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Description of document:	Internal Revenue Service (IRS) Office of Professional Responsibility (OPR) Action Plan produced by contractor Deloitte Consulting under contract TIRNO15Z000150008, 2016
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DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE
WASHINGTON, DC 20224

May 7, 2019

This is a final response to your Freedom of Information Act (FOIA) request dated February 10, 2019 that we received on February 15, 2019.

You asked for a copy of the Organizational Assessment of the IRS Office of Professional Responsibility produced in 2016-2017 for the IRS by contactor Deloitte Consulting under contract TIRNO15Z000150008.

We located 36 pages in response to your request. I am enclosing a copy of the requested records consisting of 36 pages. This is a full grant of your request.

If you would like to discuss your request, you may contact me, the FOIA Public Liaison, Phillip Hatcher at:

> 400 West Bay Street
> M/S 4030
> Jacksonville, FL 32202
> 904-661-3443

The FOIA Public Liaison responds to FOIA and Privacy Act requests for copies of documents maintained by the IRS. There is no provision in either Act to resolve tax, collection, or processing issues and our staff is not trained to answer questions regarding those issues. If you need assistance with tax related issues you may call the IRS toll free number at 1-800-829-1040.

If you have any other questions please call Disclosure Tax Law Specialist Bernard W McDade ID # 101749352, at (267) 941-6628 or write to: Internal Revenue Service Centralized Processing Unit – Stop 93A, PO Box 621506, Atlanta, GA 30362. Please refer to case number F19046-0020.

Sincerely,

Phillip H Hatcher
Disclosure Manager
Disclosure Office 5

Enclosure: Responsive Documents (36 Pages)

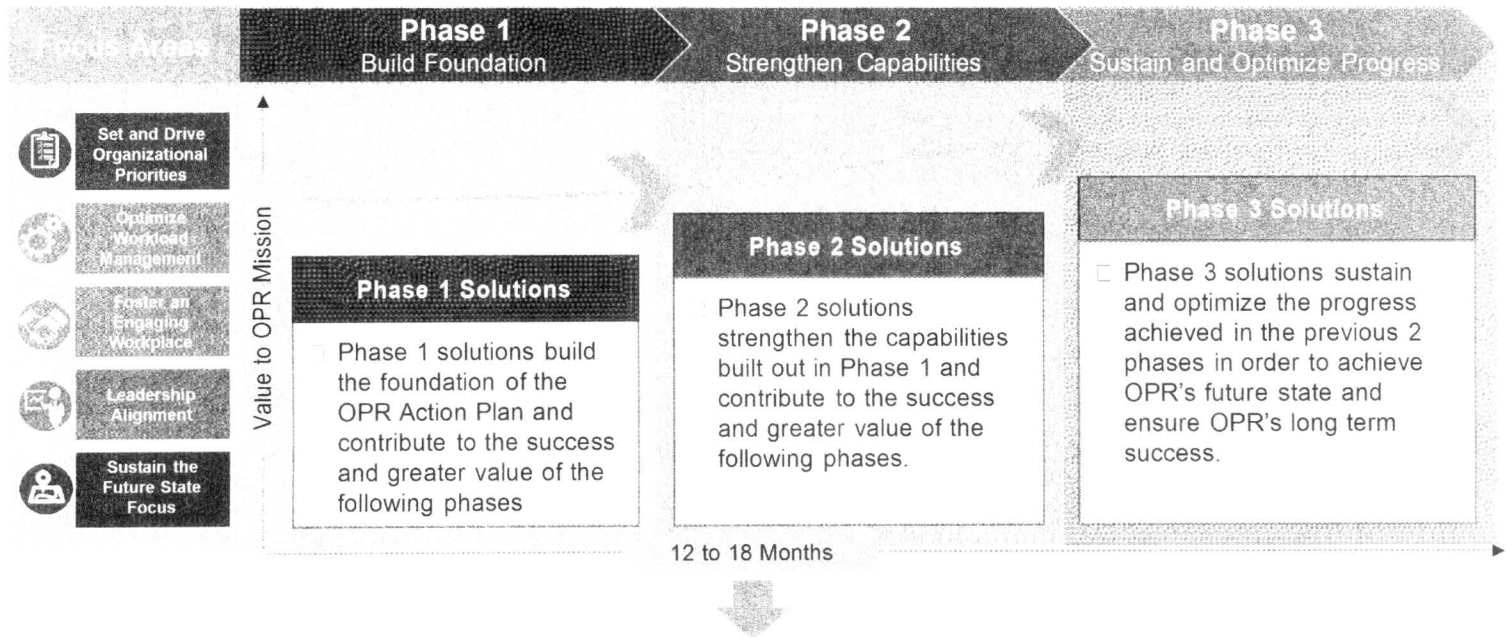# IRS OPR Action Plan

October 5, 2016

Contents

The OPR Action Plan provides the prioritized solutions, recommended management oversight capabilities, and roadmap in order to reach the desired future state.

- Provides strategic and operational perspective on how OPR should move forward
- Provides a 3 phase approach to build the foundation, strengthen capabilities, and sustain and optimize progress

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The OPR Action Plan details a 3 phase roadmap with 5 specific focus areas for the prioritized solutions in order to reach the desired future state. It was developed by incorporating the completed current state assessment, the final OPR Future State, and the prioritized list of gaps.

Focus Areas	Phase 1 — Build Foundation	Phase 2 — Strengthen Capabilities	Phase 3 — Sustain and Optimize Progress

Focus Areas:
- Set and Drive Organizational Priorities
- Optimize Workload Management
- Foster an Engaging Workplace
- Leadership Alignment
- Sustain the Future State Focus

Value to OPR Mission

Phase 1 Solutions

Phase 1 solutions build the foundation of the OPR Action Plan and contribute to the success and greater value of the following phases

Phase 2 Solutions

Phase 2 solutions strengthen the capabilities built out in Phase 1 and contribute to the success and greater value of the following phases.

Phase 3 Solutions

Phase 3 solutions sustain and optimize the progress achieved in the previous 2 phases in order to achieve OPR's future state and ensure OPR's long term success.

12 to 18 Months

OPR Future State

OPR is the source for authoritative Circular 230 guidance and provides proper, independent, and timely adjudication of Circular 230 related issues. By working collaboratively with the IRS and other tax communities, we promote sound tax administration, the protection of tax payers, and tax representation integrity. We accomplish this through an empowered, engaged, efficient, and respected workforce.

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Findings from the current state assessment helped define OPR's prioritized gaps and develop a three phased action plan to build the foundation, strengthen capabilities and sustain and optimize progress towards the desired future state.

| 2016 FEVS Results | Organizational Assessment Launch | Workshops | OPR's Future State Defined | Build Foundation | Strengthen Capabilities | Sustain and Optimize Progress |

2016 ──────────────────────────► Future State

Launch Action Plan

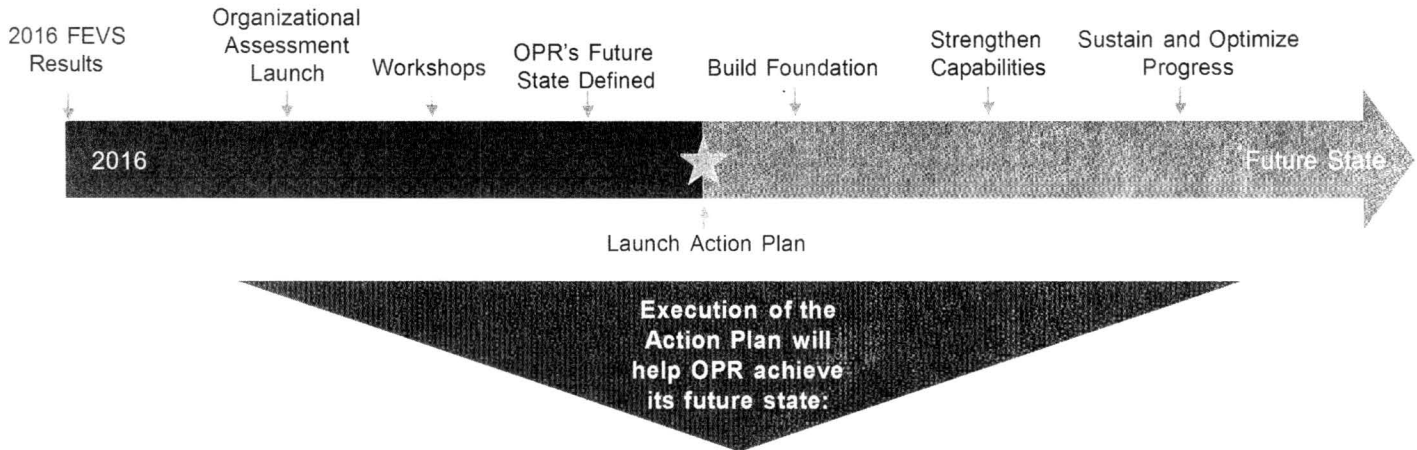**Execution of the Action Plan will help OPR achieve its future state:**

