

# Amtrak Office of Inspector General

Evaluation Report E-09-06

## Training and Employee Development

October 26, 2009



This report will be available to the public on November 25, 2009.

# EXECUTIVE SUMMARY

## INTRODUCTION

In May 2009, the Amtrak Office of Inspector General (OIG) issued Evaluation Report E-09-03, "Human Capital Management". That report was the result of a year and a half effort evaluating Amtrak's human capital management practices. During the course of that evaluation, we decided to conduct a separate and more detailed review focusing specifically on training and employee development. This report is the result of that separate review. It should be considered a complementary report to Report E-09-03 on the broader subject of human capital management at Amtrak.

## OVERALL CONCLUSIONS

Training at Amtrak is managed and conducted in a largely decentralized manner. In 2008, records show that Amtrak's 19,000 employees received over 670,000 hours of training, an average of about 35 hours of training per employee. It is difficult to determine exactly how much was spent on training, but we estimate that Amtrak probably spends between \$40 million and \$45 million on training each year.

During our review, we found many passionate and hard-working people involved with training. This has resulted in some excellent training being conducted. However, since training is decentralized and mainly driven by the individual department's requirements, it is not always consistently required or delivered throughout the corporation. In addition, the decentralization of training at Amtrak appears to make training more expensive than at other similarly sized companies.

Part of the reason for the inconsistency between departments is that there is no individual or organization charged with overseeing all training at Amtrak. Furthermore, there is currently no corporate-wide training strategy or program to ensure that the efforts are aligned to meet the strategic needs of Amtrak in the future. For the railroad to work effectively, all employees must be properly trained to do their jobs, not just those in some positions at some locations or in some departments.

In addition to the lack of a corporate-wide training program, there is also no integrated corporate-wide career development program for management employees. Over the last ten years, only once out of eight times has an internal candidate been selected for an opening in one of the top three leadership positions in the company (CEO, COO or CFO) and only two of the current ten members of the Executive Management Committee came from jobs from within Amtrak. Without a corporate-

wide management career development program, Amtrak will continue to be faced with senior managers who apparently do not have the appropriate attributes, education, experiences or management skills needed to assume the senior-most leadership roles in the company.

As recently stated by Amtrak's President and CEO in a Special Employee Advisory to all employees, "It's incumbent on all of us to shape a company that thinks beyond tomorrow and that sets the stage for the newer members of the Amtrak family because they represent our future." An increased emphasis on training and employee development throughout Amtrak is just the type of effort needed to ensure that Amtrak is postured for success, now and in the future.

The rest of this report discusses our specific findings in more detail and makes 27 recommendations to improve the effectiveness and efficiency of training and employee development at Amtrak.

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## **INTRODUCTION**

In May 2009, the Amtrak Office of Inspector General (OIG) issued Evaluation Report E-09-03, "Human Capital Management." That report was the result of a year and a half effort evaluating Amtrak's human capital management practices. During the course of that evaluation, we decided to conduct a separate and more detailed review focusing specifically on training and employee development. This report is the result of that separate review. It should be considered a complementary report to Report E-09-03 on the broader subject of human capital management at Amtrak.

## **METHODOLOGY**

This review began as part of the broader Human Capital Management evaluation and therefore used many of the same sources and techniques to collect information and data for this evaluation. This included interviews with the then Chairman of the Amtrak Board of Directors, the then Amtrak President and over 125 Amtrak employees, including the senior management in every Amtrak department, most of the managers in the Human Resources and Diversity Initiatives (HR&DI) Department, and a sampling of managers and employees throughout the country. We also reviewed the results from benchmarking studies conducted by PricewaterhouseCoopers (PwC) and SAP, as well as the results from a survey of Amtrak employees conducted by Accenture. Finally, we visited two other Class I U.S. railroads to see how they managed their employee training and development.

## **TRAINING AT AMTRAK**

Training at Amtrak is managed and conducted in a largely decentralized manner. There are approximately 140 Amtrak employees involved in the instruction or management of training, with about half of those located in the Employee Development (ED) Branch within the HR&DI Department. Training is conducted at dozens of locations throughout the country, aligned with the major employee concentrations.

Some departments at Amtrak centrally manage and schedule most of their employee training. For example, the Transportation Department schedules most of their employees to receive a structured "block" of training at a specified time during the year so as to manage and minimize the impact of training on the operation of the railroad. The Engineering Department also conducts a form of centrally-managed structured training in their "engineering camps". Most of the Transportation Department's training for new hire conductors and locomotive engineers is conducted centrally at the Training Center in Wilmington. They are the only department that

routinely brings a significant portion of their employees to a central training facility rather than providing the training at a location near the employees.

In 2008, records show that Amtrak's 19,000 employees attended over 9,300 training events<sup>1</sup> (or courses) and received over 670,000 hours of training, an average of about 35 hours of training per employee. Additionally, Amtrak conducted Safety & Security training for 10,000 contractors (approximately 500 classes). The vast majority of the training participants attended training to satisfy regulatory requirements. However, the employees who received the most training were, understandably, the new employees. Amtrak provided over half of the total training hours on new hire training. Only about one-tenth of the total training hours were devoted to new or enhanced skill development.

It is difficult to determine exactly how much was spent on training in 2008, since not all training costs are consistently coded to training (for example, travel to training is not always charged to training). However, we identified approximately \$12 million spent on instructor salaries and other expenses related to the management and conduct of training throughout Amtrak in 2008. In addition, we estimate that Amtrak spent over \$26 million in salary and wages<sup>2</sup> for employees to attend training. In total, we estimate that Amtrak probably spends between \$40 million and \$45 million on training each year.

## **OVERALL CONCLUSIONS**

Skilled employees are critical to any railroad. Without skilled engineers and conductors, the trains will not run on time. Without skilled electricians and mechanics, the equipment will not run reliably. Without skilled trackmen and signalmen, the infrastructure will not support safe and on-time performance. Without a myriad of skilled support personnel, the system will not run effectively and efficiently. Ensuring that employees have the appropriate knowledge, skills and abilities (KSAs) to properly and safely perform their jobs is every manager's responsibility. An effective training program is the tool needed to insure that employees develop and maintain these KSAs.

At Amtrak, we found many passionate and hard-working people involved with training. This has resulted in some excellent training being conducted. However, since training is decentralized and mainly driven by the individual department's requirements, it is not always consistently required or delivered throughout the

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<sup>1</sup> This represents both classroom and on-line training events. It should be noted that certain training programs, such as New Hire Programs, Training Camps and/or Block Training, are treated as multiple individual training events in the records.

<sup>2</sup> Represents fully loaded salary and wages (including benefits).

corporation. In addition, the decentralization of training at Amtrak appears to make training more expensive than at other similarly sized companies.

As we learned, there is no individual or organization charged with overseeing all training at Amtrak. Rather than filling this role at Amtrak, the role of the Employee Development Branch in the HR&DI Department has evolved into one of developing and providing training largely in support of the requirements dictated by the operating departments. There is currently no corporate-wide training strategy or program to ensure that the efforts are consistent or aligned to meet the strategic needs of Amtrak in the future. For the railroad to work effectively, all employees must be properly trained to do their jobs, not just those in some positions at some locations or in some departments. The lack of corporate direction and oversight of all training efforts at Amtrak is a detriment to overall consistent accomplishment.

In addition to the lack of a corporate-wide training program, there is also no integrated corporate-wide career development program or selection criteria for management employees<sup>3</sup>. Over the last ten years, only once out of eight times has an internal candidate been selected for an opening in one of the top three leadership positions in the company (CEO, COO or CFO)<sup>4</sup> and only two of the current ten members of the Executive Management Committee came from jobs from within the company. Without a corporate-wide management career development program, Amtrak will continue to be faced with senior managers who apparently do not have the appropriate attributes, education, experiences or management skills needed to assume the senior-most leadership roles in the company.

The rest of this report discusses our specific findings in more detail and makes 27 recommendations to improve the effectiveness and efficiency of training and employee development at Amtrak. Our recommendations are mainly directed to the Vice President (VP) for HR&DI, as the most logical corporate lead, however, without the direction and full support of Amtrak's CEO and the rest of Amtrak's executive leadership, the VP for HR&DI will be unable to fully implement the recommendations. Although this will not be an insignificant task, a renewed emphasis across the company on employee training and development can pay great dividends in many areas, not only in the near term, but also in the future.

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<sup>3</sup> We have focused our comments on career development of non-agreement (management) covered employees in this report. We plan to look at career development of agreement covered employees as part of a future evaluation.

<sup>4</sup> Chief Executive Officer (CEO), Chief Operating Officer (COO), and Chief Financial Officer (CFO).

# FINDINGS AND RECOMMENDATIONS

## 1. Employee Training

### 1A. New Hire Orientation

#### FINDING:

Amtrak does not conduct a comprehensive new hire orientation program in a timely manner for all new employees.

#### DISCUSSION:

New hire orientation is a part of an employer's new employee socialization process and whose purpose (according to one current graduate level reference) is to "*provide new employees with the basic information they need to perform their jobs satisfactorily, such as information about company rules.*"<sup>5</sup> That source goes on to say that:

*"a successful orientation should accomplish four things. The new employee should feel welcome....should understand the organization in a broad sense (its past, present, culture, and vision of the future), as well as key facts such as policies and procedures....should be clear about what the firm expects in terms of work and behavior...and begin the process of becoming socialized into the firms preferred ways of acting and doing things."*<sup>6</sup>

Therefore, it logically follows that the orientation should be delivered as soon as possible in order to inform new employees about expected behaviors and potential hazards. This would allow new employees to rapidly acclimate themselves to the organization and make them conscious of its special hazards and behavioral norms. As an example, the "boot camp" given to new military recruits serves this purpose. Ideally, this orientation should be substantially similar for new hires at all levels (so that they would have a common understanding of organizational expectations). A list of topics or subjects might include broad organizational mission or goals, brief history, behavioral norms (e.g., prevention of sexual harassment, and Equal Employment Opportunity) and expectations such as safety standards and personal protective

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<sup>5</sup> Gary Dressler, *A Framework for Human Resource Management (Fifth Edition)*, (Pearson Prentice Hall, 2009), pp. 160-161.

<sup>6</sup> *Ibid.*

equipment, as well as familiarization with the basic company-wide systems such as computerized employee support. A welcome by a senior manager may also be appropriate at this point. Ideally, the process for inducting a new employee – agreement covered or non-agreement covered<sup>7</sup> – would have this common orientation built in at the very beginning, before any job-specific training is accomplished. This would serve several purposes, foremost among them ensuring that the new employee was given information at the outset of his/her employment which would allow them to know and observe minimal safety precautions and conform to organizational behavioral expectations.

