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**FEDERAL LABOR RELATIONS AUTHORITY**  
**OFFICE OF INSPECTOR GENERAL**

**SEMIANNUAL REPORT**  
**TO THE CONGRESS**

**October 1, 1999 to**  
**March 30, 2000**

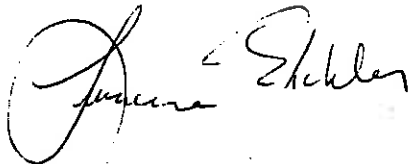


UNITED STATES OF AMERICA  
**FEDERAL LABOR RELATIONS AUTHORITY**  
**OFFICE OF THE INSPECTOR GENERAL**

WASHINGTON, D.C. 20424-0001

April 20, 2000

To: Don Wasserman  
Chairman, FLRA

From: Francine Eichler  
Inspector General 

Subject: FLRA Inspector General Semi-Annual Report to Congress

Attached you will find the FLRA Office of the Inspector General's twenty-second Semi-Annual Report to Congress covering oversight activities from October 1, 1999 through March 31, 2000. During this period there were no significant findings that impeded the capability of the FLRA to accomplish its mission. FLRA management continues to address corrective actions in a responsive and timely manner. Should you have any questions, feel free to contact me at x217.

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## EXECUTIVE SUMMARY

This is the twenty-second semiannual report issued by the Office of Inspector General (OIG) at the Federal Labor Relations Authority (FLRA). This report, submitted pursuant to section 5 of the Inspector General Act, summarizes the major activities and accomplishments of the Office of the Inspector General during the period October 1, 1999, through March 31, 2000.

During this reporting period, the FLRA Inspector General completed and issued a comprehensive internal review of the FLRA's Human Capital Investment and completed a second internal review of the FLRA External Affairs Function. An Inspector General follow-up was performed on Year 2000 (Y2K) Compliance, Non Tax-Delinquent Debt, Currency of Agency Level Policy, and Memoranda of Understanding and Delegations of Authority. The FLRA Inspector General also solicited sources to award contract to a private sector computer security audit firm to assist in the conduct of an Audit of FLRA's Computer Information Security. During this reporting period, the FLRA Inspector General received and addressed three Congressional requests for information. One of these involved an investigation of an FLRA component's customer service orientation, while the other two required providing specific information. Additionally, the Inspector General processed fourteen Hotline Calls, and conducted two preliminary investigations and one administrative investigation. The FLRA Inspector General also actively served on the PCIE/ECIE Strategic Planning Committee, attended the Presidential Council for Integrity and Efficiency/Executive Council for Integrity and Efficiency (PCIE/ECIE) Retreat and attended the Institute of Internal Auditor's Audit Management Conference.

During this reporting period there were no mission impacting findings or significant outstanding corrective actions from previous oversight initiatives. FLRA management continues to be responsive in addressing Inspector General recommendations and corrective actions to improve the efficiency and effectiveness of FLRA operations.

## THE FEDERAL LABOR RELATIONS AUTHORITY

The FLRA is an independent agency responsible for directing the labor-management relations for 1.9 million non-postal Federal employees world-wide, nearly 1.1 million of whom are exclusively represented in approximately 2,200 bargaining units. The FLRA is charged by the Federal Service Labor-Management Relations Statute (the Statute) with: providing leadership in establishing policies and guidance relating to Federal sector labor-management relations; resolving disputes arising among Federal agencies and unions representing Federal employees; and ensuring compliance with the Statute.

The FLRA represents the Federal government's consolidated approach to labor-management relations. It fulfills its statutory responsibilities through its' three primary operational components – the Authority, the Office of General Counsel (OGC) and the Federal Service Impasses Panel (FSIP). It also provides full staff support to two other organizations – the Foreign Service Impasses Disputes Panel and the Foreign Service Labor Relations Board.

The Authority is a quasi-judicial body with three full-time Members who are appointed for 5-year terms by the President with the advice and consent of the Senate. One member is appointed by the President to serve as Chairman of the Authority and as Chief Executive and Administrative Officer of the FLRA. The Chairman also serves as a member of the National Partnership Council, established by President Clinton to promote labor-management partnerships in the Federal service, and heads the Foreign Service Labor Relations Board.

The Authority adjudicates disputes arising under the Statute, deciding cases concerning the negotiability of collective bargaining agreement proposals, unfair labor practice (ULP) allegations, representation petitions, and exceptions to grievance arbitration awards. Consistent with its statutory responsibility, the Authority provides leadership in establishing policies and guidance to participants in the Federal labor-management relations program. As part of the Collaboration and Alternative Dispute Resolution (CADR) Program, the Authority assists Federal agencies and unions in understanding their right and responsibilities under the Statute and resolving their disputes through interest-based problem-solving rather than adjudication.