OPR Future State

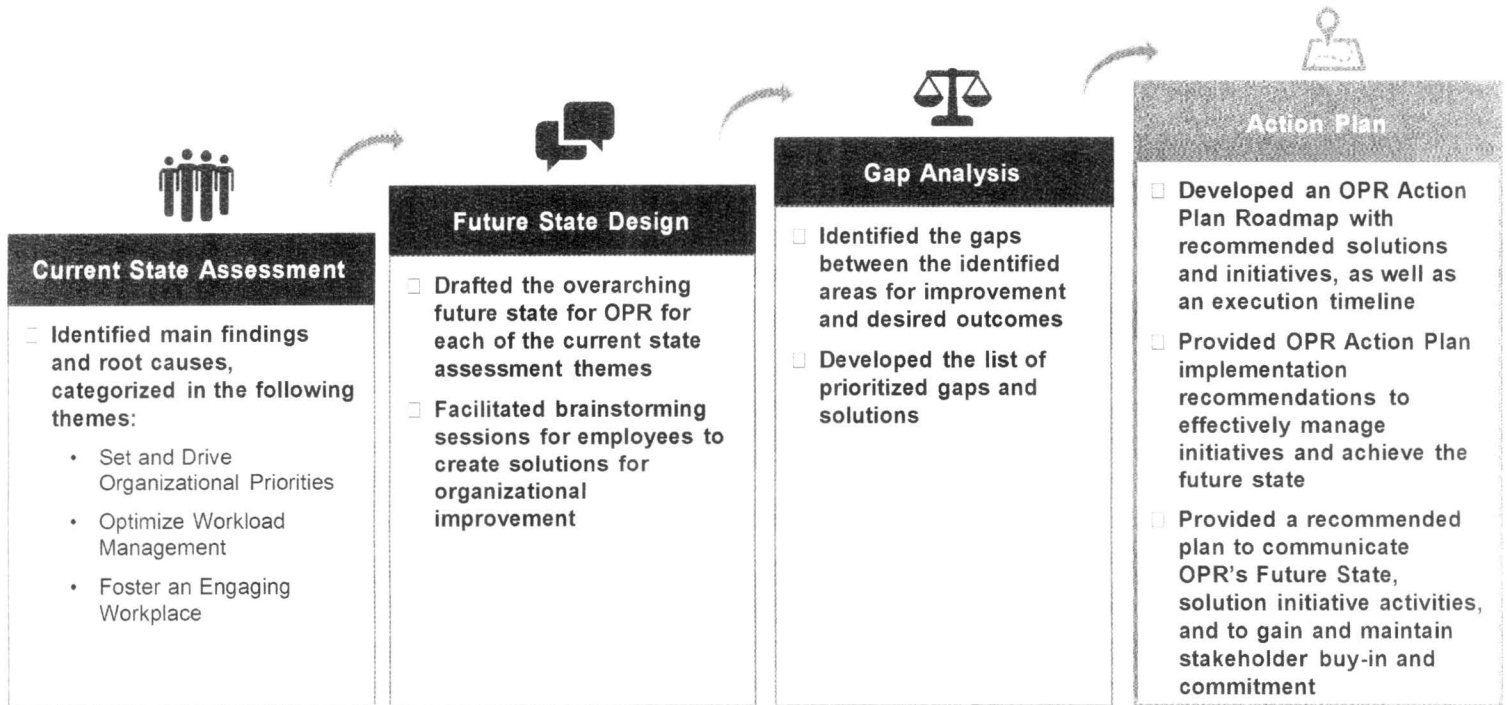OPR is the source for authoritative Circular 230 guidance and provides proper, independent, and timely adjudication of Circular 230 related issues. By working collaboratively with the IRS and other tax communities, we promote sound tax administration, the protection of tax payers, and tax representation integrity. We accomplish this through an empowered, engaged, efficient, and respected workforce.
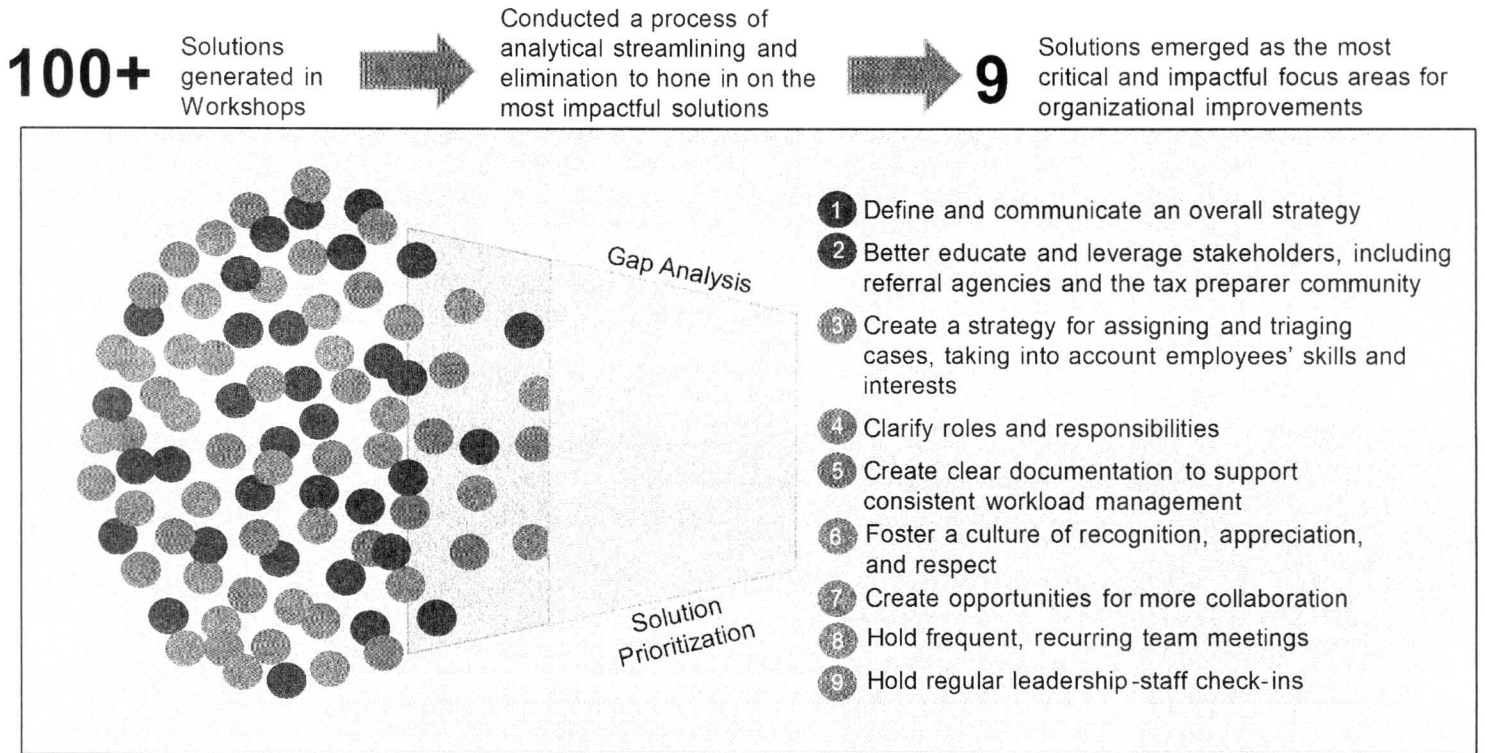
Office of Professional Responsibility

The following approach was taken to build off the current state assessment and create an action plan that OPR can follow to achieve the desired future state.