To see how other companies orient their new employees, we benchmarked against another Class I railroad. This railroad has an orientation process in place for all their new hire agreement employees and non-agreement management associates. In this organization, which had approximately 50% more new agreement hires than Amtrak in 2007 (2101 vice 1389), there is a common orientation which is consistently delivered. Although their 30,000 employees come from an area that covers almost half of the United States, all new hire agreement employees, regardless of craft, receive orientation at one central training facility on the first day of employment, followed by job specific training. This orientation is virtually identical for all crafts, and covers core company issues including safety, personal protective equipment, life style, expected behaviors, EEO, and company history and goals – in essence, the “culture” norms of the company. Non-agreement management associates and operations supervisors receive similar orientation at the same facility. Significantly, one of the first day orientation topics is safety, and that carrier has an overall safety record that has ranked at the top of the industry for 20 consecutive years. When asked to name the major advantage of this approach, the facility manager stated that it “provided consistent delivery of training in a controlled environment.”

At Amtrak, we were told that a new employee’s orientation is conducted in two parts. The first part usually takes place on an employee's first day when they fill out most of their corporate paperwork. At this time, they are given a packet containing numerous copies of corporate policies (see Appendix III) by representatives from the HR&DI Department. We were told that little to no time is spent discussing most of these policies with the new employee, but that they are expected to read them on their own. We were told this is done to insure new employees are made aware of expected behaviors and potential hazards associated with their new job before they start work.

The second part of the new employee’s orientation is done in a formal class setting. We were told that this can be accomplished either through a corporate orientation course (SAP course #60000163 – New Employee Orientation Workshop),

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<sup>7</sup> Note: for brevity, these will be referred to as “agreement” and “non-agreement” employees, respectively, in the remainder of this report.

or through one of several individual new hire orientation courses conducted by the operating departments. While the orientation topics covered by these courses are similar, they are not the same, and they do not go into the same depth in each topic.

A review of the training records of all 1097 employees hired during the first 6 months of 2009 showed that 477 (43%) had documented completion of the New Employee Orientation Workshop. Of the remaining 620, at most 338 could have instead attended a new hire orientation course conducted by the operating departments to receive their initial orientation. This leaves at least 280 (25%) of the new employees hired during the first 6 months of 2009 who had not received a new employee orientation class within 90 days of being hired.<sup>8</sup>

If the goal of the new hire orientation is to ensure that all new employees receive a proper orientation, including an understanding of the company's history, organizational mission and goals, key policies and procedures, behavioral expectations, and potential workplace hazards within the first days of their employment, we can conclude that Amtrak's current program does not meet that objective for every new employee. Although it is not a bad idea to give new employees copies of key corporate policies on their first day on the job, not all employees will read the policies and without a face to face presentation to highlight key elements and an opportunity to ask questions, the odds that the employee will fully understand and internalize the information is low. In addition, as our analysis showed, not all employees receive an orientation in a formal class setting within 90 days of starting work, if ever.

We believe that there are many positive benefits to having every employee attend an orientation in a formal classroom setting on the first day of the job. Besides ensuring employees understand safety practices, organizational goals, organizational policies and behavioral expectations, this formal orientation is also a valuable socialization process. Absent this, new employees learn the social norms from other employees on a hit or miss basis. Without this timely delivery, Amtrak forfeits forever its initial chance to consistently and positively mold employee behavior and the organizational culture.

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<sup>8</sup> Curiously, although we were told that any of these departmental new hire orientations met the requirement for a new hire orientation, we found a large number of the new employees in the operating departments had apparently attended both a departmental new hire orientation and the corporate New Hire Orientation Workshop, or were erroneously given credit for both in the records.

## **RECOMMENDATIONS:**

1A1. That the Vice President of HR&DI schedule all new employees for the New Employee Orientation Workshop, or equivalent, as soon as possible after their hiring date, preferably on the first day on the Amtrak payroll.

1A2. That the Vice President of HR&DI track and report on a quarterly basis the number of new hires that have not attended the New Hire Orientation Workshop, or equivalent, within 30 days of hire.

## **1B. New Hire Training (Job-Specific)**

### **FINDING:**

Job-specific initial training is inconsistently delivered to new employees.

### **DISCUSSION:**

Training is conducted to instruct employees how to properly perform certain tasks. If two new hires with no significant previous experience doing the same type of work receive different training, one can conclude that either one employee (who received less training) was not properly prepared or that resources were unnecessarily expended on the second (who received more training). This is one reason that many organizations standardize training for various occupational specialties. Consistent training, properly accomplished, leads to more consistent accomplishment of the task or duty for which the individual was trained. This in turn supports increased quality. If tasks are performed in the same way then the outcome should be more consistent. Greater consistency also results in both improved efficiency (less rework or corrective maintenance) and potentially a safer operating environment, since safety has been considered, or designed into, the process to ensure employees are taught the "proper" and safe way to accomplish a particular task, reducing possibilities for confusion and accidents.

As discussed previously, Amtrak conducts new hire training for agreement employees at a variety of locations across the system. Since most of the agreement employees work in the operations departments<sup>9</sup> – Mechanical, Engineering, and Transportation – our evaluation focused on new hire training in these departments. Appendix IV contains a matrix of training accomplished within the first 30 days by 39 (23 percent) of the 167 Mechanical Department employees hired in 2007, as well as a smaller sampling of those hired in Engineering and Transportation.

Looking at the matrix, it can be seen that new hire initial training is conducted at more than 10 separate training locations spread across the country, although not every employee receives initial training at the specific location where they will be assigned to work. In addition, there is a substantial lack of consistency in which courses were taken between training locations, even within the same craft. For example, there was not one single training course that was given to all car cleaners in the records sampled. Even at the same location, the sample indicated that there were 10 instances of mechanical employees of the same craft who received a different set

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<sup>9</sup> 15,103 of 16,886 or 89 percent.

of initial job-specific training courses at the same location. A less detailed review of the other two operating departments disclosed evidence of similar inconsistencies, although to a lesser degree. In the case of new hire On-Board Service (OBS) employees in the Transportation Department, only four of thirteen typical new hire courses were given to all new employees, and new hire ticket clerks displayed similar inconsistencies. Since our initial sampling utilized 2007 data, we again checked a sample of new employees from the first six months of 2009 to see if the earlier results had changed. Although we are aware of some recent positive initiatives to identify and program initial job-specific training for new hire employees, our limited 2009 sample still showed similar inconsistencies.

In our benchmarking against two other major Class I railroads, we found that both experience far greater consistency of job-specific training delivery. In particular, the one which brings all new agreement employees to a centralized training facility provides consistent delivery of both orientation and job-specific training to all new hire agreement employees. This ensures a minimum standard of competence, and assists in setting common expectations (“culture”) across the system.

Interestingly, when one of the senior Amtrak ED managers – who was responsible for all training within one of the operating departments – was asked whether Amtrak should move toward centralized training, the immediate response was “I’d be very happy if we started (centralized training) tomorrow!” This was echoed by many of the managers we talked to throughout the company. There are advantages and disadvantages to centralized training, but consistency of delivery is a clear advantage. The effects of consistency of training on quality of product, organizational culture, and safety cannot be ignored. Interestingly, the class I we benchmarked which utilizes a single centralized training facility for new hire training has also held the Harriman Gold Medal Award for the best safety record in the railroad industry for 20 consecutive years.

## **RECOMMENDATION:**

1B. That the VP for HR&DI lead an effort to identify, with input from each Amtrak department, the initial job-specific training required for each position within Amtrak, and track whether new hire employees start this training within the first 30 days of employment.

## 1C. Subsequent Training

### **FINDING:**

Training requirements for employees, subsequent to their new employee orientation and initial job-specific training, are inconsistent and not well understood across the corporation.

### **DISCUSSION:**

After completion of new employee initial training, there are still many requirements for additional training throughout an employee's career. This training is necessary to improve and/or refresh existing knowledge, skills and abilities (KSAs) or to develop new KSAs. Training to improve or refresh existing KSAs may be necessary due to regulatory requirements in the Code of Federal Regulations (e.g., CFR 49, Part 238 training), due to company policy (e.g., Information Security Awareness training), or simply to ensure KSAs do not degrade to an unacceptable level due to lack of frequent use (e.g., CPR training). Training to develop new KSAs may be necessary for various reasons: new equipment has been purchased, revised or new procedures have been developed, new regulatory requirements have been put in place, policies or guidance have changed, job responsibilities have changed, etc. In each of these cases, training may be necessary to ensure that employees can efficiently and effectively perform their jobs.

Identifying and keeping track of what training is needed for an employee at Amtrak is largely the responsibility of individual supervisors. This is appropriate since supervisors best know their employees and their daily job requirements. However, supervisors need help in understanding the training that is available and the mandated requirements contained in all of the applicable regulations and policies. Some departments help managers meet their responsibilities in this area by consolidating many of the requirements into a centrally managed program, like Block Training or Engineering Camp. However, not all departments have a centrally managed program and even those with centrally managed programs do not address all of the same requirements with the same frequency as other departments do. This potentially results in employees at Amtrak who are doing similar jobs receiving significantly different types and amounts of training depending on what department they are assigned to and what supervisor they work for.

The HR&DI Department has recently attempted to help managers in identifying required training by posting guidance on the Amtrak Intranet. For example, there is a Regulatory Training Matrix posted that appears to outline all of the regulatory training required, along with the frequency required, for supervisors in four of the five largest departments. Although very helpful, the guidance posted by HR&DI is focused only

on supervisors and only on four departments. We could not find similar published guidance for agreement employees in these departments or for any of the employees in the other Amtrak departments. We were told regulatory training is managed and tracked closely within the operating departments. Although we have no recent evidence to suggest that regulatory requirements are not being met, there is no one in the corporate headquarters responsible for providing overall corporate oversight of regulatory compliance.

Without specific guidance from corporate and department leaders, training is left to the discretion of individual managers, which may not be in the corporation's best interest. For example, there was a course developed (Course #60000879) to train employees in how to properly conduct maintenance on the door systems on Horizon cars. Now that there is a course developed and available, who should attend that training and at what frequency? Should all employees who work on doors on Horizon cars attend that training? If not, why not? Is it acceptable that an employee at one location receives the training because his supervisor thinks it is important and another employee who works on Horizon cars at another location does not receive the training? In a similar manner, it is suggested that every employee receive training on the Prevention of Sexual Harassment every three years. Since it is only "suggested", is it acceptable for one department to send every employee to training every three years and another department send no one? Will this satisfy the corporate objective that led to the creation of the course? These are the types of questions that should be asked for every course Amtrak offers if Amtrak wants to ensure it is accomplishing its intended training objectives in the most efficient manner.