In addition to the three Member Offices, the Authority component of the FLRA also houses the Office of Administrative Law Judges, the Collaboration and Alternative Dispute Resolution Office, the Office of the Solicitor, the Office of the Executive Director, and the Office of the Inspector General.

*Office of the Administrative Law Judges:* The FLRA's Administrative Law Judges (ALJs) are appointed by the Authority to hear and prepare recommended decisions in cases involving alleged Unfair Labor Practices (ULPs) charges. In addition, the ALJs issue decisions involving applications for attorney fees filed pursuant to the Back Pay Act or the Equal Access to Justice Act. The decisions of the ALJs may be affirmed, modified, or reversed, in whole or in part, by the Authority. If no exceptions are filed to an ALJs decisions, the decision is adopted by the Authority and becomes final and binding on the parties. The ALJs also issue subpoenas as requested by the parties. While performing their duties, the ALJs engage in settlement efforts throughout all stages of the process and also conduct prehearing conferences in all ULP cases.

*Collaboration and Alternative Dispute Resolution (CADR) Office:* In FY 1996, the Authority, the OGC, and the FSIP established the joint CADR Program. This created a unified labor-management relations program that targets a variety of collaboration and alternative dispute resolution techniques at all steps of the process, from the investigation and prosecution to the adjudication of cases and resolution of bargaining impasses. The CADR Program also provides partnership facilitation and training programs to assist labor and management in developing constructive approaches to conducting their relationship. The CADR Office is responsible for coordinating, supporting, and expanding the unified CADR Program.

*Office of the Solicitor:* The Office of the Solicitor represents the Authority in court proceedings before all United States Courts, including the U.S. Supreme Court, U.S. Courts of Appeals, and Federal District Courts. The office serves as the agency's in-house counsel, providing legal advice to all FLRA components. The Solicitor is also the Designated Agency Ethics Officers under the Ethics in Government Act of 1978, as amended.

*Office of the Executive Director:* The Office of the Executive Director is responsible for developing and implementing agency-wide initiatives, such as strategic planning. The office also provides operational support to all components of the FLRA, including budget and finance, human resources, procurement, administrative services, and information resources management.

*Office of the Inspector General:* The Office of the Inspector General is responsible for directing and carrying out audits, investigations and internal reviews related to the FLRA Programs and operations. In addition, the office recommends policies that promote economic, efficient, and effective agency programs that prevent fraud, waste and abuse. The office is responsible for keeping the Chair and the Congress fully informed of problems and deficiencies, as well as the necessity for corrective

action. The Office of the Inspector General is mandated by Public Law 100-504 and the Inspector General Act Amendments of 1988.

The Office of the General Counsel (OGC) is the independent investigative and prosecutorial component of the FLRA. The OGC investigates all ULP charges filed by labor or management and prosecutes all ULP complaints before the Authority. The General Counsel, who is appointed by the President with the advice and consent of the Senate for a 5-year term, manages all OGC employees, who comprise over 50 percent of the FLRA's staff. Most of the OGC's staff serves in the FLRA's seven regional offices located in Atlanta, Boston, Chicago, Dallas, Denver, San Francisco and Washington, DC.

The regional offices: investigate and settle or prosecute ULP claims, actively encouraging the use of collaboration and alternative dispute resolution at every step; ensure compliance with all ULP orders issued by the Authority; receive and process representation petitions; and provide facilitation, intervention, training and education services to the parties. The General Counsel reviews all appeals of Regional Directors' decisions not to issue a ULP complaint and establishes policies and procedures for processing ULP charges.

The Federal Service Impasses Panel (FSIP or the Panel) is composed of seven part-time Members who are appointed by the President to serve for a 5-year term. One Member is appointed by the President to serve as the Panel Chair. The Panel resolves bargaining impasses between Federal agencies and unions representing Federal employees arising from negotiations over conditions of employment under the Federal Service Labor-Management Relations Statute and the Federal Employees Flexible and Compressed Work Schedules Act. If bargaining between the parties, followed by mediation assistance, proves to be unsuccessful, the Panel has the authority to recommend procedures and to take whatever action it deems necessary to resolve the impasse.