Current State Assessment

Identified main findings and root causes, categorized in the following themes:

- Set and Drive Organizational Priorities
- Optimize Workload Management
- Foster an Engaging Workplace

Future State Design

- Drafted the overarching future state for OPR for each of the current state assessment themes
- Facilitated brainstorming sessions for employees to create solutions for organizational improvement

Gap Analysis

- Identified the gaps between the identified areas for improvement and desired outcomes
- Developed the list of prioritized gaps and solutions

Action Plan

- Developed an OPR Action Plan Roadmap with recommended solutions and initiatives, as well as an execution timeline
- Provided OPR Action Plan implementation recommendations to effectively manage initiatives and achieve the future state
- Provided a recommended plan to communicate OPR's Future State, solution initiative activities, and to gain and maintain stakeholder buy-in and commitment

Prioritized Solutions Based on Most Impactful Areas of Improvement

The diagram below illustrates how the 9 main solutions were determined.[1]

100+ Solutions generated in Workshops

➡️

Conducted a process of analytical streamlining and elimination to hone in on the most impactful solutions

➡️

9 Solutions emerged as the most critical and impactful focus areas for organizational improvements

Gap Analysis

Solution Prioritization

1. Define and communicate an overall strategy
2. Better educate and leverage stakeholders, including referral agencies and the tax preparer community
3. Create a strategy for assigning and triaging cases, taking into account employees' skills and interests
4. Clarify roles and responsibilities
5. Create clear documentation to support consistent workload management
6. Foster a culture of recognition, appreciation, and respect
7. Create opportunities for more collaboration
8. Hold frequent, recurring team meetings
9. Hold regular leadership-staff check-ins

[1] Please note that the last solution, "Hold regular leadership-staff check-ins," was later transferred to the *Develop and Grow Leaders and Staff* theme for more logical categorization.

Action Plan Solution Focus Areas

The OPR Action Plan focuses on five key priority areas, which address opportunities for organizational improvement and will help OPR successfully drive towards the desired future state.

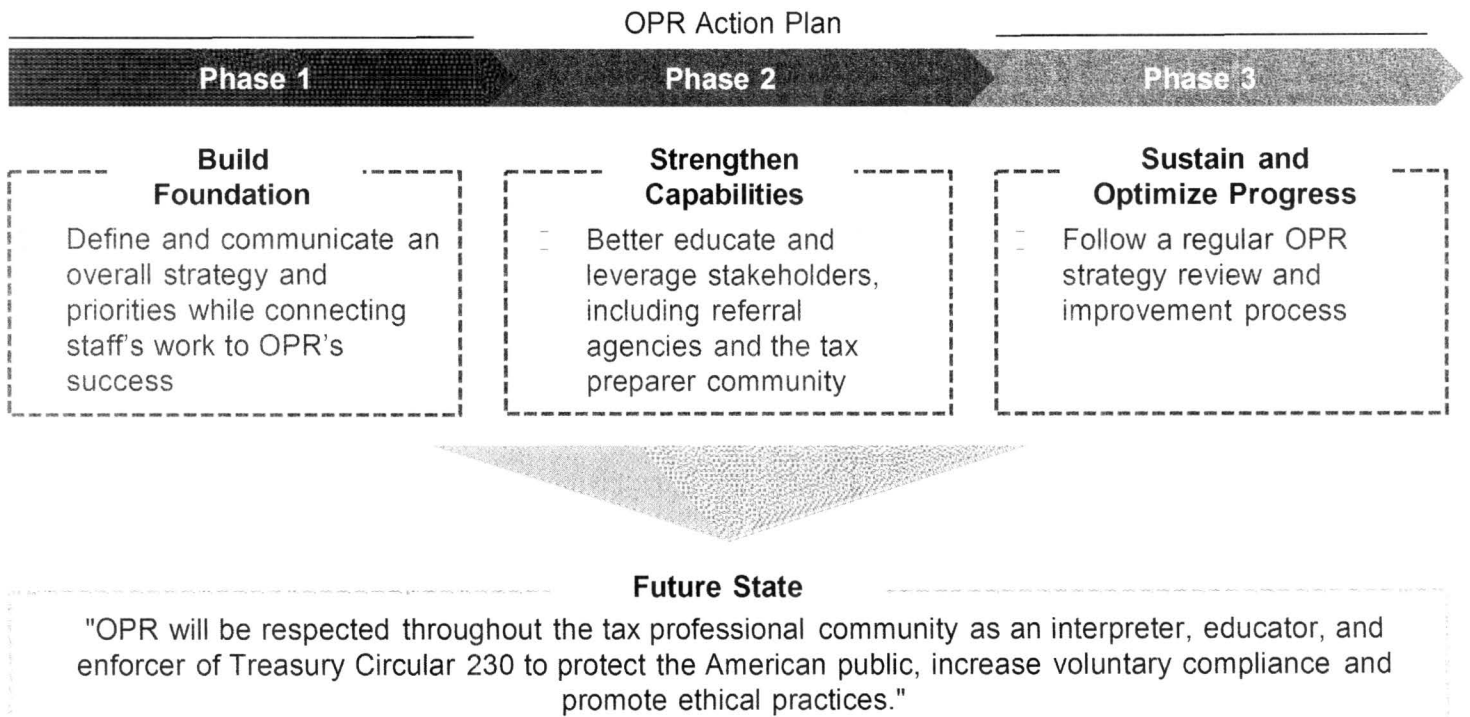|	What Success Looks Like in OPR's Future State
Set and Drive Organizational Priorities	Recognized as the sources of authoritative Circular 230 guidance with proper, independent, and timely adjudication of Circular 230 related issues through a clear OPR Strategy that drives consistent and accurate case results, case litigation, a reduced back-log, increase in referrals, improved employee engagement, and outreach opportunities for staff.
Optimize Workload Management	A consistent customer experience with excellent case completion timeliness and quality through enabling and efficient processes, procedures and technology.
Foster an Engaging Workplace	An empowered, engaged, efficient, and respected workforce with open communication across the board, an environment of collaboration, and recognition of individual success and skills from leadership and colleagues.
Leadership Alignment	An increased trust in leadership, buy-in from staff, and more opportunities for professional growth and development.
Sustain the Future State Focus	Timely, synchronized and prioritized identification and implementation of solution activities that align with and drive OPR's strategic priorities.

Current State: OPR's strategy is not clearly defined, communicated or operationalized, and a stakeholder outreach plan does not exist.
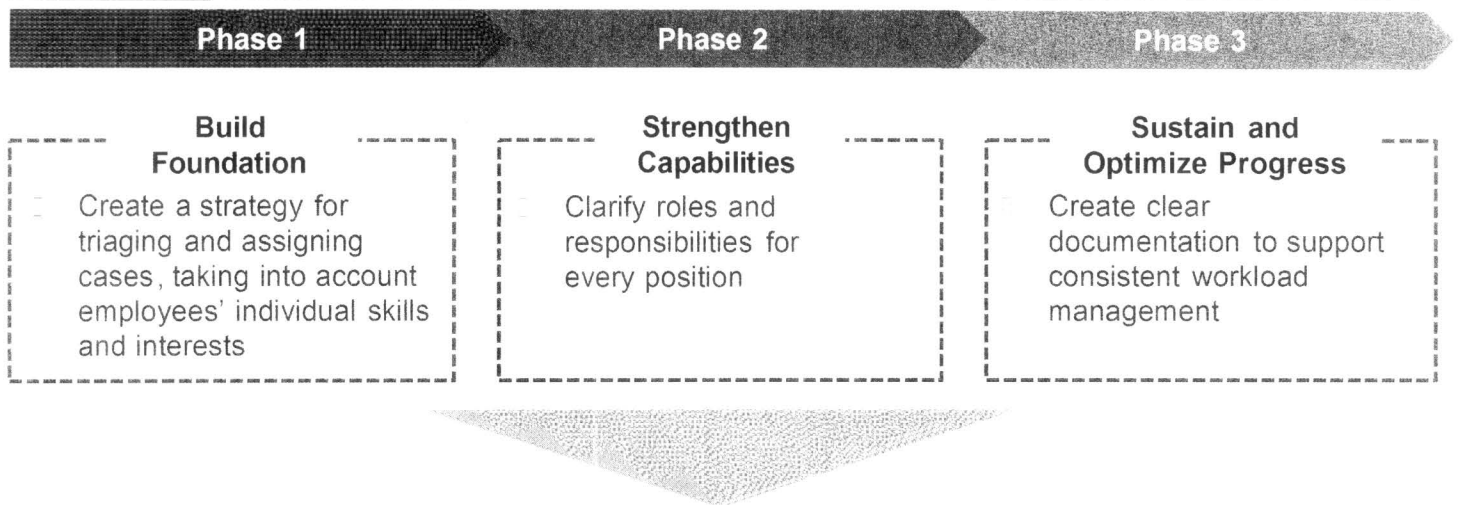
OPR Action Plan

Phase 1	Phase 2	Phase 3

Build Foundation	Strengthen Capabilities	Sustain and Optimize Progress
Define and communicate an overall strategy and priorities while connecting staff's work to OPR's success	Better educate and leverage stakeholders, including referral agencies and the tax preparer community	Follow a regular OPR strategy review and improvement process

Future State

"OPR will be respected throughout the tax professional community as an interpreter, educator, and enforcer of Treasury Circular 230 to protect the American public, increase voluntary compliance and promote ethical practices."