## **RECOMMENDATION:**

1C. That the VP for HR&DI, working with the department heads, develop specific guidance on who should attend each course offered and the frequency in which it is required to meet the intended objective of the training.

## **1D. Training Strategy**

### **FINDING:**

There is no comprehensive, corporate-wide strategy linking employee development and training with Amtrak's strategic goals and objectives.

### **DISCUSSION:**

As previously described in detail, training at Amtrak is mostly decentralized with requirements largely determined by individual departments. This is perhaps appropriate in most instances since the departments better understand their needs than someone within corporate headquarters. However, there are certain requirements that should be consistent across the corporation. In addition, without a corporate-wide emphasis and commitment to training and employee development, resources are not consistently allocated to training activities and sometimes become the first area cut when budgets become tight. Therefore, to ensure that training and employee development receive consistent and appropriate emphasis throughout the corporation, a corporate-wide strategy containing an overall philosophy and guidance to the departments is necessary.

### **RECOMMENDATIONS:**

1D1. That the Amtrak President issue a corporate-wide strategy for training and employee development providing guidance to the corporation on the linkage of training and employee development to the achievement of Amtrak's strategic goals and objectives.

1D2. That the VP for HR&DI, in consultation with Amtrak's executive leadership, develop consistent, corporate-wide policies and procedures to support the strategy.

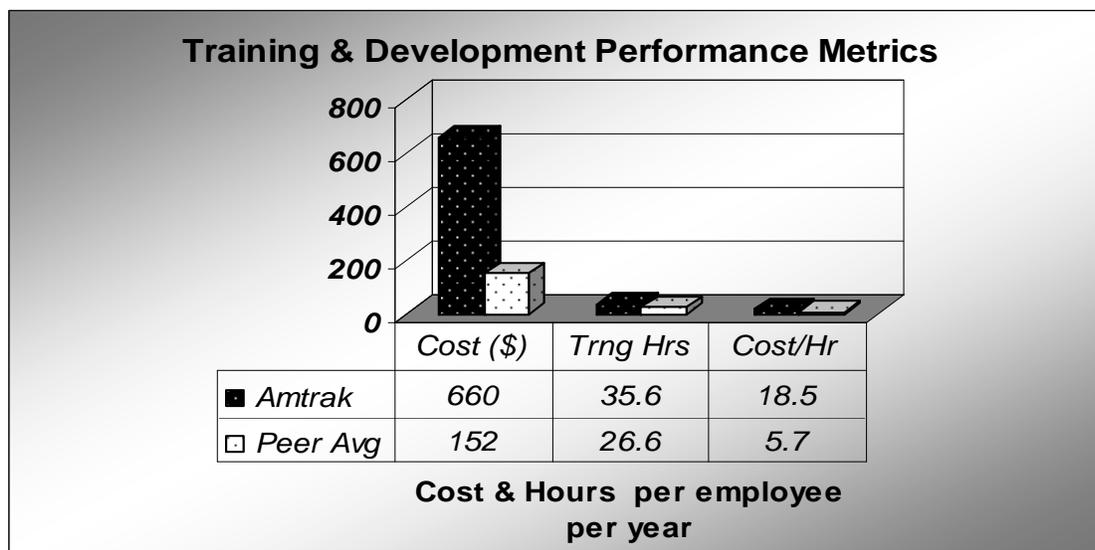
## 1E. Training Efficiency

### FINDING:

The current Amtrak training approach appears to be relatively inefficient.

### DISCUSSION:

As stated previously, Amtrak spends over \$12 million on the delivery and management of training each year. To evaluate the efficiency of Amtrak's training, we compared Amtrak's costs to training costs of other large companies using a benchmarking report we obtained from America's SAP Users' Group, of which Amtrak is a member. This survey was issued in January 2009, using data provided by Amtrak<sup>10</sup>. The results had two peer groups, but we utilized the results from the group which included "companies of similar size" to Amtrak (10,000 to 50,000 employees). As shown in the chart below, the survey found that the annual cost per employee for training and development at Amtrak was roughly four times the average of the 18 companies in the peer group, \$660 versus \$152. In and of itself, this may just reflect that Amtrak does a lot more training than other companies. However, the same survey reports the average annual hours of training per employee. Based on this data, the chart below also shows that, compared to other companies in the survey, Amtrak's cost per training hour is over three times greater. Based on this benchmarking, Amtrak appears to be significantly less efficient in the delivery of training than other companies in the survey.



<sup>10</sup> HCM Benchmarking Results – Executive Summary, SAP Value Engineering, January 22, 2009.

To further test this result, we also looked at a benchmark within the railroad industry. In an attempt to best give an “apples to apples” comparison we compared Amtrak to another Class I railroad in the specific area of new hire orientation and training. The results are shown on the following table, which combines data regarding the Amtrak training staff devoted to new hire training at a major Class I railroad, which was benchmarked in substantially greater detail during this evaluation. As shown on the chart below, the Amtrak training staff devoted to new hire training per new hire is over 40% more than the Class I railroad.

<u>New Hire Training Comparison</u>	<u>Amtrak</u>	<u>Class I Railroad</u>
Total Employees (approx)	19,000	31,000
2007 New Hires	1389	2101
Full Time Equivalents (FTE) devoted to New Hire Training	29 *	31 **
New Hires per FTE Staff	48	68

\* At Amtrak, there are 72 employees on the staff of the Sr. Director, Employee Development, of which 51 are assigned fully or partially to duties involving training of new hire employees. The Sr. Director estimated that the portion of their time devoted to new hire training was equivalent to roughly 17 FTEs. In addition, there are 12 FTEs who are Mechanical Department “network instructors” and managers involved in Locomotive Engineer Training (LET) or new Conductor training. Therefore, based on the information provided, Amtrak uses a total annual equivalent of approximately 29 FTEs to accomplish new hire training.

\*\* At the benchmarked Class I railroad, these numbers include 24 full time managers and 41 contractors. The total annual equivalent of these contractors is 7 FTEs, giving a total annual equivalent of 31 FTEs to accomplish new hire training.

Significantly, the Class I railroad used as a comparative benchmark above has a single, centralized facility used for the training of all new hire agreement employees. This provides for consistency, ease of communication among instructors, shorter span of control, and (as shown in the table above) fewer instructors required per new hire. In addition, this Class I uses retired railroad employees as contract instructors for new hire agreement employees, bringing an additional measure of experience and credibility to their classes. These are normally hired on a part time basis to reduce costs and substantially increase flexibility and surge capacity.

Both of these benchmarks suggest that Amtrak could improve the efficiency of its training delivery. Although there could be many valid reasons for Amtrak’s training costs to be higher than other companies, our own analysis also suggests training could be delivered more efficiently. A review of Amtrak’s training records show a large number of classes conducted with only between one and three students. Greater emphasis on efficiency and planning should drive greater class sizes and lower costs per hour of training. This would seem to be a relatively easy first step.

## **RECOMMENDATION:**

1E. That the VP for HR&DI, in consultation with other departments, explore options for improving the efficiency of its training, including but not limited to increased centralization of some or all of Amtrak's instructor led training (particularly new hire training), and use of part-time contractor instructor employees to provide a surge capacity, if needed.

## 1F. Training Records

### FINDING:

Training courses taken by Amtrak employees are not consistently and exclusively recorded in the Human Resources Information System (HRIS).

### DISCUSSION:

Training is conducted to ensure that employees have certain knowledge, skills and abilities required to properly perform their job. Keeping records of this training is important for several reasons:

1. It allows supervisors the ability to match employees with certain skills to jobs requiring those skills.
2. It allows supervisors to identify training needs and plan for future training requirements.
3. It allows trainers to determine historical course attendance so they can plan for future resource requirements.
4. It allows Amtrak to verify that certain regulatory training has been conducted. This is especially important in the case of a derailment, grade crossing accident, serious injury, or other significant event since the National Transportation Safety Board (NTSB) and/or other agencies may ask for this verification.

Amtrak's corporate policy directs that all training must be reported to the HR&DI Department and that all training will be documented and tracked through HRIS. Although there are some exceptions, the normal process is for training documentation to be sent to the HR&DI Department, who enters the information into HRIS.

Our interviews revealed that not all departments at Amtrak totally rely upon HRIS to document training taken by their employees. Many departments, in a variety of geographical locations, keep their own paper records or their own computer files. Not only is this an inefficient practice, it also makes it more difficult to obtain accurate training information across the corporation. The reasons given for maintaining separate or duplicate records were: the delay in time from when documentation is sent in and when it appears in HRIS, a lack of confidence in the accuracy of the data in HRIS, the limited ability for the field to enter or view data, and simply not wanting

to change from the way they had been doing it for years. Of the reasons given, the biggest complaint was the manager's limited ability to input and view training records on their employees.

Fortunately, Amtrak is addressing the issue of manager's access to employee records as part of the Employee Information Management (EIM) Program. By the Spring of 2010, departments should have much greater access to view, input and edit training records of their employees in HRIS. Managers should also have a greater ability to view and generate reports regarding training of their employees. This should help to eliminate many of the reasons for continuing to maintain separate systems in the field to track training. Not only will the elimination of these duplicate databases improve efficiency, but it will also improve the accuracy and reliability of the data in HRIS since that will be the one and only record.

## **RECOMMENDATIONS:**

1F1. That the VP for HR&DI continue to fully support the implementation of EIM so that supervisors have the ability to easily view and manage their employee training records.

1F2. That, once EIM is sufficiently implemented, the VP for HR&DI develop policies and procedures to ensure that all training is being appropriately captured in HRIS, and that duplicate records are not continuing to be maintained.

## **1G. Instructor Certifications**

### **FINDING:**

Amtrak has no corporate-wide methodology to ensure that all instructors are appropriately trained and certified for the courses they teach.

### **DISCUSSION:**

An important attribute for any instructor is credibility. For effective learning to take place, students must trust what they are being told by the instructor. If the credibility of the instructor is in question, then the accuracy of the material being presented is also open to question. Once an instructor loses his or her credibility with the students, effective learning will be compromised.

An instructor gains credibility by demonstrating an in-depth and current knowledge of the subject area they teach and by obtaining and maintaining the appropriate certifications and qualifications. In addition to having technical knowledge in the subject area of the class, instructors gain credibility through the way they present the material and run the administration of the course. This requires a certain level of expertise in proper teaching techniques and platform skills. Not everyone with the technical skills required to teach a course also have the teaching and platform skills needed to present the material in a clear and interesting manner. Skills in both areas are needed for the most effective learning to take place.

