts on increasing awareness and use of 1CA programs and resources among domestic employees, particularly within Passport Services (PPT), by May 2022. For example, 1CA will coordinate with PPT’s Innovation team to capture and share PPT innovation success stories, which can then be featured as part of the 1CA adaptation initiative, continue to encourage the addition of PPT employees as adjunct faculty for teaching 1CA tools, and present at PPT’s Director’s conference and PPT’s expanded meeting.

The point of contact for this memorandum is Katherine Lawson, Director, CA/1CA. Please see attached Tab for suggested redactions from CA/1CA.

APPENDIX C: BUREAU OF CONSULAR AFFAIRS LEADERSHIP AND MANAGEMENT TENETS

Consular Leaders:

- **Build Great Teams:** We recruit high-caliber candidates for consular job vacancies, train them right from the start, build trust, and foster a sense of pride and mutual support in the team. We serve the team by eliminating obstacles, resolving conflicts, obtaining appropriate resources, and celebrating success.
- **Communicate:** We help others understand the mission—and their role in accomplishing it. We also listen actively to each other’s concerns and encourage innovation in consular work by listening intently for suggestions.
- **Cultivate Diversity, Equity, and Inclusion:** We commit to hold ourselves and others accountable for creating a diverse and inclusive workplace that affords dignity to all. We empower our workforce to succeed through continuous learning, open communication, and equitable treatment. We intentionally encourage employees to share their unique perspectives and experiences.
- **Delegate Authority — But Not Responsibility:** We give employees ownership over their work, issue clear and concise instructions, and provide coaching and further clarification if needed. We stand behind our people and take responsibility when mistakes are made or calculated risks don’t work out.
- **Develop the Next Generation:** We take seriously our responsibilities as teachers, coaches and mentors and work to develop the skills necessary to play those roles effectively. We make time to get to know our less experienced colleagues and provide them timely praise, honest feedback, and opportunities to cultivate their talents.
- **Follow Courageously:** We take ownership of our work and hold ourselves accountable for improving performance and making our organization stronger. We dissent respectfully and help the boss become more effective in the interest of the team and the mission.
- **Inspire:** We develop and communicate a vision for how our work unit can most effectively contribute to the Department’s mission. In pursuing that vision we relentlessly challenge employees to strive for excellence and engage them in the effort to achieve goals and improve all aspects of the operation.

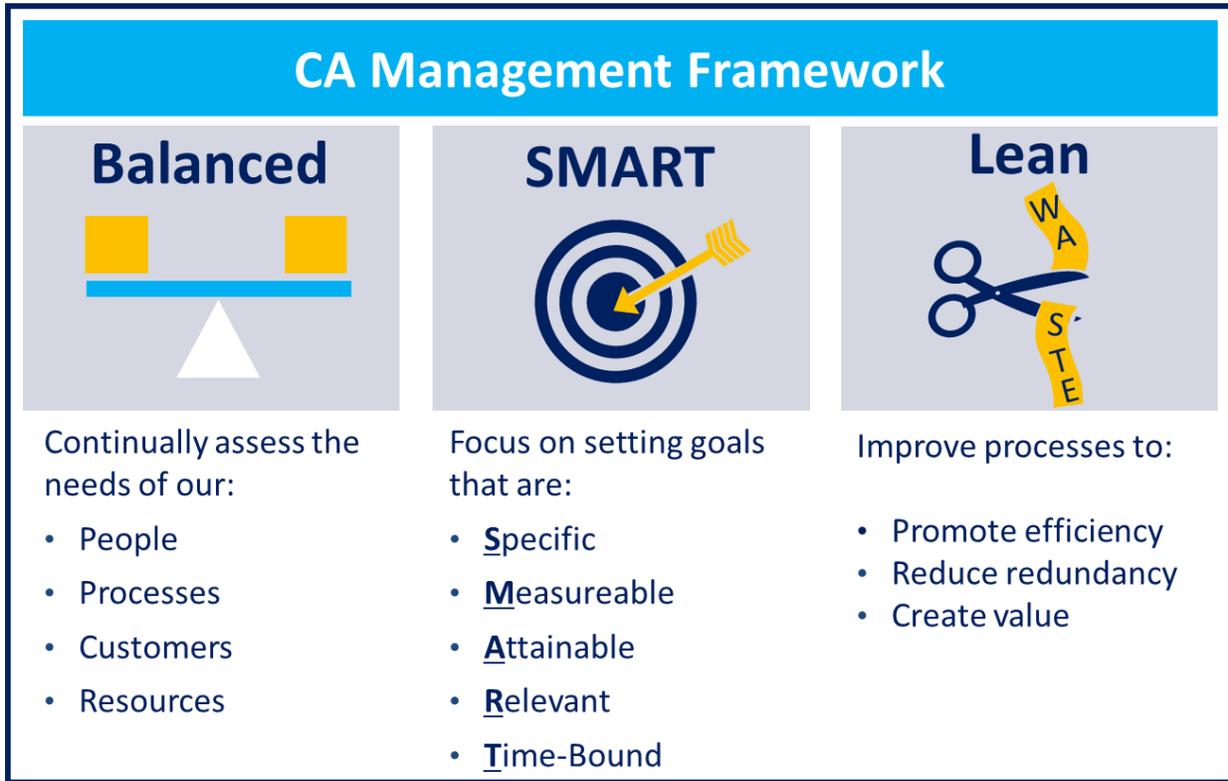
- **Lead by Example:** We set the example for work ethic and demonstrate the willingness and knowledge of consular work to do any job to help the team. We run interference to prevent abuse and undue pressure.
- **Learn Constantly:** We deepen our personal self-awareness in order to cultivate our talents and mitigate mission-critical weaknesses. We display humility by acknowledging our shortcomings and continually work to improve both our skills and our substantive knowledge.
- **Model Integrity:** We hold ourselves to the highest standards of integrity and professional conduct and do what is best for the organization and mission. We generously share credit for the accomplishments of the organization and demonstrate courage in dealing with difficult decisions and poor performers.
- **Practice 360-Degree Diplomacy:** We consider consular work central to core objectives of the mission and the Department and establish constructive working relationships with all mission elements to further those objectives. We engage in public diplomacy to advance organizational goals.