The Foreign Service Labor Relations Board (the Board) was created by the Foreign Service Act of 1980 to administer the labor-management relations program for Foreign Service employees in the U.S. Information Agency, the Agency for International Development, the Departments of State, Agriculture and Commerce. The Board is composed of three Members, including the Chair of the Authority who appoints the other two Members, who serve on a part-time basis. The Chair of the Authority also serves as Chair of the Board. The FLRA General Counsel acts as General Counsel for the Board and the Authority staff provides necessary support to the Board.

The Foreign Service Impasse Disputes Panel (the Disputes Panel) was also created by the Foreign Service Act of 1980. The Disputes Panel is composed of five part-time Members who are appointed by the Chair of the Foreign Service Labor Relations Board (the FLRA Chair). The Disputes Panel resolves bargaining impasses between Federal

agencies and Foreign Service personnel in the U.S. Information Agency, the Agency for International Development and the Departments of State, Agriculture and Commerce over conditions of employment under the Foreign Service Act of 1980. The FSIP staff supports the Disputes Panel.

The FLRA has 216 full-time equivalents (FTE's) for FY 2000. For FY 2000, the FLRA budget is \$23,781,000.

The FLRA's headquarters is located in Washington, D.C. The FLRA maintains regional offices in Atlanta, Boston, Chicago, Dallas, Denver, San Francisco and Washington, DC.



## FLRA MISSION STATEMENT

The Federal Labor Relations Authority exercises leadership under the Federal Service Labor-Management Relations Statute to promote stable, constructive labor relations that contribute to a more effective Government.

The Federal Labor Relations Authority fulfills its mission by:

- Enforcing and clarifying the law through sound, timely decisions and policies;
- Using fast, simple processes to conduct its business;
- Providing high quality training and education programs, and furnishing effective intervention services; and
- Administering its resources to ensure that services are responsive to the unique needs of its customers.

In order to accomplish this mission, the FLRA has established the following four goals:

1. To consistently provide high quality services that timely resolve disputes in the Federal labor-management relations community.
2. To effectively use and promote alternative methods of dispute resolution and avoidance to reduce the cost of conflict in the Federal labor-management relations community.
3. To maintain FLRA's internal systems and processes to support a continually improving, highly effective and efficient organization with the flexibility to meet program needs.
4. To develop FLRA's human resources to ensure a continually improving, highly effective and efficient organization with the flexibility to meet program needs.

## OFFICE OF INSPECTOR GENERAL

The FLRA'S Office of Inspector General was established pursuant to Pub. L. 100-504, the Inspector General Act Amendments of 1988, which amended Pub. L. 95-452, the Inspector General Act of 1978. The Inspector General reports directly to the Chairman and Congress. As set forth in the authorizing legislation, the Inspector General:

- Conducts and supervises internal reviews, audits and evaluations of the programs and operations of the FLRA;
- Provides leadership and coordination, and recommends actions to management which (1) promote economy, efficiency and effectiveness in agency programs and operations; and (2) prevent or detect fraud, waste, abuse, and mismanagement of government resources; and
- Keeps the Chairman, FLRA management and the Congress fully informed regarding problems and deficiencies, as well as the necessity for and the progress of corrective action.

The Inspector General's Office is currently staffed with one full time Inspector General. Budget constraints and prior Agency strategic planning have resulted in one person having oversight responsibility for all of the FLRA's programs, operations and use of resources. The Inspector General is administratively assisted by a fourth year University student. When required, the FLRA Inspector General uses contractor auditors to assist in performing audits. Legal advice is provided to the Inspector General, on an as needed basis, by the FLRA's Office of the Solicitor. The Office of Inspector General's budget is part of the FLRA's budget. While the Office of the Inspector General FY 2000 overall budget increased from FY 1999's \$183,000 allocation to \$190,000, the increase was primarily due to salaries. The operational portion of the FY 2000 budget is \$68,500. Of this amount, \$62,500 was allocated for the procurement of auditors. This reflects a decrease of \$10,500 from the FY 99 allocation of \$75,000 for audit services.

## OFFICE OF INSPECTOR GENERAL MISSION STATEMENT

The mission of the FLRA Office of the Inspector General is to provide FLRA leadership an independent, objective assessment of the organization's efficiency and effectiveness. This is accomplished through internal reviews and evaluations of FLRA operational processes. The Inspector General provides necessary oversight and serves as a catalyst for improving and maximizing the efficiency and integrity of FLRA programs and operations. The goal of the Inspector General's work is to maximize the effectiveness of FLRA programs by evaluating performance and identifying ways to make these programs more efficient and effective. In addition, the FLRA Inspector General strives to prevent and detect fraud, waste, abuse and mismanagement of the FLRA's resources and operations which could adversely impact the organization's integrity and ability to perform its mission in a timely, customer responsive manner.