During the course of our interviews, we were told that not all individuals assigned as Amtrak trainers were current in the qualifications and certifications necessary to teach their respective courses. Many instructors expressed frustration that it was difficult to maintain their credentials at the frequencies required for each course. We were told that requests to attend certification classes were sometimes denied because of budget restrictions or because workloads were too high to allow someone to be gone. In attempting to follow-up on these comments with the HR&DI Department, we learned that qualifications to teach the various courses are not centrally determined but up to various subject-matter experts and other individuals within different departments throughout the company. Because of this, it was difficult to determine if the comments we heard were truly valid or simply a perception by the individual instructors of what they felt that they needed to properly teach the course. In either case, a corporate-wide determination of the qualifications and certifications necessary to teach each course at Amtrak would seem to be useful, if for no other reason than to clear up the confusion we heard.

In addition to having the appropriate technical qualifications to teach a course, Amtrak recommends that all instructors pass a course on platform skills to prepare instructors to be effective before they start teaching. Although recommended, we learned that not all instructors receive this training before they start teaching classes. As discussed previously, not everyone with the technical skills required to teach a course also have the teaching and platform skills needed to present the material in a clear and effective manner. Without instructors with the appropriate teaching skills, learning can be compromised. It would seem to be in Amtrak's best interests to insure that all instructors are qualified in teaching and platform skills before they start teaching classes and are recertified at an appropriate interval.

Overall we feel that there is a lot of commendable effort being expended to present interesting and accurate training at Amtrak, however, setting and maintaining instructor qualifications is one area that could receive additional emphasis. If only a few instructors present inaccurate or out-of-date information, it can hurt the credibility of the entire program. Although we do not have evidence this has occurred, without a method to insure that the proper certifications and qualifications are maintained by all instructors, the likelihood that this may occur is increased and should be avoided. Once credibility is lost, it is hard to regain.

## **RECOMMENDATIONS:**

1G1. That the VP for HR&DI develop a policy that establishes the minimum qualifications and certifications required to be an instructor for each course taught at Amtrak.

1G2. That the VP for HR&DI develop a program to insure that all Amtrak instructors achieve and remain in compliance with the above policy.

## 1H. Computer Based Training Validation

### **FINDING:**

Amtrak does not have adequate procedures or technology in place to ensure that individuals that are credited for taking required computer based training (CBT) programs are the same individuals that completed the courses.

### **DISCUSSION:**

CBT programs are an effective and efficient way to conduct many types of training. They offer employees flexibility in where and when they can accomplish training and are a very efficient way to deliver training since, in most cases, live instructors are not required and employees can take the training without having to travel to a centralized classroom facility. As more and more training is being delivered in this manner, new issues have surfaced that require addressing. One of these issues is validating that the person taking the CBT course is the person that is credited for taking the course. This becomes important when having to certify that certain individuals have successfully fulfilled a mandatory or regulatory requirement.

In a normal classroom training environment, an instructor can validate that the person who sat in the classroom or took the test was the person given credit for the training by simply examining a properly-issued picture ID. This becomes more difficult when a CBT course is taken from a remote location.

At Amtrak, the only validation currently in place is the "assumption" that the individual taking the training course matches the individual whose password was used to log onto the CBT course. As far as we are aware, there is currently no other independent verification being done for CBT at Amtrak.

As part of our benchmarking with other railroads, we observed how another railroad is attempting to address this issue. At their main training center, they have mounted cameras on top of the screen for each computer utilized for CBT coursework. The camera randomly takes pictures of the individual sitting at the workstation while a test is being taken. This monitoring feature is activated when an identification card is scanned and the computer is logged on utilizing an individual's Personal Identification Number. The frequency of "snapshots" of the trainee can be adjusted based on the length of the testing period. Within 24 hours, members of the railroad's training staff review the class rosters and workstation pictures to ensure the correct person is credited for taking the test. After this, the validations are documented and the testing certified. This procedure ensures that the right people are certified. The railroad's senior training staff feels that this procedure meets their needs for CBT validation, and has withstood the scrutiny of a regulatory audit.

This Class I railroad's method is one way to address this issue. The use of biometrics is another possible solution. As technology advances, other solutions may become available. In any case, this is an area that Amtrak should consider as it expands the use of CBT throughout the corporation. There is a lot of money currently being spent to update and improve Amtrak's information systems. Incorporating a method to validate the identity of an individual using a computer may have benefits beyond just training validation and should be considered as part of the information technology initiatives currently underway at Amtrak.

## **RECOMMENDATION:**

1H. That the VP for HR&DI, working with the Chief Information Officer, develop procedures to ensure that individuals that are credited for taking required computer based training programs are the same individuals that completed the courses.

## 11. Terminology

### **FINDING:**

Understanding training at Amtrak is inhibited by the lack of consistent terminology and commonly understood definitions across the corporation.

### **DISCUSSION:**

Consistent terminology and commonly understood definitions improve communication and facilitate good understanding.

During our interviews, we noticed a significant amount of confusion in the terminology used when discussing training. For example, we heard the term “regulatory training” used frequently as a category of training at Amtrak. However, some individuals thought that regulatory training referred only to those courses required by federal regulations. Others thought that “regulatory” was synonymous with “mandatory” and included training required by any law, regulation, policy or directive. Others even included training “suggested” or “recommended” by any law, regulation, policy or directive in this category. As can be seen, attempting to determine the training burden on Amtrak from federal regulations is difficult if terminology is not consistent.

Another example of inconsistent terminology concerns what constitutes “training.” Can meetings and briefings be considered training, or does all training have to have an Amtrak course number? If meetings and briefings can be considered training, what criteria must be met? We did not get consistent answers to these questions.

As a final example, we encountered confusion between the terms managers and supervisors. Some people thought that the terms could be used interchangeably and referred to employees who supervised other employees. However, other people thought that all “management” employees were managers, whether they supervised anyone or not. In addition, many people were confused if foreman were considered supervisors or managers. This becomes an issue when a training requirement is published for all “managers” to receive a training course within a certain timeframe. Without fully understanding who needs to attend, how can it be determined if the requirement has been met?

Some may think of terminology as a minor issue. However, if Amtrak is going to take training seriously and hold supervisors accountable for ensuring that their employees are properly trained to perform their jobs, terminology and definitions must be clarified. Without consistent terminology and definitions, any training metrics

or reports must be questioned and the information provided considered as approximations of the truth, at best.

**RECOMMENDATION:**

11. That the VP for HR&DI develop and publish a glossary of common training terms and definitions to facilitate communication and common understanding throughout the corporation concerning training and employee development topics.

## 2. Management Employee Career Development

### 2A. Management Employee Career Development Strategy

#### FINDING:

Amtrak does not have a comprehensive, integrated, corporate-wide career development strategy for management (non-agreement) employees.

#### DISCUSSION:

Most top companies have a strategy for developing future senior leadership. They identify the attributes, education, experiences and technical expertise that they desire in their senior leaders and then implement a management development strategy to grow these future senior leaders from the ranks of their current employees.

In their book Built To Last, a widely publicized study that examined characteristics of successful, visionary companies (e.g., GE and Motorola), the authors identified a “continuous self-reinforcing process – a Leadership continuity loop” which was characterized by:

- 1) Management Development & Succession Planning
- 2) Strong Internal Candidates
- 3) Continuity of Leadership Excellence

The study noted that the result of such a process was an internal “deep bench” of talented, experienced managers to assume senior leadership roles.<sup>11</sup>

During our benchmarking with other railroads, we found that one Class I was very good at addressing these issues. Their Assistant Vice President of Human Resources expressed his biggest concern as:

*“I worry that we are not going to be able to attract and retain sufficient high quality, technically qualified managers (e.g., electrical or mechanical engineers) to lead the company 15-25 years from now.”*

Perhaps unsurprisingly, his company has proactively addressed most of the issues discussed in this report, and is constantly looking for innovative new solutions. Its

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<sup>11</sup> James C. Collins & Jerry I. Porras, *Built To Last: Successful Habits of Visionary Companies*, (New York: Harper Business, 1994), pp. 173-180.

Chief Operating Officer (COO), previously its head of strategic planning, was recently selected as the recipient of the 2008 Railway Age Railroader of the Year Award<sup>12</sup>. An accompanying article noted that this railroad "is known for having a 'deep bench' of executives," and in the operating department this has been the COO's doing.<sup>13</sup> Further reflecting the AVP comment above, the magazine stated in a subsequent article that this railroad "...has much more than a culture of survival. It combines that with an ability to plan ahead, often beyond the tenure of the people doing the planning."<sup>14</sup>

Not surprisingly, this Class I railroad has a strong, cohesive focus on management development, and in fact has a longstanding, active recruiting program for management trainees – recent college graduates, many with technical degrees – who are screened with a validated management assessment tool to maximize their probability for success, and subsequently assigned to an extended orientation and training program.

Although there are elements of a career development program in existence at Amtrak, there is no comprehensive, integrated management career development strategy. Over the last ten years, Amtrak has made eight changes in the top three leadership positions of the company (CEO, COO, and CFO). Of those, only one was promoted from a position within the company. Likewise, of the current ten members of the Executive Management Committee, only two were promoted from a job within Amtrak. Obviously, in all but these few cases where individuals were promoted from within, the hiring officials (CEO and/or Board of Directors) did not feel that any of the current Amtrak employees were best qualified to meet the demands of the most senior positions in the company. This conclusion was apparently reached in spite of the significant advantage that a current employee should have over an outsider in understanding the operations and challenges facing the company.

Sometimes bringing new ideas into a company from someone who has been successful elsewhere is a good idea. However, there are also many good reasons to develop talent inside the company to assume future leadership positions. First, an internal candidate has a performance history within the company that has been directly observed by senior leadership. In many cases, when someone is brought in from outside the company there is little direct observations of their past performance and therefore greater risk that the individual will not be as qualified as represented on their resume or by their references. Second, someone who has grown from within the company will have a much greater knowledge of the history and culture of the company, along with the challenges and obstacles facing the company. Third, hiring an internal candidate provides someone who usually knows what has been tried

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<sup>12</sup> W. Graham Claytor, then Amtrak CEO, was the 1989 awardee.

<sup>13</sup> Laurance H. Kauffman, Contributing Editor, "Steve Tobias: Mission Focused," *Railway Age*, January 2008, pp. 19-48.