Consular Managers:

- **Assess Honestly:** We objectively measure and review results against expected outcomes to improve operations continuously.
- **Create Value:** We ensure our activities add value. We incorporate the priorities for both the government and the public in evaluating the benefits of our actions.
- **Implement Sustainably:** Based on lessons learned, we extend proven business practices beyond the local scale, maintaining gains and continuing improvements.
- **Plan Strategically:** We collaboratively plan for the future, establish clear goals, and adapt to new challenges. We envision future tasks, anticipate change, and adopt new technologies and procedures to utilize resources efficiently.
- **Think Globally:** We understand our organization's purpose and how our actions affect the U.S. government's worldwide enterprise. We look for global solutions when addressing local problems.

Source: Bureau of Consular Affairs.

APPENDIX D: MANAGEMENT FRAMEWORK



Source: Bureau of Consular Affairs.

APPENDIX E: MANAGEMENT TOOLKIT

| 1CA Management Tools | (Used To...) |
|--------------------------------|--|
| 5 Whys | Identify the underlying root cause of a problem |
| Balance Exercise | Assess whether the office is in “balance” across four elements – People, Processes, Customers, and Resources |
| Brainstorming | Generate ideas or potential solutions using techniques including Silent Storming, Reverse Storming, and Innovation Café |
| Communications Plan | Map out communications strategies and channels for relevant stakeholders |
| Customer Journey Map | Visually represent the steps customers follow when they interact with CA in order to improve the customer experience |
| Develop a Plan Toolkit | Help consular teams prepare for the future by identifying and prioritizing activities to achieve their goals |
| Eisenhower Decision Matrix | Determine which priorities require immediate attention and which can be delegated, scheduled for later, or put on hold |
| Having Difficult Conversations | Prepare for and hold difficult yet productive conversations |
| Holding Effective Meetings | Prepare for, execute, and follow up a meeting |
| Kanban | Organize and visualize tasks to make prioritization and progress clear |
| Lessons Learned | Reflect on project successes, areas for improvement, and next steps to promote future success |
| Making Difficult Decisions | Prepare for and make decisions in a structured way |
| More / Less /Different | Reflect on project activities to do more of, less of, and differently moving forward |
| PICK Chart | Prioritize solutions that can be implemented quickly and have the highest payoff potential |
| Process Map | Visually depict the steps of a process and facilitate a conversation and shared understanding of the current state |
| Project Charter | Initiate a new project and capture purpose, goals, and other relevant information on one simple page |
| Project Plan | Set up your project for success by breaking down the project’s high-level goals into a sequence of actionable steps |
| Project Status Report | Track progress made towards SMART goal(s), recent accomplishments, and upcoming tasks |
| RACI Matrix | Clarify roles and responsibilities (RACI = Responsible, Accountable, Consulted, Informed) |
| Risks and Mitigations | Understand the risks jeopardizing your plan or project and ways to reduce the likelihood or severity of those risks |
| SMART Goals | Articulate project or individual performance goals (SMART =Specific, Measurable, Attainable, Relevant, Time Bound) |
| SWOT Analysis | Identify and analyze internal and external factors that may have an impact on the viability of a project, product, or idea |
| Team Pulse Check | Reflect and assess how your team is performing against the five proven elements of great teams |
| Transition Plan | Plan for gaps in staffing and collect important information during transitions |

| 1CA Management Tools | (Used To...) |
|----------------------------------|---|
| Value Analysis | Identify individual steps that create value or add waste |
| Waiting Room Amenities Checklist | Meet customer service standards of ensuring that all public waiting rooms in overseas posts are clean and comfortable |
| Waiting Room Tracker | Provide a uniform way to measure the non-value added time customers spend waiting |
| Weighted Comparison Model | Choose one or more options from a list of possibilities |

Source: OIG generated from information from 1CA OpenNet site, cas.state.gov/1ca/toolkits/.

ABBREVIATIONS

| | |
|-----|---|
| 1CA | Office of 1CA: Leadership, Management, and Innovation |
| CA | Bureau of Consular Affairs |
| FAH | Foreign Affairs Handbook |
| FAM | Foreign Affairs Manual |

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