Optimize Workload Management

Current State: Process standardization, performance metrics, case flow technology, and case triaging could be more strategic and aligned with employees' unique skills.

OPR Action Plan

Phase 1	Phase 2	Phase 3

Build Foundation	Strengthen Capabilities	Sustain and Optimize Progress
Create a strategy for triaging and assigning cases, taking into account employees' individual skills and interests	Clarify roles and responsibilities for every position	Create clear documentation to support consistent workload management

Future State

"OPR will provide tax practitioners and customers with quality, efficient and appropriate case outcomes by identifying quality, relevant OPR brand-aligned cases and by empowering staff with appropriate decision rights and consistent approaches to cases."

Current State: There is a lack of collaboration, team cohesion, knowledge sharing, open two-way communication, and a culture of top-down and peer-to-peer recognition.

OPR Action Plan

Phase 1	Phase 2	Phase 3
Build Foundation	**Strengthen Capabilities**	**Sustain and Optimize Progress**
Hold frequent, recurring team meetings	Create opportunities for more cross functional and team collaboration	Recognize employee contributions in a meaningful way to foster a culture of appreciation and respect
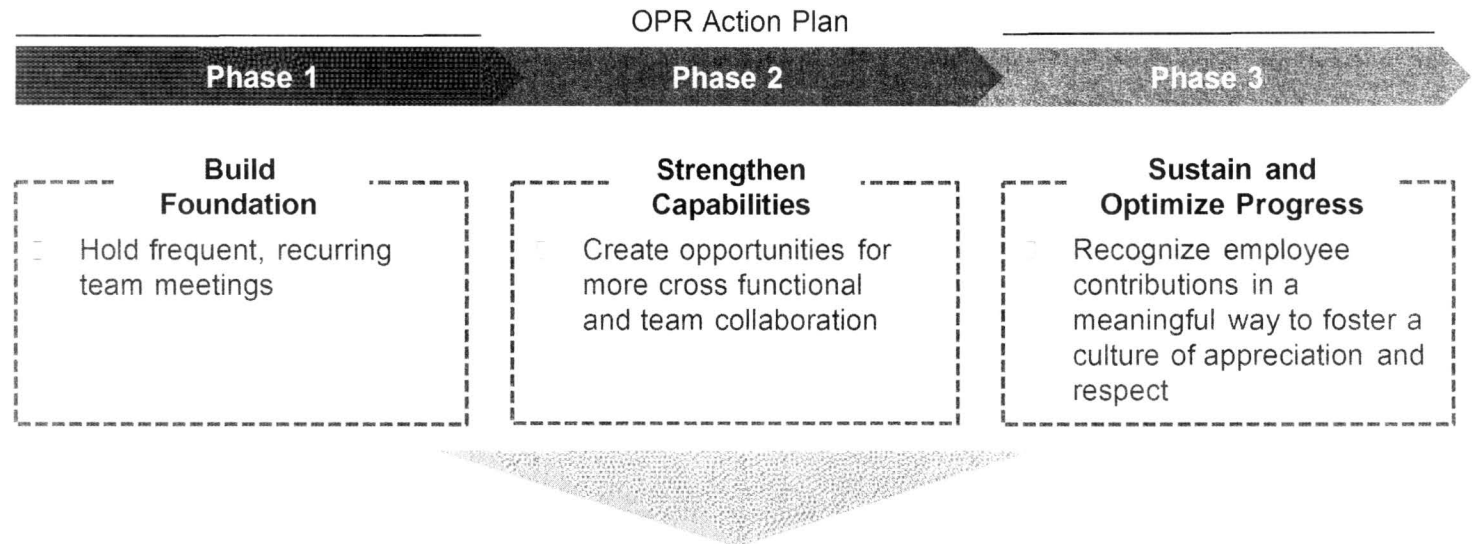
Future State

"OPR will foster an engaging workplace by providing opportunities for all employees to collaborate by recognizing their accomplishments and by investing in their individual growth and development."

Current State: There is a lack of strategic guidance, communication, recognition and team collaboration across OPR, which negatively impacts morale and productivity.

OPR Action Plan

Phase 1	Phase 2	Phase 3
Build Foundation	**Strengthen Capabilities**	**Sustain and Optimize Progress**
Conduct leadership alignment and leader offsite	Define leadership roles Huddle as a team Support each other in leading the mission priorities	Hold regular one on one leadership-staff check-ins to build trust and provide timely feedback
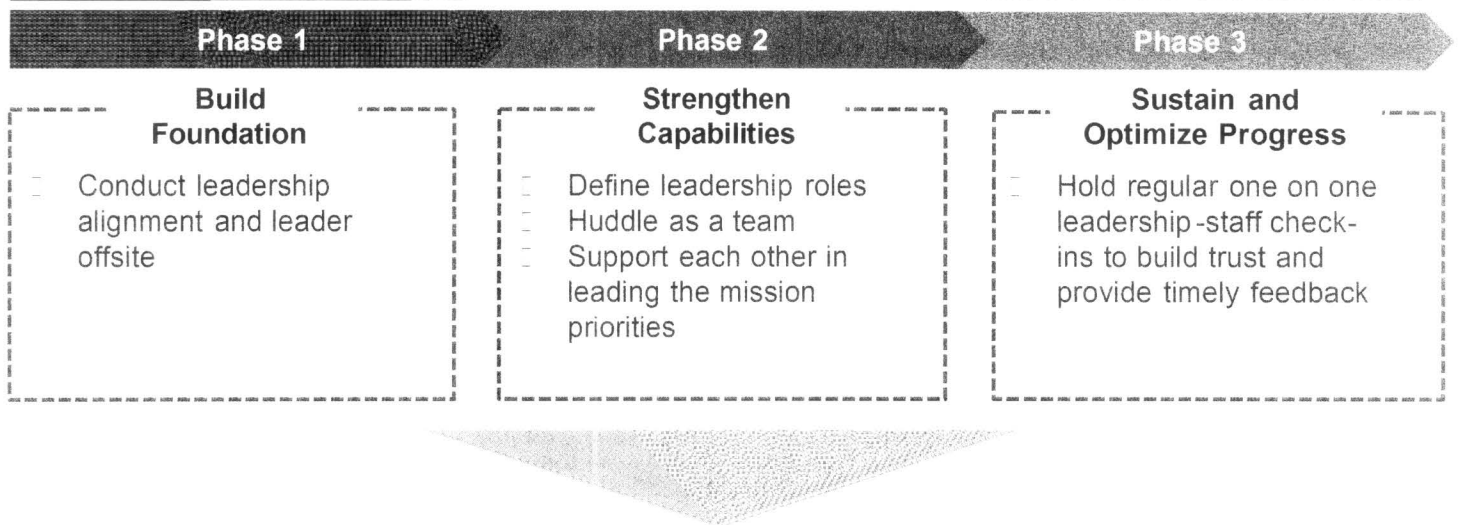
Future State

OPR leadership fosters an empowered, engaged, efficient, and respected workforce driven by open communication, timely feedback, recognition, and trust.

Sustain the Future State Focus

Current State: OPR lacks a formalized program management function to manage implementation of the action plan.

OPR Action Plan

Phase 1	Phase 2	Phase 3

Build Foundation	**Strengthen Capabilities**	**Sustain and Optimize Progress**
Define measures of success and monitor, track, and communicate progress	Engage stakeholders through the OPR Communications Plan	Conduct periodic action plan management reviews and make process improvements

Future State

OPR proactively manages, measures, and tracks the progress and alignment of organizational outcomes and improvement solutions with strategic priorities

The OPR Transformation Roadmap

Value to OPR Mission →

Phase 1 — Build Foundation	Phase 2 — Strengthen Capabilities	Phase 3 — Sustain and Optimize Progress

Phase 2:
- Recognize employee contributions
- Create clear documentation for workload
- Clarify roles and responsibilities
- Create opportunities for more team collaboration
- Provide professional development and growth opportunities for staff
- Engage stakeholders through OPR Communications Plan
- Measure, monitor, and track progress

Phase 3:
- OPR Action Plan management review
- Strategy Review
- Build trust and provide feedback through check-ins
- Educate and leverage stakeholders, referral agencies and tax preparer community
- Set and Drive Organizational Priorities
- Optimize Workload Management
- Foster an Engaging Workplace
- Leadership Alignment
- Sustain the Future State Focus

Phase 1:
- Hold frequent team meetings
- Create triage and assignment strategy
- Define and communicate OPR Strategy
- Conduct Leadership Alignment
- Finalize OPR Action Plan

Legend:
- Completed
- In Progress
- Future

12 to 18 Months

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In executing the action plan, OPR should take the following elements into consideration for effective achievement of the future state.