<sup>14</sup> Lawrence H. Kauffman, Contributing Editor, "A Culture of Survival and Forward Thinking," *Railway Age*, November, 2007, p. 24.

before and can avoid learning the same lessons over again. Finally, the selection of an internal employee provides continuity and someone who will not need a lengthy indoctrination period.

This does not mean that hiring from inside the company is always the best choice. Hiring someone who doesn't have the appropriate educational background, doesn't have the necessary attributes, skills and abilities, or hasn't been properly trained and developed – just because they are an insider – is also not a good idea. Without a corporate-wide career development program, Amtrak will constantly face the poor choice of selecting someone for a senior position who is less qualified but understands Amtrak, or someone who may be more qualified but doesn't understand the company and is potentially a greater performance risk. This is not to say that there are not some good, highly skilled managers at Amtrak, but without a program that ensures they have developed all of the desired skills and acquired the knowledge and experiences desired at the senior management level, the odds that they will be in a position to compete against qualified individuals from outside the company are reduced. The worst case scenario is that the hiring officials are faced with mid-level and senior management vacancies with no qualified external candidates and no one who has been properly developed to fill the position from within Amtrak. In this case, the organization suffers while a manager without the requisite knowledge and skills tries to learn on-the-job. From our observations, this happens too often at Amtrak.

Realizing the importance of this issue, the heads of two Amtrak departments, with help from the HR&DI Department, have independently started initiatives around career development. The Information Technology (IT) Department has identified 15 job families and is developing standardized position descriptions within each family, as well as the competencies and critical skills required for each. Similarly, the Engineering Department utilized a consultant to develop job families and career paths for degreed engineers (civil, electrical, mechanical, and structural). These programs show outstanding initiative by the department leadership but lack inter-departmental consistency and are limited in what they can accomplish without a corporate-wide program. For example, unless there is a corporate requirement to work in a position outside of a manager's primary expertise to advance to the next level, there will be limited incentive for a senior manager in, for example, the Finance Department to send one of his more talented subordinates to work in the Engineering Department.

In developing an effective Management Career Development Program at Amtrak, the following elements should be included:

- A program to recruit and develop recent college graduates and provide them with appropriate initial indoctrination and training.
- A method to screen candidates for management positions and promotions to ensure they have the attributes required for those positions.

- Documented career paths that outline the job experiences desired and expected for selection and advancement within the company.
- Educational standards for all management positions, with assistance programs to assist employees in attaining those standards.
- A program to develop the leadership and management abilities required at different levels within the company.

Each of these elements will be discussed in greater detail in the findings that follow.

## **RECOMMENDATION:**

2A1. That the Amtrak President, with the support and approval of the Board of Directors, issue a corporate-wide strategy for developing management employees to assume the future leadership roles within the company.

2A2. That the VP for HR&DI, in consultation with Amtrak's executive leadership, develop consistent, corporate-wide policies and procedures to support the management career development strategy.

## 2B. Management Candidate Aptitude Screening

### FINDING:

Amtrak does not use screening instruments for entry into management (non-agreement) positions.

### DISCUSSION:

Recruiting, hiring and training new employees is a relatively costly process. Therefore, anything that could improve the odds of selecting a new employee with the attributes necessary for successful performance should be considered. Screening candidates with properly validated assessment instruments (sometimes called "tests") is one way to improve the likelihood that an employee will have the attributes required to be successful. Some common assessments are cognitive ability tests, job knowledge tests, personality tests, integrity tests and situational judgment tests. These tests have been found to have a moderate to high validity, meaning that those who "do well on the test do well on the job."<sup>15</sup>

Amtrak currently uses a variety of screening instruments in their assessment of potential agreement employee hires. For example, prospective trainmen are given a personality inventory and tests in reading comprehension, problem solving, computation, and vocabulary. Other crafts are similar, with three tests for lead service attendants (LSAs) and ticket agents, two for electricians, and one for carmen and pipefitters.

In similar fashion, the two Class I railroads we benchmarked against both used similar screening instruments for entry into the agreement ranks. In addition, both the Class I's also used "management assessment" screening instruments for entry into non-agreement (management) ranks, and applied them to both management associates or trainees as well as those promoted from the agreement crafts. At one Class I, the management assessment was designed to measure the attributes of successful current managers. In developing the assessment, successful incumbent managers were interviewed and tested to determine what characteristics, both cognitive ability and personality traits, were common among them. These results were validated and incorporated into a "management assessment" which was given to all candidates and potential future candidates (including newly hired agreement employees) for management positions within the company. The company believed

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<sup>15</sup> Dressler, op cit., pp. 118-119.

that this enabled their managers to be more likely to succeed over time, which is clearly in the best interests of both the individual and the organization.

We found that Amtrak, by comparison, did not use any screening instruments for entry into non-agreement positions. Although a successful company needs good employees in both agreement and non-agreement positions, the impact of an ill-suited or poorly performing manager is disproportionately greater and arguably more critical to the success of the organization. Since Amtrak screens candidates for agreement positions, we were surprised that non-agreement candidates were not also screened.

If Amtrak were to adopt a similar "management assessment" for screening all entries into non-agreement ranks, it would be more likely to select successful candidates for these positions - clearly a more desirable outcome.

### **RECOMMENDATION:**

2B. That the VP for HR&DI develop and implement an appropriate management assessment tool for all applicants for non-agreement employee positions.

## **2C. Management Associate/Trainee Program**

### **FINDING:**

Amtrak's Management Associate Program (MAP) is ineffective in providing sufficient management talent to satisfy Amtrak's long term needs.

### **DISCUSSION:**

For most companies, management associates (or management trainees) are one of three sources for management employees; the other two being direct external hires and promotions from the craft (agreement employee) ranks. Most management associates are recent graduates of a four year college or university who, immediately after being hired, undergo an orientation and training program to further prepare them for duties as a manager in the company. These management associates provide a source of young, educated talent that can be developed into mid and senior-level managers within the organization, often with the requisite technical degrees directly related to their initial departmental area of assignment. Over time, as they progress within the company and gain experience with its operation and organization, they can leverage their undergraduate education for the broader needs of the company.

Management associate programs are common in many organizations, although sometimes called something else. For example, 18,000 "management trainees" enter the U.S. military every year as entry level officer candidates who – in addition to baccalaureate degrees – have undergone additional "job specific" training either concurrently with the attainment of their degrees (military academy or Reserve Officer Training Corps) or subsequent to its completion (officer candidate schools). The ranks of senior military officers are almost exclusively comprised of those who have entered the service as a "management trainee." Another example is one of the Class I railroads we benchmarked, where we observed an active management trainee program that historically provided, according to their AVP for HR, over 50 management trainees a year. These trainees, drawn from top tier colleges and engineering schools, initially undergo a similar one year initial (new hire) training regimen and then rise through the ranks of alternating corporate and field assignments, detailed among various departments as "corporate assets" to broaden their experience levels. The program at this Class I is tied to their workforce planning efforts and directly linked to their projected requirements. For example, the company recently increased their annual recruitment of management trainees from 75 to 125, reflecting the requirements of their long term strategy. When questioned about this, their AVP for HR said that his most critical, long term concern was that his company must be able to have the experienced talent to succeed in the business environment

“15 to 25 years from now.” The result of this long term, strategic view is evident today by the 776 former management trainees in their management ranks – approximately 25 percent of their potential senior level managers – including their current CEO.

In contrast, Amtrak’s “Management Associate” Program has had almost no impact on developing the managerial talent pool. Specifically:

- There is no overall strategy for the program that is tied to a corporate-wide human capital strategy which, in turn, supports the overall corporate strategic goals and objectives.
- There is no linkage between the numbers in the program and projected losses in the management ranks or workforce planning in general.
- There is no coherent, consistent program structure with a common corporate-wide core, and the composition of the initial training varies at the discretion of the department assigned.
- There is no effort to track former management associates within the company and broaden their experience base.

Although Amtrak could not tell us the number of former Management Associates currently within Amtrak, a simple ratio can give a rough approximation. If a program that brings in 50 to 75 associates per year leads to roughly ten times that number (776) of former trainees in the management ranks at another Class I, then the Amtrak program – at approximately 5 to 10 a year – might eventually provide approximately 50-100 former management associates, or at best 4 percent of the roughly 2,850 Amtrak non-agreement employees. This is so comparatively small that its long term impact is questionable.

In discussing this with the Acting VP for HR&DI, she was concerned about funding needed to support an expanded program. Obviously a greatly expanded program will need additional funding beyond what is currently allocated. Once the requirements of an expanded program are known, this would need to be discussed with the Chief Financial Officer (CFO).

## **RECOMMENDATIONS:**

2C1. That the VP for HR&DI review and revise the current Amtrak Management Associate Program to fill an appropriate and effective role within the new management career development strategy.

2C2. That the CFO identify funding within Amtrak’s corporate budget to meet the needs of the revised Management Associate Program.

## 2D. Career Progression Paths & Job Families

### FINDING:

Amtrak does not have documented career progression paths or job families identified for all non-agreement employees.

### DISCUSSION:

Career progression paths serve to both identify the expected path for management progression and to assure individual managers that they are making proper career choices to increase their likelihood of advancing within the organization. Job families are broader fields of positions linked by similar endeavor or technical skills (e.g., engineers). Examples of these in other companies are both relatively common and widespread. The military has fairly structured career paths for officers as they progress, and also has job families, such as aviators.

Likewise, we found similar career progression paths for non-agreement employees within the two Class I railroads benchmarked, with one of the two even including this information on job postings to indicate both what prior experience a successful internal candidate would likely possess, and to what subsequent positions that position might lead. This railroad had seven broad job families,<sup>16</sup> and all non-agreement positions within the company were classified as belonging to one of these families. For example, a Road Foreman would be in the General Operations family. This Class I also had ongoing monitoring at the corporate HR level to ensure these paths were generally followed as non-agreement employees were transferred or promoted. This approach would tend to give a junior manager an idea of what position he/she could aspire to next. Additionally, these individual job families were linked to scores on the company management assessment screening tool so that candidates for a position in a particular job family could be screened for their probable success in that field. The assessment provides individual scores for each job family, similar to the manner that scores in the Armed Services Vocational Aptitude Battery (ASVAB) are linked to particular occupational fields.

By comparison, we were told Amtrak has neither documented career progression paths nor job families (with the exception of the previously discussed recent efforts in the IT and Engineering Departments). Because there are no documented career progression paths, managers are forced to rely on opinions and personal observations of others when making career choices. Moreover, without documented career paths, it is difficult to ensure that Amtrak is “growing” individuals

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<sup>16</sup> Commercial Services, General Analytical, General Operations, Investigative Research (e.g., police), Process Support, Technical Analytical (e.g., I.T.), and Technical Operations (e.g., Control Center).

with the proper skills and experiences to be the future leadership. The current situation at Amtrak tends to generally result in a non-agreement workforce with experience only within the confines of the department or location where they began their employment, contributing to poor interdepartmental coordination and synergy.