The primary objectives of the Office of Inspector General are:

- To evaluate the efficiency and effectiveness of FLRA program and resource management and identify best practices as well as causative factors impeding the accomplishment of the FLRA mission.
- To assist the Chairman and FLRA management in carrying out their responsibilities by providing them with objective and timely information on the conduct of FLRA operations, together with the Inspector General's independent analysis, conclusions, and recommendations.
- To use evaluations, internal reviews and the more traditional assessment tools of audits, inspections and investigations, to maximize oversight and strengthen system and process controls.
- To support the Administration and Congress in maximizing Government integrity and efficiency and minimizing the occurrence of fraud, waste, abuse and mismanagement.

## AUDIT ACTIVITY

During this reporting period the following audit was initiated by the Office of the Inspector General:

### Audit of FLRA Computer Information Security

In Progress

The FLRA Inspector General prepared a Statement of Work and submitted a task order through the Department of Labor, Office of Inspector General, for the procurement of audit services to perform an audit of the FLRA's computer information security. This audit is scheduled to begin around May 1, 2000, and will provide a comprehensive look at the Agency's computer security controls, susceptibility to virus attacks, hackers and employee abuse, the degree of controls to prevent the leakage of proprietary information and the vulnerability to theft and/or destruction of computer resources and/or data. This audit will be the second audit performed in this Agency on computer security.

At the time of this report, the competitive source selection was in progress.

### Internal Review of Human Capital Investment

Completed February 10, 2000

During this reporting period, the FLRA Inspector General completed a comprehensive Internal Review of FLRA Human Capital Investment which is a current item of Federal Government and Congressional interest.

For a small agency, the FLRA has implemented a significant number of programs which contribute toward the development and worklife environment of its human resources. FLRA management understands the importance of human resources in accomplishing its mission and invests both time and money in developing and mentoring its employees. The FLRA's work environment is continuously being enhanced. Its performance evaluations are directly tied to strategic program goals. Programs and policies which effect employment are routinely developed by management with the Union of Authority Employees. The FLRA Human Resource Division has strengthened its customer service orientation and is developing several training and employee enhancement programs. Safety, security, health and workplace issues have received increased management and employee attention over the last few years. The FLRA already meets, and in some cases, exceeds most of the Standards for Human Capital Investment that were recently issued by the Government Accounting Office. The review conducted by the Inspector General did surface some human resource issues and some areas of human capital investment which require more management focus over the next several years, however, the FLRA, with its collegial and personnel oriented environment is well on its way affirming that its human resources are a vital asset and critical to accomplishing its unique mission. Inspector General recommendations from this Review may be found on Page 39.

## Internal Review of FLRA External Affairs

Open

During this reporting period, the FLRA Inspector General conducted a review of the FLRA's External Affairs function. As a part of this review, the Inspector General looked at all major aspects of the external affairs function including Congressional and legislative interactions, inter-governmental relations, public administrative inquiries and interfaces. Research was also conducted on how the function is administered in several other designated Federal entities to provide a basis of comparison for the extent of external interface, as well as program administration. The draft report for this review was being staffed to management during the preparation of the this Semi-Annual Report. A description of the evaluation and findings and recommendations will be provided in the next Semi-Annual Report.

## EXTERNAL REVIEWS

During this reporting period there were no external reviews of FLRA operations by external oversight organizations.

## INVESTIGATIVE ACTIVITY

During this period, the Inspector General received and conducted two preliminary and one administrative investigations.

2000-1	Preliminary Investigation: Private sector management interference with investigations and racial/gender discrimination.	Closed Under investigation By Florida State Complaint Commission
2000-2	Preliminary Investigation: GSA Employee accused of records falsification at the advice of his Union Representative who was suddenly removed.	Closed Referred to GSA/DOJ IG
2000-3	Administrative Investigation: Union representative alleged a FLRA component was not customer oriented.	Closed Unsubstantiated by FLRA IG

## INSPECTOR GENERAL HOTLINE REQUESTS

During this reporting period, the FLRA's IG provided Inspector General Assistance for 14 Hotline Requests. Five of the fourteen requests were forwarded to other appropriate Offices of Inspectors General. Three were forwarded to appropriate FLRA Regional Offices, three were referred to established agency grievance program offices and three were closed after no documentation was received substantiating the oral complaint. A listing of these requests may be found on page 22