Leadership Guidance and Transparency

The OPR Director and Managers must help to promote and lead organizational change while continually updating on the progress, so that staff and other stakeholders are informed and aligned.
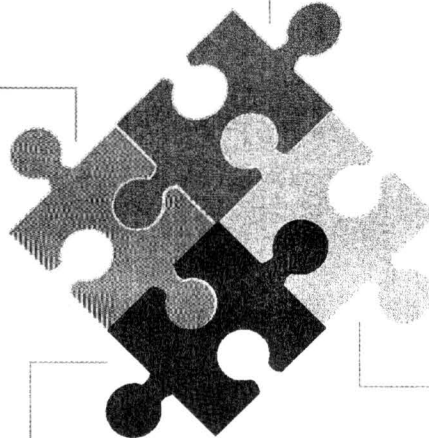
Stakeholder Buy-In

All organizational changes require buy-in from OPR stakeholders across multiple divisions in order to be as effective as possible.

Continued Monitoring and Evaluation

The OPR Action Plan should be monitored for effectiveness and alignment to OPR priorities and may need to change based on stakeholder feedback and effectiveness. Additional priority recommendations may also become relevant as the program progresses.

Measures of Success

- Increased retention of top performers, participation in professional development and training, and positive responses to pulse surveys and FEVS.
- Streamlined case management process that produces more efficient and effective outcomes
- Increased number of website visits and listserv registration; more interaction with OPR's published content
- Increased number of quality referrals
- Increased quality and timeliness of closed cases

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The roadmap provides both a strategic and operational perspective on how OPR should move forward to build the foundation, strengthen capabilities, and sustain and optimize progress towards the future state.

Let's get started...

Review the Roadmap		Create the Strategy		Socialize and Operationalize the Strategy
Review and finalize the action plan roadmap. Socialize the roadmap with staff and stakeholders and build buy-in and commitment to execute the solutions.	→	Plan and execute a strategy planning process to step though the strategic decisions needed to identify organizational priorities, define the "how" to achieve the priorities, and the measures to guide the progress.	→	Publish the strategy and engage stakeholders to build buy-in and commitment to OPR's strategy and priorities. Build working groups and teams to execute the solutions. Execute the OPR Action Plan.

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Appendix
Action Plan Roadmap and Solution Details

OPR needs to set and drive organizational priorities by first setting the OPR strategy, the office can then set priorities and provide guidance for operational alignment.

Summary of Solutions	Outcomes and Impacts
1. Define and communicate an overall strategy and connect staff's work to OPR's success 2. Create an OPR education and outreach plan in order to better educate and leverage stakeholders, including referral agencies and the tax preparer community	• Leadership alignment on the OPR goals, objectives and priorities • Common understanding of direction across OPR staff and stakeholders • Staff understand how their work impacts OPR's success • Stronger stakeholder relations based on improved and increased education and outreach
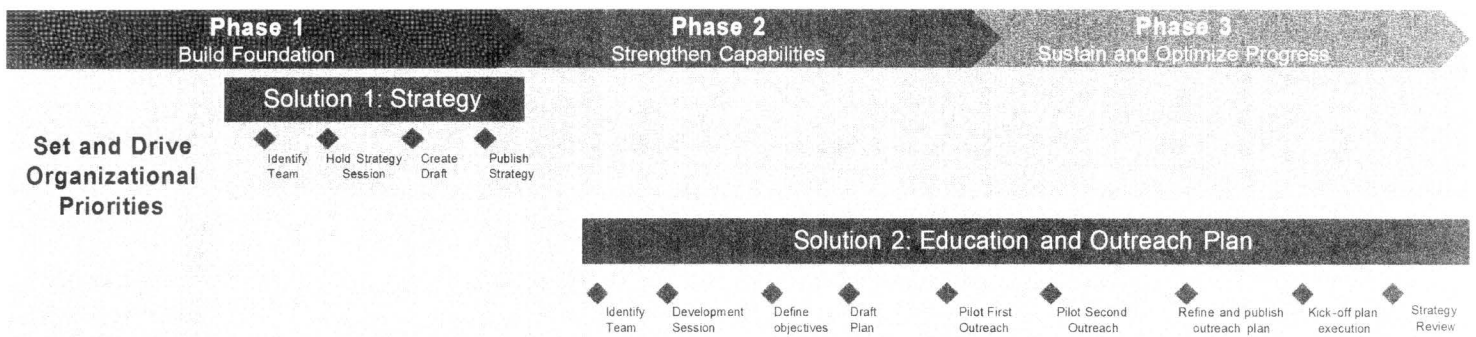
Phase 1	Phase 2	Phase 3
Build Foundation	Strengthen Capabilities	Sustain and Optimize Progress

Set and Drive Organizational Priorities

Solution 1: Strategy

Identify Team | Hold Strategy Session | Create Draft | Publish Strategy

Solution 2: Education and Outreach Plan

Identify Team | Development Session | Define objectives | Draft Plan | Pilot First Outreach | Pilot Second Outreach | Refine and publish outreach plan | Kick-off plan execution | Strategy Review

*Please note that the end of the solution bar does not indicate ceasing the activity. OPR should continue the solution through all phases and beyond to achieve its desired future state.

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Set and Drive Organizational Priorities:
Solution 1

Solution: The following details the plan for defining and communicating OPR's overall strategy.

Description	Define and communicate the OPR Strategy
Key Activities / Milestones	Create the OPR Strategy Development Team
	Hold OPR Strategy Development session and create a draft strategy
	Coordinate a draft strategy with key stakeholders
	Publish the OPR Strategy to staff and stakeholders
	Hold one on one with each staff member to discuss how their work contributes to the achievement of the strategy
Major Benefits	Define the "How to Get There" for the OPR Future State
	Provides the direction needed to align operational efforts
	Provides a clear understanding of the priorities for all stakeholders
Dependencies	The OPR Strategy is dependent on a clearly articulated mission and future state
Deliverables	OPR Strategy Team
	OPR Strategy
Duration Estimate	10 weeks
Measure of Success	Completed OPR Strategy
Resources Needed	OPR leadership
	Key OPR staff members
	Strategic Planning Framework and Approach
Barriers to Success	Lack of alignment with OPR leadership and staff
	Lack of time and resources to complete the strategic planning

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Set and Drive Organizational Priorities:
Solution 2

Solution: The following details the plan for defining OPR's stakeholder education and outreach.

Description	- Define the OPR stakeholder education and outreach and execution plan
Key Activities / Milestones	- Create the OPR Education and Outreach Planning team - Hold OPR Education and Outreach Plan development session - Define the education and outreach learning objectives and select the appropriate outreach modalities - Create a draft plan with OPR Strategic Planning Team - Pilot two outreach sessions and refine the Outreach Plan - Finalize the Education and Outreach Plan and begin execution
Major Benefits	- Aligns the education and outreach requirements to the OPR Strategy and the Future State - Provides the operational guidance needed to efficiently and effectively conduct stakeholder education and outreach - Provides a clear understanding of the education and outreach priorities - Uses all education and outreach modalities to achieve efficiencies - Communicates education and outreach goals, objectives and opportunities to the stakeholders and staff
Dependencies	- The OPR Strategy
Deliverables	- OPR Education and Outreach Planning Team - OPR Education and Outreach Plan
Duration Estimate	- 6.5 months initial planning, then execution
Measure of Success	- Completed OPR Education and Outreach Plan
Resources Needed	- OPR Leadership - Key OPR Staff members - Education and outreach planning framework and approach to include modality expertise
Barriers to Success	- Lack of an OPR Strategy and/or Future State - Lack of alignment in OPR Leadership and Staff - Lack of time and resources to complete the OPR Education and Outreach Plan

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OPR needs to operationalize the new strategy by aligning its workload process and utilizing the staff's skills and expertise to meet the new organizational priorities.