Ideally, positions requiring similar attributes, skills or expertise should be managed as a “family,” with someone designated to nurture those in the family, ensuring they get the appropriate training and have the required experiences to allow them to grow and succeed in the future. This could be done corporately within the HR & DI Department, or as an additional duty of one of the senior leaders at Amtrak (e.g., the Chief Engineer for the “engineer” family or General Counsel for the “legal” family.) In either case, it is important that someone is responsible to oversee and manage the careers of the non-agreement workforce to ensure that Amtrak is developing employees with the skills and experiences required in the future.

## **RECOMMENDATIONS:**

2D1. That the VP for HR&DI, in consultation with Amtrak’s executive leadership, develop broad company-wide job families and career progression paths for all non-agreement positions.

2D2. That Amtrak’s President designate either the VP for HR&DI or other Amtrak senior leaders to oversee and manage these families and career paths.

## 2E. Educational Standards for Non-agreement Employees

### FINDING:

Amtrak's middle and senior managers (particularly in the operating departments) lack the education levels normally found in similar organizations.

### DISCUSSION:

Graduates of four year colleges and universities generally possess knowledges, skills and abilities that non-graduates have not attained, simply because they have not been given in-depth exposure to broader knowledge and sophisticated concepts in a formalized educational setting. When compared to non-graduates, these graduates often possess a greater technical understanding of their field, better analytical skills, a more rigorous decision making process, and better communication skills. These attributes make them better equipped to manage and direct business organizations and are valued by society, as reflected by the average salaries of high school and college graduates. According to 2006 census data,<sup>17</sup> the average salary of a high school graduate was \$31,071 while those with bachelor's degrees averaged \$56,688, or 82 percent more. Those with advanced degrees earned even more. This pay differential reflects their greater value to the organizations that employ them. In a figurative sense, they simply have more tools in their tool kit than their contemporaries who lack this education. Because of this, most companies employ a high percentage of college graduates for their management ranks.

For example, the U.S. military utilizes a college degree as a standard for entry level managers (officers). A recent study noted, "There are few exceptions to the Service requirements that commissioned officers have at least a 4-year college degree...." The study went on to note that in FY 2004, 92.1 percent of officer accessions had a 4-year degree or higher, and for the service as a whole, only 4.2 percent of the entire officer corps were "less than a college graduate."<sup>18</sup> In the two Class I freight railroads we benchmarked against, their non-agreement employees, particularly at senior levels, generally possess educational levels that are comparable with current U.S. military practices and both had programs for entry level management which had a college degree as a prerequisite for entry.

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<sup>17</sup> [www.census.gov/compendia/sattat/tables](http://www.census.gov/compendia/sattat/tables).

<sup>18</sup> Office of the Under Secretary of Defense, Personnel and Readiness, "Population Representation in the Military Services, 2004, < <http://www.DefenseLink.mil/prhome/poprep2004/officers/education.html>>.

As noted earlier in the finding on the management associate/trainee program, one of these railroads has over 700 former trainees currently working at that company, which accounts for a significant percentage (about 20 percent) of their non-agreement employees. It should be noted that these are not the only college graduates in that company, but – like academy graduates in the military – simply those who have entered through a highly structured initial training process. Collectively, these managers provide a cadre of technically qualified, knowledgeable talent who are capable of additional development both by formal education and career broadening assignments.

By comparison, we found little evidence of similar educational standards for management employees at Amtrak. Indeed, in some of the operating departments, technically educated managers are rare. For example, the Amtrak field organization is divided into geographic areas, or Divisions. Using data from Amtrak records, we examined the senior Divisional field managers in the Transportation and Mechanical Departments. Results are as shown.

<b>Recorded Educational Levels: Amtrak General Superintendents, Master Mechanics and Senior Field Line Managers</b>					
<b>Executive Grade Level</b>	<b>Total Number</b>	<b>College Degree</b>		<b>Technical Field Degree (B.S.)</b>	
		<b>No.</b>	<b>%</b>	<b>No.</b>	<b>%</b>
E-1 (General Superintendents, Master Mechanics)	12	1	8.3%	0	0%
E-1/D-2/D-1	112	22	19.6%	4	3.6%

Of the 12 General Superintendents and Master Mechanics who are collectively responsible for the efficient and effective employment of 12,379 field employees and subordinates, records indicate only one (8.3 percent) possesses a baccalaureate degree, and that is not a Bachelor of Science. In fact, a more detailed review of the senior field management (grades E-1, D-2 and D-1) of these two operating departments determined that of the 112 top non-agreement employees, only 22 (19.6 percent) possessed a degree, and only four of these were technical (Bachelor of Science) degrees. At lower management levels, the comparison is equally stark; in one operating department, of the approximately 125 field level line managers who collectively direct and supervise 3,000 employees, only seven (6 percent) possessed a degree, and six of the seven were in non-technical fields. A comparison with the senior leadership of a benchmarked Class I, as shown below, is also enlightening.

	AMTRAK			Class I Freight		
	Total	BA	BS	Total	BA	BS
Ops:GS/MM	12 (100%)	1 (8%)		11 (100%)	3 (27%)	5 (45%)

This situation has developed over many years, and will take many years to correct. Studies have shown that most managers tend to promote people who are like themselves. It is therefore understandable that this situation has evolved since, until recently, the heads of the two largest operating departments and the two top managers in the HR&DI Department did not have college degrees. If these individuals had experienced first hand the value of a college degree, they may have placed more emphasis on hiring managers with college educations.

A college education is not the only tool in an individual manager's tool kit; there are some people whose natural leadership abilities substantially offset their lack of a baccalaureate education, and many of them are in senior leadership positions at Amtrak. On an individual basis, this is good, and arguably there should always be positions for a very small percentage of individuals who are truly gifted in these areas. However, on an aggregate basis, a senior leadership lacking formal technical and/or business education is not an ideal situation for the successful operation of a complex, 21<sup>st</sup> Century transportation company.

## RECOMMENDATIONS:

2E1. That the VP for HR&DI, in conjunction with the heads of each department, ensure that appropriate educational standards are identified for all non-agreement employees.

2E2. That the VP for HR&DI ensure that all new non-agreement hires or promotions possess the minimum educational standard identified in the position description or that a waiver has been granted by the President of Amtrak, or his designated representative.

2E3. That the VP for HR&DI track and semiannually report progress toward achieving the educational standards identified in the position descriptions.

## 2F. Cross-Departmental & Corporate Competencies

### FINDING:

Amtrak has few middle and senior managers that have experience in more than one department, contributing to the creation and furtherance of “silos” within the company.

### DISCUSSION:

A smoothly functioning organization is characterized in part by good internal communications and cooperation among various elements of the organization. This in turn is aided by a common understanding of the operation and functions of other parts of the organization.

In the 1990s, Amtrak employed Gallup to do an internal survey. One of their findings was that, despite a high level of cooperation between department heads, Amtrak suffered from extensive stove piping (a tendency of departments not to work well with each other) below that level and poor internal coordination and cooperation. Current information confirms this is still an issue, as a recent company-wide survey of Amtrak employees - conducted by Accenture - found that Amtrak still has a “silo mentality”<sup>19</sup> which pervades all departments and constitutes a significant barrier to improvement.

During our benchmarking, we looked to see how other organizations attempted to combat this silo mentality. At one major Class I freight railroad we visited, there was a clear understanding of the benefits of departmental cross pollination. For example:

- Management trainees were identified as “corporate assets” and assigned to career paths that in many cases will eventually take them out of the initial hiring department.
- The company has nine salary bands, and managers that progress beyond Band 5 are encouraged and given opportunities to take assignments in more than one department.
- Support department composition showed the results of deliberate internal rotation. According to the AVP of HR, of the 70 employees<sup>20</sup> in his department “50 to 70 percent” (35 to 50 employees) had come from the operating departments, and nearly half would return.
- Career paths of senior managers showed the results of this progression. For example, the current VP of HR was previously the VP of IT; a recently selected

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<sup>19</sup> Accenture Strategic Asset Management Culture Value Analysis, Executive Summary, February 2009, p.5.

<sup>20</sup> All were non-agreement, or management, employees.

VP of Transportation started as a research engineer and was previously the General Manager for Mechanical Field Operations; and the current CEO (a former management trainee) was previously the VP of HR.

In another Class I railroad (44,000 employees), they had similar management career pathing. An interview with a former senior manager from that company noted that at his former employer higher level management often crossed departments for development and organizational enhancement. For example, the CEO was the COO and prior to that spent much of his career in Marketing, although he started as a management trainee and initial assignment was as a trainmaster. Other companies also have cross functional experience in their senior leadership. We were told by a former Coca-Cola manager that Coca-Cola uses a similar cross-departmental career path procedure. As a final example, the U.S. military moves management officers between and among commands for career broadening assignments, and, since the advent of the Goldwater-Nichols Department of Defense Reorganization Act of 1986,<sup>21</sup> an officer cannot attain general officer rank without career broadening assignments working with other branches of service.

By comparison, Amtrak managers generally lack similar experiences outside of their initial departmental assignment. For example, of the 5 current divisional Master Mechanics, 0 have significant experience outside the Mechanical Department, and of the 7 General Superintendents, only 2 of 7 possess significant experience outside the Transportation Department. Even more telling is the comparison between Amtrak's HR managers and one of the Class I's HR department's managers. The Class I has approximately 27 of 45 non-training HR managers (60 percent) with prior operating department management experience, compared with 3 of 65 (4.6 percent) in Amtrak HR who have had prior experience in a non-agreement position within an operating department (see table below).

<b>Comparative Experience – HR Managers (Class I vs. Amtrak)</b>		
Functional head	Total subordinates (less ED&T)	Operating Dept Management Experience
Class I AVP, HR	45	27
Amtrak AVP, HR	65	3

Moreover, at the Class I, former HR managers have advanced and are now filling positions as diverse as Director of Marketing, Assistant Division General Superintendent, and General Manager of Mechanical Field Operations. Indeed, this Class I has had a succession of internal managers who served in the HR department and continued on to other departments where their experience could continue to be broadened. In fact, in the past five years, 18 HR managers (about 25%) have returned to positions in the operating departments. At Amtrak similar cross-

<sup>21</sup> Pubic Law 99-433

departmental career pathing is conspicuously absent. Although we did not do a detailed analysis, we expect most of the Amtrak support departments are similar to HR in this regard.