## OTHER OVERSIGHT ACTIVITIES

### Y2K Monitoring

Completed January 30, 2000

The FLRA Inspector General continued monitoring the Agency's Y2K progress through the new year. The FLRA first identified a need to rebuild its internal information technology infrastructure with Y2K compliant equipment in FY 97. During FY 98, the FLRA contracted for a formal assessment of all hardware and commercial off the shelf software as well as for a review of its ORACLE case tracking systems. An unplanned but required upgrade was discovered as a result of this review resulting in a larger workload and expenditures for development and maintenance during FY 98. The FLRA requested supplemental Y2K funding. The FLRA received Y2K supplemental appropriations and was required by the Office of Budget and Management to develop an agency-wide Contingency Plan. The FLRA Budget and Finance Division set up a specific accounting system for Y2K expenditures and tracked supplemental appropriated spending. The FLRA's total Y2K expenditures were \$1.4 million (1997-2000).

The FLRA maintains a wide area network which supports ten geographic locations, uses a public switched telecommunications network and leases its office space through the General Services Administration. All of these areas were potentially vulnerable to Y2K problems. The Director, Information Resource Management Division (IRM), worked with the FLRA Strategic Planning Board to produce a Business Continuity and Contingency Plan which identified each FLRA core component level business process, risk mitigation strategies and component level contingency plans to ensure that critical FLRA business processes would be uninterrupted in case of an unexpected failure. The FLRA created an agency-wide Remediation Plan. All component level plans were reviewed by the FLRA Strategic Planning Board and tested within the guidelines stated in the Government Accounting Office's August 1998 publication, Year 2000 Computing Crisis: Business Continuity and Contingency Planning. This initiative compelled total agency management involvement in Y2K compliance as all organizational components were required to assist in testing to achieve the goal of effecting normal operations on January

3, 2000.

The FLRA IRM Division developed an Day One Plan with policy and procedures, implemented and followed beginning January 1, 2000 through January 3, 2000 to minimize Y2K malfunctions even though date forward testing did not reveal any problems. Personnel designated as "emergency employees" for whom attendance was necessary on January 1, 2000 for systems testing were appropriately provided compensatory leave or overtime for the time required to be on the job. The IRM also developed a detailed Y2K Checklist completed by all employees designated to test systems on January 1, 2000. As a result of focused agency attention, the FLRA did not experience any major Y2K malfunctions and operations.

Non-Tax Delinquent Debt Follow-up

Completed January 2000

In December 1999, the FLRA's IG performed a follow-up on the reconciliation of 1998 Non-Tax Delinquent Debt. The outstanding FLRA debt was reported by the Department of Treasury as \$923.64, however, \$614.64 of this amount was recovered:

\$170.64 -Reimbursement for health benefits paid while former employee was on Leave Without Pay was credited and processed through the payroll system.

\$146.00 -American Express charge for unused non refundable ticket was not collectable and written off.

\$444.00- American Express charge for unused non refundable ticket was reimbursed by AMEX and the full amount was credited to FLRA.

\$163.00 - American Express charge for unused ticket was not collectable and written off.



## MANAGEMENT LETTERS

### 1. New

#### Personalization of Form Appeal Denial Letters

As a result of an investigation of a complaint made by a Federal employee (also a union representative) alleging that the FLRA Office of General Counsel was not customer oriented in the handling of an unfair labor practice charge and appeal, the FLRA Inspector General found the allegation unsubstantiated. The Inspector General recommended revision to the Office of General Counsel's appeal denial form letter to provide more personalization to its customers.

### 2. Followup

#### Review and Update of FLRA Regulations, Memoranda of Agreement and Authority Delegations

The FLRA Inspector General performed a follow-up on the progress of recommendations made in a Management Letter, dated April 14, 1999, for a review and an update to FLRA regulations, memoranda of agreements and authority delegations written prior to 1995 resulted in the establishment of a schedule to address the currency of these documents. On March 23, 2000, four FLRA Instructions were proposed for elimination because they were either out of date or served no purpose. Management has accepted the Inspector General's recommendation to review instructions at least once every seven years to ensure applicability of FLRA policies. An Office of the Executive Director review of FLRA memorandums of agreement/understanding, and delegations of authority verified the currency of most of the documents issued within the last seven years. Some exceptions were "situational" memorandums of understanding entered into by the FLRA and its union, the Union of Authority Employees for special circumstances. These memorandums normally did not have application subsequent to the conclusion of the special circumstance. The FLRA Inspector General recommended that the memorandums that are not active be officially closed and removed from active policy listings. The FLRA Office of the Executive Director will continue with this initiative until all policies are current.