Summary of Solutions	Outcomes and Impacts
1. Create a strategy for triaging and assigning cases, taking into account staff's individual skills and interests 2. Clarify roles and responsibilities for every position 3. Create clear documentation to support consistent workload management	• Alignment of the work products and services to the organizational priorities • Improved guidance and documentation for work processes • Improved efficiency by defining clear operational responsibilities, authorities and decision rights

Phase 1 — Build Foundation **Phase 2** — Strengthen Capabilities **Phase 3** — Sustain and Optimize Progress

Optimize Workload Management

Solution 1: Triage and Assignment Strategy
- Identify the team and define Objectives
- Create and execute plan to clear up case backlog
- Create and Implement Case Type Strategy
- Complete backlog clear up

Solution 2: Roles and Responsibilities
- Identify the team
- Complete roles evaluation
- Complete CCMS electronic casework sprint

Solution 3: Clear Documentation
- Identify the team
- Complete case flow process map with roles and responsibilities
- Create case Opening checklist
- Complete SOP Writing strategy

*Please note that the end of the solution bar does not indicate ceasing the activity. OPR should continue the solution through all phases and beyond to achieve its desired future state.

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Optimize Workload Management
Initiative Details: Solution 1

Solution: The following details the plan for creating OPR's strategy for triaging and assigning cases.

Description	Create a strategy for triaging and assigning cases aligned with the new OPR priorities, and taking into account staff's individual skills and interests
Key Activities / Milestones	Create the team and define objectives Create the strategy and plan to clear up the case backlog Create and implement the case type strategy Complete the case backlog clear up
Major Benefits	Align the case workload to the new OPR Strategy and priorities Quickly clear up the case backlog
Dependencies	A clearly defined OPR Strategy and priorities for case workload
Deliverables	OPR Strategy Team OPR Strategy
Duration Estimate	4.5 months
Measure of Success	Completed case type strategy Cleared up case backlog
Resources Needed	OPR leadership Key OPR staff members
Barriers to Success	Lack of a defined strategy Lack of time and resources

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Optimize Workload Management
Initiative Details: Solution 2

Solution: The following details the plan for clarifying roles and responsibilities for every position.

Description	OPR should clarify the role and responsibilities for each position and verify the alignment with the new strategy and priorities
Key Activities / Milestones	Create the team and define objectives Complete the role and responsibility assessment Complete the CCMS electronic casework sprint
Major Benefits	More strategic use of positons and resources to achieve the mission Improved technology that enables greater efficiency and effectiveness
Dependencies	A clearly defined OPR Strategy and priorities Resources and funds to make changes in CCMS
Deliverables	Defined roles and responsibilities for each positon Functional requirements for CCMS improvements
Duration Estimate	4 months
Measure of Success	20% efficiency gain in case management through electronic records Increase in operational efficiency through position roles and responsibility clarification
Resources Needed	OPR leadership Key OPR staff members HR functional expertise CCMS technical expertise
Barriers to Success	Lack of time and resources Position description policy CCMS functional requirement change process

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Optimize Workload Management
Initiative Details: Solution 3

Solution: The following details the plan for creating clear documentation to support consistent workload management.

Description	Through business process reengineering, OPR can clearly define the roles and responsibilities as well as the SOPs for efficient workload management
Key Activities / Milestones	Create the team and define objectives Reengineer and define the roles and responsibilities of the case flow processes Create a case opening checklist Create and complete the SOP rewriting strategy
Major Benefits	Streamlined processes Improved workflow design with reduced steps Clearly defined operating procedures
Dependencies	A clearly defined OPR Strategy and priorities for case workload
Deliverables	Mapped and reengineered case flow process Case opening checklist SOP rewriting Strategy
Duration Estimate	5 months
Measure of Success	Faster completion times for lower priority cases Current SOPs and standardized operational processes
Resources Needed	OPR Leadership Key OPR Staff members
Barriers to Success	Lack of a defined Strategy Lack of time and resources Lack of business process reengineering skills

OPR can increase employee engagement, morale and motivation by fostering an environment where collaboration is encouraged, meetings are used to build knowledge and communicate successes, and employees feel recognized and appreciated.

Summary of Solutions	Outcomes and Impacts
1. Hold frequent, recurring team meetings 2. Create opportunities for more collaboration 3. Recognize employee contributions in a meaningful way to foster a culture of appreciation and respect	• Increased FEVS scores in FY17 • Positive pulse survey scores • More positive communication; less gossip • Increased meeting attendance and participation • Increased knowledge sharing; more consistent application of knowledge
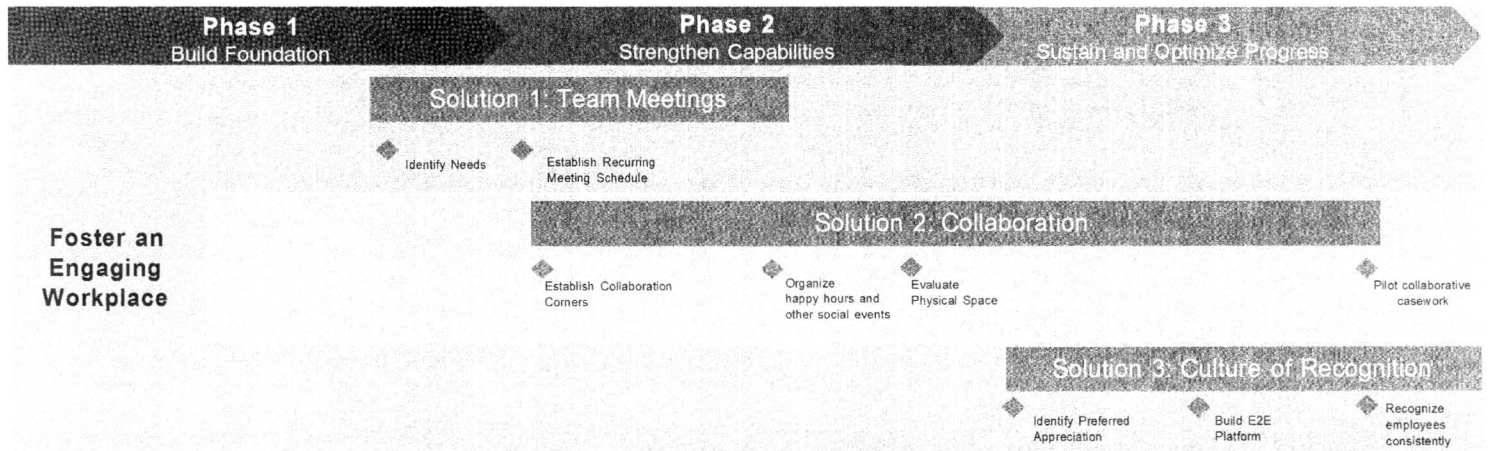
Phase 1 Build Foundation	Phase 2 Strengthen Capabilities	Phase 3 Sustain and Optimize Progress

Foster an Engaging Workplace

Solution 1: Team Meetings

Identify Needs | Establish Recurring Meeting Schedule

Solution 2: Collaboration

Establish Collaboration Corners | Organize happy hours and other social events | Evaluate Physical Space | Pilot collaborative casework

Solution 3: Culture of Recognition

Identify Preferred Appreciation | Build E2E Platform | Recognize employees consistently

*Please note that the end of the solution bar does not indicate ceasing the activity. OPR should continue the solution through all phases and beyond to achieve its desired future state.

Solution: The following details the plan for recognizing employee contributions to foster a culture of appreciation and respect.

Description	Boost employee morale and motivation through top-down and peer-to-peer recognition of contributions and praise for success
Key Activities / Milestones	Get to know staff and what they value in terms of recognition
	Show genuine appreciation in a way that resonates with individual employees (e.g., some prefer verbal praise in public, while others prefer a small gift, time off, quality time with a leader/manager, or help on a project)
	Recognize staff in a timely manner
	Recognize staff through meaningful feedback
	Recognize staff in team meetings
	Provide a platform for employees to recognize each other
Major Benefits	Increased engagement
	Increased motivation
	Positive work environment driven by a culture of praise, appreciation, encouragement, and respect
Dependencies	A culture of recognition and appreciation is dependent on consistent follow-through and buy-in from leadership
Deliverables	Peer-to-peer recognition portal (i.e., digital thank-you cards, bulletin announcements, team meeting spotlights)
	Tangible awards that employees know they have the opportunity to earn (i.e., time off, best in show, employee of the month)
Duration Estimate	2 months
Measure of Success	Increased FEVS scores in FY17
	Positive pulse survey scores
Resources Needed	OPR leadership
	OPR staff members
	Budget for monetary awards
	Certificates for awards
	Platform for publishing and tracking awards and recognition
	On-line recognition portal
Barriers to Success	Lack of follow-through on promised rewards or recognition
	Lack of consistency in recognition

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Solution: The following details the plan for encouraging collaboration within teams and cross functionality.