The current Amtrak situation results from multiple causes, and there is no single "silver bullet" solution which will resolve it in the very near term; indeed, a long term solution will require effort in multiple areas over a period of years. Regardless of the causes, the overall results are clear, well documented and disturbing: the Accenture survey cited earlier rated Amtrak in the bottom 10 percent of over 400 companies surveyed in "supporting employee growth."<sup>22</sup>

A graduate level text on human resource management discusses management development programs, including rotational assignments, and summarizes by saying that "*The ultimate aim of such development programs is, of course, to enhance the future performance (underlining supplied for emphasis) of the organization itself."<sup>23</sup> At Amtrak, a continuation of present policies will result in a managerial workforce whose ability to work across departmental lines is limited by their experience, fostering continued stove piping and limiting corporate synergy and integration. In view of the looming challenges facing the company, this would appear to be an undesirable situation.*

## **RECOMMENDATIONS:**

2F1. That the VP for HR&DI develop and implement a plan to expand cross-departmental experience within the middle and senior management of the company.

2F2. That the VP for HR&DI track and report progress towards achieving this cross-departmental experience on a semiannual basis, as a minimum.

2F3. That, in conjunction with the above, the VP for HR&DI develop and implement procedures to preclude advancement into upper middle management without career broadening, cross-departmental assignments.

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<sup>22</sup> Accenture Strategic Asset Management Culture Value Analysis, Executive Summary, February 2009, p.15.

<sup>23</sup> Dressler, *op.cit.*, p.173.

## **2G. Leadership/Management Development**

### **FINDING:**

Amtrak has no corporate-wide plan to insure that its supervisors and managers have the appropriate leadership and management skills required to be successful.

### **DISCUSSION:**

Leadership and management skills are usually developed through a combination of classroom instruction and developmental work experience. Seldom do managers develop outstanding leadership and management skills solely through the classroom or solely through work experience.

Understanding Amtrak's need for classroom instruction to support leadership and management development, the HR&DI Department offers several instructor-led courses and access to numerous computer-based courses. These courses are described on the Amtrak intranet under the "Education and Training" section and then under "Leadership/Management"<sup>24</sup>. The instructor-led offerings include a Basic Management Course, a Mid-level Management Course and an Advanced Management Course. The course descriptions provide a "recommended" range of time, in years, as guidelines for when employees should complete each course. The Basic Management course is recommended for those with 3 years or less of management experience, the Mid-level Management Course is recommended for those with between 3 to 8 years of management experience, and the Advanced Management Course is recommended for those with 10 years or more of management experience. We were told that the Basic Management Course has been successfully piloted, but the other courses are still in the pilot stage. Surprisingly, we learned that, between January 2008 and May 2009, only four classes total had been conducted in these three courses with a combined total of only 65 students. In addition, the "Training Calendar: Leadership Courses" on the Amtrak intranet does not show any classes scheduled to be conducted in 2009 and beyond. The current number of attendees is far short of the total supervisor/manager population and is an indicator that what appears to be a well-intended program has not been fully adopted by the corporation.

We discovered several reasons why these courses have not been attended by more students. First, our interviews suggest that the existence of these courses is not well known. Second, some departments have developed their own supervisory training, and are sending their supervisors to that training rather than the corporately

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<sup>24</sup> Amtrak's Internal Website, home page, under tab "How We Work," or "Employees" and then tab "Education and Training."

developed courses. Third, the courses are “offered” but not required by any corporate policy or directive.

All Amtrak supervisors could benefit from at least a certain amount of classroom leadership training. Without a corporate policy that mandates certain leadership training for all management employees, Amtrak will continue in its current uneven approach. Without mandated classroom training, some new supervisors will end up relying solely on what they have learned through their own observations of past supervisors – who are not always the best examples.

## **RECOMMENDATION:**

2G. That the VP for HR&DI, in consultation with Amtrak’s executive leadership, develop and implement a policy containing corporate-wide direction and guidance on leadership training and development for non-agreement employees.

## **Appendix I**

### **OIG Employee Training and Development Evaluation Team**

#### **Deputy IG for Inspections and Evaluations:**

Calvin E. Evans

#### **Team Members:**

Mark A. Meana

John L. Mac Michael

## Appendix II

### Consolidated List of Recommendations

1A1. That the Vice President of HR&DI schedule all new employees for the New Employee Orientation Workshop, or equivalent, as soon as possible after their hiring date, preferably on the first day on the Amtrak payroll.

1A2. That the Vice President of HR&DI track and report on a quarterly basis the number of new hires that have not attended the New Hire Orientation Workshop, or equivalent, within 30 days of hire.

1B. That the VP for HR&DI lead an effort to identify, with input from each Amtrak department, the initial job-specific training required for each position within Amtrak, and track whether new hire employees start this training within the first 30 days of employment.

1C. That the VP for HR&DI, working with the department heads, develop specific guidance on who should attend each course offered and the frequency in which it is required to meet the intended objective of the training.

1D1. That the Amtrak President issue a corporate-wide strategy for training and employee development providing guidance to the corporation on the linkage of training and employee development to the achievement of Amtrak's strategic goals and objectives.

1D2. That the VP for HR&DI, in consultation with Amtrak's executive leadership, develop consistent, corporate-wide policies and procedures to support the strategy.

1E. That the VP for HR&DI, in consultation with other departments, explore options for improving the efficiency of its training, including but not limited to increased centralization of some or all of Amtrak's instructor led training (particularly new hire training), and use of part-time contractor instructor employees to provide a surge capacity, if needed.

1F1. That the VP for HR&DI continue to fully support the implementation of EIM so that supervisors have the ability to easily view and manage their employee training records.

1F2. That, once EIM is sufficiently implemented, the VP for HR&DI develop policies and procedures to ensure that all training is being appropriately captured in HRIS, and that duplicate records are not continuing to be maintained.

1G1. That the VP for HR&DI develop a policy that establishes the minimum qualifications and certifications required to be an instructor for each course taught at Amtrak.

1G2. That the VP for HR&DI develop a program to insure that all Amtrak instructors achieve and remain in compliance with the above policy.

1H. That the VP for HR&DI, working with the Chief Information Officer, develop procedures to ensure that individuals that are credited for taking required computer based training programs are the same individuals that completed the courses.

1I. That the VP for HR&DI develop and publish a glossary of common training terms and definitions to facilitate communication and common understanding throughout the corporation concerning training and employee development topics.

2A1. That the Amtrak President, with the support and approval of the Board of Directors, issue a corporate-wide strategy for developing management employees to assume the future leadership roles within the company.

2A2. That the VP for HR&DI, in consultation with Amtrak's executive leadership, develop consistent, corporate-wide policies and procedures to support the management career development strategy.

2B. That the VP for HR&DI develop and implement an appropriate management assessment tool for all applicants for non-agreement employee positions.

2C1. That the VP for HR&DI review and revise the current Amtrak Management Associate Program to fill an appropriate and effective role within the new management career development strategy.

2C2. That the CFO identify funding within Amtrak's corporate budget to meet the needs of the revised Management Associate Program.

2D1. That the VP for HR&DI, in consultation with Amtrak's executive leadership, develop broad company-wide job families and career progression paths for all non-agreement positions.

2D2. That Amtrak's President designate either the VP for HR&DI or other Amtrak senior leaders to oversee and manage these families and career paths.

2E1. That the VP for HR&DI, in conjunction with the heads of each department, ensure that appropriate educational standards are identified for all non-agreement employees.

2E2. That the VP for HR&DI ensure that all new non-agreement hires or promotions possess the minimum educational standard identified in the position description or that a waiver has been granted by the President of Amtrak, or his designated representative.

2E3. That the VP for HR&DI track and semiannually report progress toward achieving the educational standards identified in the position descriptions.

2F1. That the VP for HR&DI develop and implement a plan to expand cross-departmental experience within the middle and senior management of the company.

2F2. That the VP for HR&DI track and report progress towards achieving this cross-departmental experience on a semiannual basis, as a minimum.

2F3. That, in conjunction with the above, the VP for HR&DI develop and implement procedures to preclude advancement into upper middle management without career broadening, cross-departmental assignments.

2G. That the VP for HR&DI, in consultation with Amtrak's executive leadership, develop and implement a policy containing corporate-wide direction and guidance on leadership training and development for non-agreement employees.

## Appendix III New Hire Checklist

### INSTRUCTIONS AGREEMENT NEW HIRES

*Please complete the following underlined forms and bring them with you on your first day of employment. Please review the remaining material.*

1. Employee Information Form: **If you have a degree, please provide a copy of your final transcript or diploma.**
2. Employment Eligibility Verification Form (I-9): Complete Section 1 and review the instructions form. **You MUST provide acceptable documents for identification. The law states that you must be sent home if you do not produce this identification within three days of your start date.**
3. W-4 Form: Please complete the federal W-4 form and the state tax form. If the state form is not included, it will be provided to you on your first day of employment.
4. Authorization for Direct Deposit: Please complete and attach a voided check.
5. Standards of Excellence Booklet: Please **tear out and sign page 11.**
6. Amtrak Flash Pass Photo Application and Amtrak Identification Card Application: Please complete these forms and attach passport quality color photos no larger than 2 ½ x 2 ½ inches for use in producing your Amtrak flash pass and identification card.
7. Ethical Conduct and Conflict of Interest policy, Certificate of Compliance and Clayton Anti-Trust Form: Please read the policy and complete both forms.
8. Credit Card Security Policy and Certificate of Compliance: Read the policy and complete the form.
9. Accurate Reporting of Injuries and Illnesses Policy: Please read the policy (paying special attention to Section 5.0) and complete the form.
10. Computer Usage and Security Policy: Please read the policy and complete the acknowledgement form.
11. What You Should Know: Information on Amtrak's policy on prescribed and over-the-counter medications. Please complete the top half of this form only if you are taking medications that will affect your job duties.
12. Designation of Beneficiary for Unpaid Compensation: Please complete this form.
13. Recruitment Source Survey: Please complete this form.