## OTHER OVERSIGHT ACTIVITIES

### Congressional Requests

During this reporting period, the FLRA Inspector General received three Congressional requests for Inspector General action. One request resulted in the conduct of an investigation; the second involved providing information on the FLRA's website; and the third involved providing information on current investigations and Inspector General comments on the capability of the Office of Inspector General to provide optimal oversight.

### Management Controls

During this reporting period, the Inspector General briefed the Office of General Counsel's Regional Office management on the importance of effective internal management controls and the direct relationship between such controls and efficient and effective operations.

### Audit Preparation

During this reporting period, the FLRA Inspector General briefed FLRA staff and contractor personnel assigned to the Information Resource Management Division on how to prepare for and participate in an audit. This was in preparation for the upcoming audit on Computer Information Security.

### Executive Council for Integrity and Efficiency

During this reporting period, the FLRA Inspector General was one of two Executive Council for Integrity and Efficiency Inspector Generals to serve on the Presidential Counsel for Integrity and Efficiency/Executive Council for Integrity and Efficiency Strategic Planning Development Committee. This Committee developed and drafted a strategic plan proposal which was presented at the annual Inspector General Retreat on March 9 and 10, 2000. The Inspector Generals of the Federal community were asked to provide concurrence or comments by March 24, 2000 to facilitate completion of this plan.

### Source Selection Evaluation

The FLRA Inspector General led a Source Selection Evaluation Committee for the selection of contractor auditors to assist the FLRA Inspector General in the conduct of an Audit of the FLRA's Computer Information Security. The Source Selection Evaluation Committee was comprised of senior auditors from the Offices of Inspector Generals of the Amtrak Commission and the Federal Communications Commission. The Deputy of Operations and Resource Management from the FLRA Office of the General Counsel and

a student currently working in the FLRA Office of Inspector General were also on the committee. The contract should be awarded soon and audit should begin in May 2000.

Legislation Review

During this reporting period, the FLRA Inspector General received and provided comments on the following pieces of legislation:

- H.R. 305 - Office of the Inspector General Oversight Council Act of 1999
- H.R. 1827 - Government Waste Corrections Act of 2000
- S 1707 - Inspector General Act of 1999
- S 1993 - Government Information Security Act of 1999
- H.R. 436 - Government Waste, Fraud and Error Reduction Act

## SPECIFIC REPORTING REQUIREMENTS OF THE INSPECTOR GENERAL ACT OF 1978, AS AMENDED

The following provides the report page references containing the Inspector General responses, if any, to specific reporting requirements set forth in certain sections of the Inspector General Act of 1978, as amended.

Section 4(a)(2)	Review of legislation and regulations	Page 16
Section 5(a)(1)	Significant problems, abuses, and deficiencies	None
Section 5(a)(2)	Recommendations with respect to significant problems, abuses, or deficiencies	None
Section 5(a)(3)	Prior significant recommendations on which corrective action has not been completed	None
Section 5(a)(4)	Matters referred to prosecutive authorities	None
Section 5(a)(5)	Summary of instances where information was refused	None
Section 5(a)(6)	List of audit reports	Page 9
Section 5(a)(7)	Summary of significant reports	None
Section 5(a)(8)	Statistical table of reports with questioned costs	None
Section 5(a)(9)	Statistical table of reports with recommendations that funds be put to better use	None
Section 5(a)(10)	Summary of previous audit reports without management decisions	None
Section 5(a)(11)	Significant management decision revised during this period	None
Section 5(a)(12)	Significant management decision with which the Inspector General disagrees	None

**TABLE I: INSPECTOR GENERAL AUDIT REPORTS WITH QUESTIONED COSTS**

INSPECTOR GENERAL REPORTS WITH QUESTIONED COSTS	NUMBER OF REPORTS	DOLLAR VALUE	
		Questioned Costs	Unsupported Costs
A. For which no management decision has been made by the commencement of the reporting period.	0	0	0
B. Which were issued during the reporting period.	0	0	0
C. For which a management decision was made during the reporting period.	0	0	0
(I) dollar value of disallowed costs.	0	0	0
(ii) dollar value of costs not disallowed.	0	0	0
D. For which no management decision has been made by the end of the reporting period.	0	0	0

**TABLE II: INSPECTOR GENERAL AUDIT REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE**

INSPECTOR GENERAL REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE	NUMBER OF REPORTS	DOLLAR VALUE
A. For which no management decision has been made by the commencement of the reporting period.	0	0
B. Which were issued during the period.	0	0
C. For which a management decision was made during the reporting period.		
(i) dollar value of recommendations that were agreed to by management.	0	0
(ii) dollar value of recommendations that were not agreed to by management.	0	0
D. For which no management decision was made by the end of the reporting period.	0	0

## GLOSSARY

### Final Action

Completion by management of either all actions necessary to implement report recommendations or a management decision that determines no action is necessary.