Description	Encourage collaboration within teams and cross-functionality in order to increase cohesion and knowledge sharing
Key Activities / Milestones	Establish places for people to assemble ("collaboration corners") (i.e., coffee table, water cooler, puzzle table, break room) Evaluate the physical office space/layout with the purpose of integrating workspace by team; break down the physical separators of staff and teams (e.g., attorneys and paralegals) Pilot team- and partner-based casework Provide opportunities for staff to share what they are working on and best practices (e.g., in recurring team meetings) Organize happy hours and other social events
Major Benefits	A friendly, more integrated, more collaborative work environment More fluid and frequent communication Increased understanding of and appreciation for individuals' and teams' workloads, skills, and interests
Dependencies	Increased collaboration is dependent on structured and sustained efforts, with encouragement from leadership and buy-in at all levels
Deliverables	Coffee table, water club, other collaboration corners Revamped physical workspace Cases worked from start to finish by partners or small groups Happy hours and other social events
Duration Estimate	9 months
Measure of Success	Increased positive communication; less gossip Fewer employee confrontations More partnering on cases Increased FEVS scores and positive pulse survey scores
Resources Needed	OPR leadership OPR staff members Coffee machine, water cooler Table, chairs, couch, puzzles or other games for collaboration corner
Barriers to Success	Lack of sustained encouragement from leaders and buy-in from staff Lack of communication from leaders about the importance of a workplace culture of collaboration

Solution: The following details the plan for holding frequent, recurring team meetings.

Description	Drive a culture of unity, consistent information sharing, and effective communication by holding team meetings and gatherings

Key Activities / Milestones	Identify stakeholder needs for particular meetings by function or team (LAB, admin staff, etc.). The purpose of the meetings is to:
	    Communicate organizational policies and procedures
	    Celebrate successes
	    Showcase skills (i.e., IDRS tips and tricks at LAB meetings)
	    Ask questions and solve problems
	    Get to know colleagues and their work
	Schedule and hold regular meetings, and distribute notes from all non-staff meetings
	Hold birthday party potlucks and cupcake days

Major Benefits	Teambuilding, unity Consistent knowledge and information sharing Less hierarchy and staff and leaders more approachable Better problem solving/decision making
Dependencies	Successful team meetings are dependent on a defined and sustained meeting "culture" and agenda, where participants know what to expect and are encouraged to contribute
Deliverables	Recurring team meetings Birthday calendar and team in charge of coordinating events Increased FEVS scores in FY17 and positive pulse survey scores
Duration Estimate	2 months
Measure of Success	Increased meeting attendance and participation More consistent work products and increased knowledge No unacknowledged birthdays
Resources Needed	OPR leadership OPR staff members
Barriers to Success	Lack of consistency in team meetings Lack of a clearly defined purpose and approach to team meetings, to set expectations and drive a meeting culture

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Through strong leadership and the facilitation of professional development opportunities for themselves and their employees, OPR leaders can increase trust, accountability, and respect across the organization.

Summary of Solutions	Outcomes and Impacts
1. Conduct leadership alignment 2. Provide professional development and growth opportunities for all staff 3. Hold regular one on one leadership-staff check-ins to build trust and provide timely feedback	☐ Increased knowledge of effective leadership techniques, practices and behaviors Sharpened self-awareness, refined executive presence Increased employee engagement and loyalty throughout organization
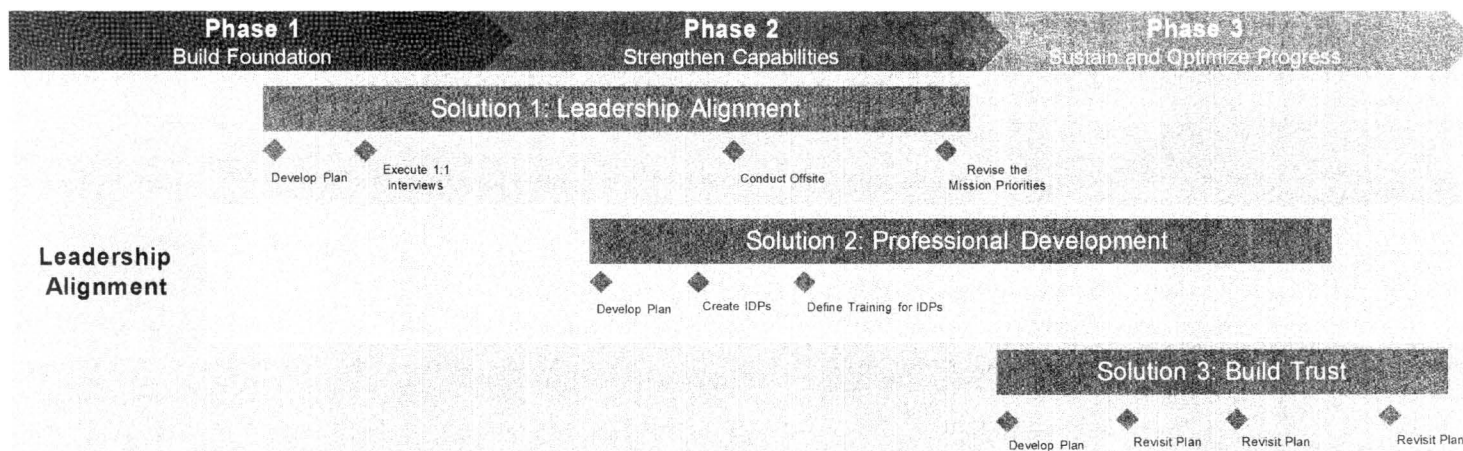
Phase 1	Phase 2	Phase 3
Build Foundation	Strengthen Capabilities	Sustain and Optimize Progress

Leadership Alignment

Solution 1: Leadership Alignment

- Develop Plan
- Execute 1:1 interviews
- Conduct Offsite
- Revise the Mission Priorities

Solution 2: Professional Development

- Develop Plan
- Create IDPs
- Define Training for IDPs

Solution 3: Build Trust

- Develop Plan
- Revisit Plan
- Revisit Plan
- Revisit Plan

*Please note that the end of the solution bar does not indicate ceasing the activity. OPR should continue the solution through all phases and beyond to achieve its desired future state.

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Solution: The following details the plan for investing in leadership alignment.

Description	Provide the strategic guidance and dedicated leadership that OPR needs through a commitment to leadership development
Key Activities / Milestones	Develop an individual leadership development plan (for those in a leadership/managerial role)
	Participate in leadership/managerial skills training available through IRS' learning management system
	Complete 180 or 360 degree assessment to provide data and feedback on key leadership skills and the environment leaders are creating
	Invest in formal, individual executive coaching with trained coaches (for those in a leadership/managerial role)
Major Benefits	Increased knowledge of effective leadership techniques, practices and behaviors
	Sharpened self-awareness
	Refined executive presence and confidence
	Increased respect from staff and peer leaders
Dependencies	Investment in leadership alignment depends on willing leaders and a budget for formal coaching (optional)
Deliverables	Individual leadership development plans
	Formal training outputs (i.e., certificates)
Duration Estimate	6 months
Measure of Success	Increased positive perceptions of leadership on FEVS and pulse surveys
Resources Needed	OPR leadership
	Budget for training
Barriers to Success	Lack of committed, prioritized investment in leadership development

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Solution: The following details the plan for building trust through regular leadership check-in meetings.