*Please review the following material.*

14. Amtrak Agreement Benefits Summary

15. Railroad Retirement and Survivor Benefits Booklet

16. Railroad Retirement Tax Withholdings and Limits Card

17. E-mail Etiquette

18. Employee Security Handbook

19. System Security Information

- System Security Awareness Training: You are required to complete an online course. This can be accessed through the intranet.
- Letter from Mr. Crosbie

**PLEASE BE SURE YOU HAVE COMPLETED AN AMTRAK APPLICATION  
FOR EMPLOYMENT AND AUTHORIZATION BACKGROUND  
INVESTIGATION**

## **Appendix IV**

Matrix of New Hire Initial Craft Training Comparison Sample

**APPENDIX IV**  
**Mechanical**

**R-1Ea1**  
17-Mar-09

	<u>Dept</u>	<u>Sample -</u>	<u>Initial</u>	<u>Craft</u>	<u>Training</u>		<u>FY '07</u>						
		BEAR	BOS	CHI/BPI	LAX	LOR	MIA	NYS/P	OAK/SJC	PHL	SEA	WAS	Total
<b><u>CLNR</u></b>		2		1		1	1	1	2		1	2	11
BLOOD BORNE		<b>N 1of2</b>		X		<b>N</b>	<b>N</b>	X	X		X	<b>N 1of2</b>	
BLUE SIG PRO		X		X		<b>N</b>	<b>N</b>	X	X		X	<b>N</b>	
CAR WATERING		X		X		X	X	<b>N</b>	<b>N 1of2</b>		X	X	
ENV AWARENESS		X		<b>N</b>		<b>N</b>	<b>N</b>	<b>N</b>	<b>N 1of2</b>		<b>N</b>	<b>N</b>	
FALL PROT OSHA		<b>N</b>		X		<b>N</b>	<b>N</b>	<b>N</b>	<b>N 1of2</b>		<b>X</b>	<b>N</b>	
FIRE EXT BASIC		X		X		<b>N</b>	<b>N</b>	<b>N</b>	X		X	<b>N</b>	
HEARING CONS		X		X		<b>N</b>	<b>N</b>	<b>N</b>	<b>N 1of2</b>		<b>N</b>	<b>N</b>	
HAZ COMM		X		X		<b>N</b>	<b>N</b>	X	X		X	X	
LOCK/TAGOUT		X		<b>N</b>		<b>N</b>	<b>N</b>	X	<b>N 1of2</b>		X	<b>N</b>	
PAX CAR CLNG		X		X		X	X	<b>N</b>	X		X	X	
PPE		X		<b>N</b>		<b>N</b>	<b>N</b>	X	X		X	X	
SYS SECUR AW		X		<b>N</b>		<b>N</b>	<b>N</b>	X	<b>N</b>		<b>N</b>	X	
TERRORIST ACTY				<b>N</b>		<b>N</b>	<b>N</b>		<b>N 1of2</b>		<b>N</b>		
<b><u>IBEW</u></b>		1	1	1	1			3	2	1		<b>2</b>	11
BLOOD BORNE		<b>N</b>	<b>N</b>	X	X			X	X	X		<b>N</b>	
<u>BLUE SIG PRO</u>		X	X	X	X			X	X	X		X	
ENV AWARENESS		X	X	<b>N</b>	<b>N</b>			<b>N 2of3</b>	<b>N</b>	<b>N</b>		<b>N</b>	
FALL PROT OSHA		<b>N</b>	<b>N</b>	<b>N</b>	<b>N</b>			<b>N</b>	<b>N</b>	??		X	
FIRE EXT BASIC		<b>N</b>	X	X	X			<b>N</b>	X	X		X	
HAZ COMM		X	X	<b>N</b>	X			<b>N</b>	X	X		X	
HEARING CONS		X	X	<b>N</b>	?			<b>N</b>	X	<b>N</b>		X	
<u>LOCK/TAG PRO</u>		X	X	X	X			X	X	X		X	
PPE		X	X	X	X			X	<b>N</b>	X		?	
SYS SECUR AW		X	X	<b>N</b>	<b>N</b>				X			X	
TERRORIST ACTY				<b>N</b>	<b>N</b>			X		X			
DIVERSITY TRNG										<b>X</b>			
NEW EMP WKSHP										<b>X</b>			
WRKPLACE VIO										<b>X</b>			

	BEAR	BOS	CHI/BPILAX	LOR	MIA	NYS/P	OAK/SJC	PHL	SEA	WAS	WIL	
<b><u>IAM</u></b>			1			1	1		2	1		6
<u>BLOOD BORNE</u>			X			X	X		X	X		
<u>BLUE SIG PRO</u>			X			X	X		X	X		
<u>ENV AWARENESS</u>			N			X	N		N	N		
<u>FALL PROT OSHA</u>			N			N	N		X	X		
<u>FIRE EXT BASIC</u>			X			N	X		X	X		
<u>HAZ COMM</u>			X			X	X		X	X		
<u>HEARING CONS</u>			X			N	X		X	X		
<u>LOCK/TAG PRO</u>			X			X	X		X	X		
<u>PPE</u>			X			X	X		X	X		
<u>SYS SECUR AW</u>			N				X		N	X		
<u>TERRORIST ACTY</u>			N			X			N			
238 TRN BK TEST									X 1of2			

	BEAR	BOS	CHI/BPILAX	LOR	MIA	NYS/P	OAK/SJC	PHL	SEA	WAS	WIL	
<b><u>SWMIA</u></b>	1		1			1				2		5
<u>BLOOD BORNE</u>	N		X			X				X		
<u>BLUE SIG PRO</u>	X		X			X				X		
<u>ENV AWARENESS</u>	X		N			X				N		
<u>FALL PROT OSHA</u>	N		N			N				X		
<u>FIRE EXT BASIC</u>	N		X			N				X		
<u>HAZ COMM</u>	X		N			X				X		
<u>HEARING CONS</u>	N		N			N				X		
<u>LOCK/TAG PRO</u>	X		X			X				X		
<u>PPE</u>	N		X			X				X		
<u>SYS SECUR AW</u>	X		N			X				X		
<u>TERRORIST ACTY</u>			N									
238 TRN BK TEST										X		

	BEAR	BOS	CHI/BPILAX	LOR	MIA	NYS/P	OAK/SJC	PHL	SEA	WAS	WIL	
<b><u>JCC</u></b>						1	1			2		4
BLOOD BORNE						X	X			X		
BLUE SIG PRO						X	X			X		
<u>ENV AWARENESS</u>						X	N			N		
<u>FALL PROT OSHA</u>						N	N			X		
FIRE EXT BASIC						N	X			X		
HAZ COMM						X	X			X		
<u>HEARING CONS</u>						N	X			X		
LOCK/TAG PRO						X	X			X		
PPE						X	X			X		
<u>SYS SECUR AW</u>							N			X		
<u>TERRORIST ACTY</u>						X	N					
238 TRN BK TEST												

<b><u>ARSA &amp; MGT</u></b>			1			1						2
BLOOD BORNE						X						
BLUE SIG PRO			X			X						
ENV AWARENESS						X						
<u>FALL PROT OSHA</u>												
FIRE EXT BASIC												
HAZ COMM			X									
HEARING CONS												
LOCK/TAG PRO			X									
PPE												
SYS SECUR AW												
TERRORIST ACTY						X						
238 TRN BK TEST												

**Total 39  
(of 167)** 39

Engineering      Dept   Sample -      Initial   Craft   Training                      FY '07

NYP                      PHL                      PROV                      WAS

**IBEW**

2

2 PROV  
PROV

BLOOD BORNE                      **N 1of2**  
BLUE SIG PRO                      Y  
ENV AWARENESS                      **N 1of2**  
FALL PROT OSHA                      Y  
FIRE EXT BASIC                      Y  
HAZ COMM                      **N 1of2**  
HEARING CONS                      Y  
JOB BRIEF                      **N 1of2**  
LEAD AWRNESS                      **N 1of2**  
LOCK/TAG PRO                      Y  
PPE                      Y  
RWP (2)                      **1-1of2**  
SYS SECUR AW                      **N 1of2**  
TERRORIST ACTY  
WTCHMN QUAL                      **N 1of2**

NYP                      PHL                      PROV                      WAS

**BMWE**

2

1

1

4 **NYP**  
PROV  
NYP  
WAS

BLOOD BORNE                      X                      X                      X  
 BLUE SIG PRO                      X                      X                      X  
 ENV AWARENESS  
 FALL PROT OSHA                      X                      X                      X  
 FIRE EXT BASIC                      X                      X                      X  
 HAZ COMM                      X                      X                      X  
 HEARING CONS                      X                      X                      X  
 JOB BRIEF

LEAD AWRNESS	X		X	X
LOCK/TAG PRO	X		X	X
NEW EMP WKSHP	N		X	N
PPE	X		X	X
RWP (2)	X		X	X
SYS SECUR AW				
TERRORIST ACTY	X		X	X
WTCHMN QUAL	X			

NYP                      PHL                      PROV                      WAS

**C&S - Phase 2**

1

1

BLOOD BORNE	Y
BLUE SIG PRO	Y
<u>ENV AWARENESS</u>	N - N1
FALL PROT OSHA	Y
FIRE EXT BASIC	Y
HAZ COMM	Y
HEARING CONS	Y
JOB BRIEF	
LEAD AWRNESS	Y
LOCK/TAG PRO	Y
PPE	Y
RWP	Y
SYS SECUR AW	
<u>TERRORIST ACTY</u>	N - N1
WTCHMN QUAL	

N1(NOTE) - COMPL  
AFTER TRNG

<u>Transportation</u>	<u>Dept</u>	<u>Sample -</u>	<u>Initial</u>	<u>Craft</u>	<u>Training</u>	<u>FY '07</u>
		LAX 2	LOR 2		NYP 1	WAS 5
<b><u>OBS</u></b>						
BLOOD BORNE	Y		N		N	
ENVIR AWARENESS	Y		Y		Y	
FALL PROT:S,T&F	Y		N		N	
FIRE EXT BASIC	Y		N		N	
HAZ COMM	Y		N		N	
HEARING CONS	Y		N		N	
JOB BRIEF						
NEW HIRE - POSIT	Y		Y		Y	
PREP TRNG - INTL	Y		Y		Y	
PPE	Y		N		N	
SANITATION:F/H	Y		Y		Y	
SYS SECUR AW	N		N		N	
TERRORIST ACTY	N 1of2		N		N	
		WAS 1	OAK 1			2
<b><u>Ticket Agents</u></b>						
BLOOD BORNE	N		X			
ENVIR AWARENESS	N		X			
FALL PROT:S,T&F						
FIRE EXT BASIC	N		X			
HAZ COMM	N		X			
HEARING CONS	N		X			
JOB BRIEF	N					
NEW HIRE TKT CLK	X		X			
PREP TRNG - INTL						
PPE	N		X			
SANITATION:F/H						
SYS SECUR AW						
TERRORIST ACTY	N		X			
					<b>Grand Total</b>	<b>55</b>