### Funds Be Put To Better Use

The amount of savings estimated by the Inspector General that could be obtained by implementing report recommendations relating to more efficient management operations.

### Management Decision

A final decision made by management in response to audit report recommendations that may include actions concluded to be necessary or a determination that no action is necessary.

### Management Letter

This document brings to the attention of management any of a broad range of issues and subjects which should be addressed by management but do not require formal audit or investigation. Management letters are generally unplanned and are issued to report on situations found in conjunction with an on-going or completed audit or investigation. They may also be used to expand on previously issued audit report recommendations.

### Questioned Costs

Expenditures questioned by the Inspector General are usually due to:

- Unsupported costs, which involve inadequate documentation,
- Disallowed costs, which involve an alleged violation concurred with by Management Decision) of a law, regulation, grant, contract, or other agreement, or
- Unnecessary or unreasonable costs which involve unnecessary or wasteful spending.

## Significant Recommendations

According to Section 5(a)3 of the Inspector General Act, the Inspector General is required to follow up and report on the implementation status of all open "significant recommendations" from prior Semiannual reports. The Inspector General has defined "significant recommendations" as those that pertain to deficiencies that could result in FLRA failure to accomplish mission functions or could result in additional costs or lost funds exceeding \$5,000. During this reporting period, there were no opened significant recommendations.



**FLRA INSPECTOR GENERAL  
HOTLINE/ASSISTANCE CASE REPORT  
October 1 1999 - March 31, 2000**

During this reporting period, the following Hotline/Inspector General Assistance cases were processed through the FLRA Office of the Inspector General.

Case Number	Subject of Allegation	Status
2000-H-1	Anonymous FEMA employee alleges discrimination and management interference with investigations.	Closed Referred to FEMA OIG
2000-H-2	US Postal Service employee on disability having problems with claims.	Closed Referred to DOL OIG
2000-H-3	FLRA employee requested information on appropriate use of e-mail.	Closed
2000-H-4	Federal employee alleged mishandling of his unfair labor practice charge.	Closed
2000-H-5	Former Federal employee alleges mishandling of his unfair labor practice charge.	Closed Referred to FLRA Reg Ofc
2000-H-6	DoD employee alleges unfair personnel action and non-responsiveness of Union.	Closed Referred to FLRA Reg Ofc
2000-H-7	Spouse of FPS Officer alleges non-responsiveness of GSA OIG to complaint.	Closed
2000-H-8	DoD Commissary employee requested IG assistance and fears reprisal from management.	Closed Referred to DoD IG
2000-H-9	DoD employee/Union representative requested information on the propriety of using office space as a "condition of employment."	Closed
2000-H-10	Federal employee requested assistance and information for filing an unfair labor charge.	Closed Referred to FLRA Reg Ofc

2000-H-11	Postal Service employee requested information on payment of legal fees.	Closed Referred to US Postal Service IG
2000-H-12	National Park Service employee requested investigation into discriminatory and unlawful employment practices.	Closed Referred to Dept. Interior EEO
2000-H-13	DoD employee alleges mistreatment and discrimination by management and the Union.	Closed Referred to FLRA Regional Office
2000-H-14	Federal employee requested information on worker's compensation.	Closed Referred to DOL

FLRA INSPECTOR GENERAL  
AUDIT & MANAGEMENT CONSULTATION PROJECTS  
SUMMARY  
October 1, 1999 - March 31, 2000

<u>Subject</u>	<u>Status</u>
Audit of Computer Information Security	Open
Audit of FY 98 Financial Statements	Completed
FLRA Update of Policy, MOUs, Procedures	Continuing
Human Capital Investment	Completed
Management Review of External Affairs	Open
Non-Tax Delinquent Debt Follow-up	Completed
Y2K Implementation: Review of FLRA	Completed

FLRA INSPECTOR GENERAL  
CORRECTIVE ACTION SUMMARY  
October 1, 1999 - March 31, 2000

New Corrective Actions	10
Open Corrective Actions carried over	49
Total Open Corrective Actions	59
Total Actions Closed this period	<u>15</u>
Total to be Carried Over	44

**Report all matters involving fraud, waste, abuse or mismanagement by  
letter, telephone or e-mail**

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**INFORMATION IS CONFIDENTIAL  
CALLER/WRITER CAN BE ANONYMOUS**

However, each caller is encouraged to assist the Inspector General by supplying information as to how he or she may be contacted for additional information.