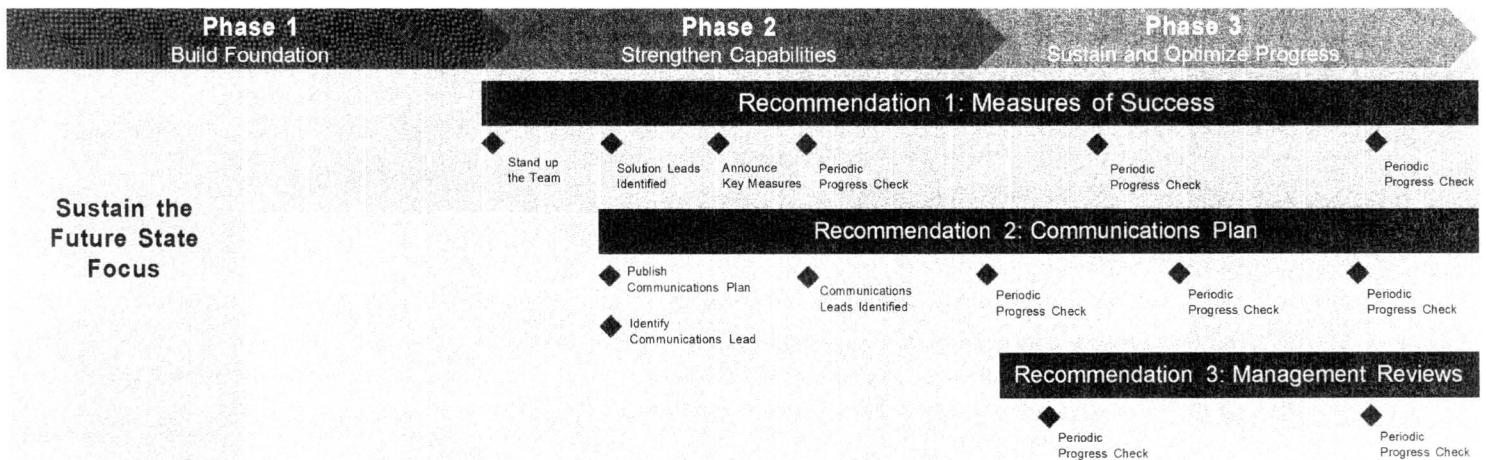|	
Description	Conduct one on one regular check-ins with staff to discuss work priorities and challenges, provide feedback, express appreciation, and get to know employees individually to build trust at all levels
Key Activities / Milestones	Define objectives of check-ins and benefits to leaders and staff
	Provide training and guidance to staff and leaders on effective check-ins
	Schedule short, recurring meetings (recommended 30 minutes every 2-4 weeks)
	Encourage leaders to provide meaningful, timely, constructive feedback; ask for feedback in return
	Follow up on individual development plans (IDPs)
	Show interest in the unique skills, talents and interests of employees—both professional and personal
	Break down the sense of hierarchy and unapproachability by walk-around management and being available to staff (e.g., Implement office hours or open door policies)
Major Benefits	Increased trust, respect, and loyalty
	Better understanding of employees' work activities, professional growth, needs, concerns, etc.
	Increased buy-in and accountability for organizational improvement efforts
Dependencies	Regular one-on-one check-ins with staff are dependent on participation and availability of both parties
	Office-wide trust is dependent on genuine, consistent, and persistent efforts on behalf of leaders
Deliverables	One-on-one check-in schedule
	Documented feedback on IDPs
Duration Estimate	1 year
Measure of Success	Fewer EEO complaints
	Increased FEVS scores in FY17 and positive pulse survey scores
	More frequent two-way feedback and employee suggestions
	Increased respect for leaders and buy-in from staff for organizational improvement efforts
Resources Needed	OPR leadership
	OPR staff
Barriers to Success	Lack of consistent and meaningful approach to check-ins
	Leaders and staff not prepared to conduct effective check ins

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Office of Professional Responsibility

Solution: The following details the plan regarding professional development opportunities.

Description	Increase engagement and employee commitment by facilitating opportunities for learning, growth, and professional development
Key Activities / Milestones	Facilitate employee details at other IRS organizations and provide opportunities for them to share their knowledge and experience
	Allow staff to participate in speaking engagements (as speakers and/or as participants) to increase subject matter expertise and facilitation/training skills
	Cross-train employees on diverse roles; allow for internal job shadowing to improve knowledge transfer
	Seek out career-specific, meaningful training opportunities; encourage employees to create individual learning plans and participate in said training opportunities
	Provide employees with the opportunity to work on more challenging cases
	Provide employees with opportunities to develop leadership skills earlier in their careers (before they become a manager)
Major Benefits	Sharpened hard and soft skills
	Increased employee loyalty and commitment to the organization
	Increased knowledge sharing and transfer to enable and empower employees
	Development of future leaders
Dependencies	Professional development and growth are dependent on budget and access to training opportunities
Deliverables	Communications regarding speaking engagement opportunities; rotational plan to allow employees equal opportunities to participate
	Individual employee learning plans
Duration Estimate	1 year
Measure of Success	Increased training and development scores on FEVS and positive pulse survey scores
	More details/specials assignments
	Enhanced knowledge to improve the outcomes and efficiency of business operations
Resources Needed	OPR leadership and staff
	Access to training and development opportunities
	Budget for participation in speaking engagements
	Time to participate in training
	Template and guidelines for individual employee learning plans
Barriers to Success	Lack of awareness of training opportunities
	Lack of buy-in from staff for cross-training

OPR should establish an action plan implementation oversight capability to manage the solution activities, track progress, and capture new improvement initiatives, and communicate the OPR Future State vision and progress to stakeholders.

Recommendation Summary	Outcomes and Impacts
1. Define measures of success and monitor, track, and communicate progress 2. Engage stakeholders through the communications plan 3. Conduct periodic action plan management reviews and make process improvements	• Unity of effort through the defined measures of success and consistent tracking of progress towards the Future State; make course corrections to solutions if necessary • Ability to identify and capture the new initiatives that arise from on going solution implementation • Stronger stakeholder relations and buy-in through targeted communications and outreach

Phase 1	Phase 2	Phase 3
Build Foundation	Strengthen Capabilities	Sustain and Optimize Progress

Sustain the Future State Focus

Recommendation 1: Measures of Success

Stand up the Team · Solution Leads Identified · Announce Key Measures · Periodic Progress Check · Periodic Progress Check · Periodic Progress Check

Recommendation 2: Communications Plan

Publish Communications Plan · Identify Communications Lead · Communications Leads Identified · Periodic Progress Check · Periodic Progress Check · Periodic Progress Check

Recommendation 3: Management Reviews

Periodic Progress Check · Periodic Progress Check

*Please note that the end of the solution bar does not indicate ceasing the activity. OPR should continue the solution through all phases and beyond to achieve its desired future state.

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Sustain the Future State Focus:
Recommendation 1

Recommendation: The following details the recommendation that OPR should establish an Action Plan Management Team.

Description	OPR should establish an Action Plan Management Team to provide oversight of the solution implementation; set the measures of success and establish the cadence for periodic progress checks.
Key Activities / Milestones	Establish the Action Plan Management Team Identify solution leads Identify key measures of success Monitor and track progress
Major Benefits	Unity of effort through the defined measures of success and consistent tracking of progress towards the future state Ability to identify and capture the new initiatives that arise from on going solution implementation
Dependencies	Clearly defined OPR Strategy and articulated mission and future state
Deliverables	OPR Action Plan Team Defined performance indicators (measures of success)
Duration Estimate	Ongoing
Measure of Success	Meeting or exceeding the defined performance indicators Increased stakeholder buy-in
Resources Needed	OPR leadership Key OPR staff members Project management framework and approach
Barriers to Success	Lack of a defined mission and/or future state Lack of alignment with OPR leadership and staff Lack of time and resources to meet the measures of success

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Sustain the Future State Focus:
Recommendation 2

Recommendation: The following details the recommendation for OPR to engage and monitor stakeholders through the OPR Communications Plan.

Description	OPR should publish the Communications Plan and engage stakeholders through the Action Plan Roadmap
Key Activities / Milestones	Identify the OPR Communications Plan Lead Publish the OPR Communications Plan Conduct periodic progress reviews
Major Benefits	Greater commitment from stakeholders for OPR's Future State Stronger stakeholder relations and buy-in for the OPR Action Plan solutions through targeted communications and outreach
Dependencies	Clearly defined OPR Strategy and articulated mission and future state
Deliverables	OPR Communications Plan
Duration Estimate	Ongoing
Measure of Success	Increased stakeholder buy-in Improved usage of on-line communication resources Increased outreach to stakeholders
Resources Needed	OPR leadership Key OPR staff members Communications and marketing framework and approach
Barriers to Success	Lack of a defined mission and/or future state Lack of alignment with OPR leadership and staff Lack of time and resources

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Sustain the Future State Focus:
Recommendation 3

Recommendation: The following details the recommendation for OPR to conduct periodic reviews and make process improvements.

Description	OPR should conduct periodic action plan management reviews and make process improvements
Key Activities / Milestones	Periodic Reviews
Major Benefits	• Ability to make course corrections to solutions if necessary • Ability to identify and capture the new initiatives that arise from on going solution implementation • Continued momentum for engagement efforts
Dependencies	Action Plan execution Action Plan Implementation Team
Deliverables	Action Plan Reviews
Duration Estimate	Ongoing
Measure of Success	Action Plan progress on track Increased timeliness of solution activities (through identified efficiencies) Increased number of new initiatives identified from ongoing solution implementation
Resources Needed	OPR leadership Key OPR staff members Action Plan Management Team
Barriers to Success	Lack of a defined measures of success Lack of alignment with OPR leadership and staff Lack of time and resources