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Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<u>ROI 98-01</u> Veiled Threat/ Survey Office of Exec. Director	4/7/98	1. Conduct Lessons Learned <ul style="list-style-type: none"> <li>a. Ethics</li> <li>b. External Communications</li> <li>c. Action Officer- Management Relationships</li> <li>d. Accountable Staffing of Documents</li> <li>e. Management Oversight</li> <li>f. Safeguarding FLRA personnel &amp; property</li> <li>g. Reporting critical matters</li> </ul>	12/98	12/16/98	Closed	
		2. Create Policy for Conducting FLRA Surveys.	9/99		Closed	
		3. Conduct Annual Standards of Conduct/ Safety/Security Briefings.	11/98-01/99	12/16/98	Closed	
Y2K Management Letter Office of Exec. Director	8/21/98	1. Include a discussion of Findings and Determinations requirement in new FLRA procedure.		9/14/98	Closed	
		2. Strategically plan for upgrades to ADP based on technology advances and users need equipment as well as provide cost estimates for the life cycle replacement program & Y2K implementation; Reduce IRM program funding dependency on Central Services Fund.		2/11/98	Closed	
		3. Identify computer processes users performed or planned by Agency's computer users.		12/11/98	Closed	
		4. Perform move forward date testing for commonly used computer processes.	9/30/99	9/28/99	Closed	
		5. Use a software analyzer program to review data applications.		9/28/99	Closed	
		6. Periodically check Internet websites for information on Y2K compliance and independent test results.	12/11/98		Closed	
		7. a. Establish appropriate contingency plans for external partners that are not adequately addressed by either external party or the selected liaison.	10/99	1/15/98	Closed	
b. Establish a contingency plan for case tracking.			Closed			

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Telecommunications Audit 98-01 Office of Exec. Director	9/98	1. All agency telephone line and service feature connections and billing rates are to be documented and maintained on an automated and current basis.	9/30/99	9/28/99	Closed	
		2. Reduce the class of service for incoming trunk lines below that of outgoing trunk lines to prevent unauthorized trunk-to-trunk transfer dial out capabilities.	12/15/99	5/99	Closed	
		3. Route calls to unassigned telephone extensions or invalid numbers to a voice messaging announcement terminating the call to prevent caller potential of obtaining a dial tone.		8/31/98	Closed	
		4. Require employees to set passwords of 5 digits or more to access voice messaging system.		12/4/98	Closed	
		5. Require employees to change mailbox passwords every 6 months.	9/30/98	12 /4/98	Closed	
		6. Confirm that employees assigned new mailboxes have changed default passwords.	9/30/98	5/13/99	Closed	
		7. Periodically review the number of active mailboxes.		5/13/99	Closed	
		8. Provide Telephone Coordinator training on Merlin system.	FY1999	5/13/99	Closed	
		9. Purchase detail call reporting software for Merlin System to help identify unauthorized phone calls.	Management decision not to purchase software due to cost. Alternative control requested.	12/4/98	Closed	
		10. Review excessive incoming calls to Audix Voice Power through purchased reporting software.	Management decision not to purchase software due to cost. Alternative control requested.		Closed	
		11. Use existing telephone database as filtering process to review nature of calls.	Management decision not to implement because not cost-effective resource impact. Alternative control requested.	5/13/99	Closed	
		12. Do not renew maintenance options on the regional phone instruments and telephone cords.		9/30/98	12/4/98	Closed

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		13. Purchase a small stock of instruments and cords as replacement items for equipment breakdowns.	9/30/98	12/4/98	Closed	
		14. Establish a time table to reduce the number of Headquarters telephone line connections.	1/31/99	12/4/98	Closed	
		15. Direct IRM staff to test Internet communications to determine existing system effectiveness.	Continuing	12/4/98	Closed	
		16. Conduct feasibility study to determine the best transmission configuration to increase the effectiveness of Internet and LAN operations.	9/30/99	2/4/98	Closed	
<b>ROI 98-02</b>	6/1/98	1. FSIP/ FLRA consider merits of video-conferencing. Present to Presidentials/Chair.	8/25/98	9/3/98	Closed	
<b>Internal Review</b>		2. Revise case processing to accelerate time for asserting jurisdiction.		11/3/98	Closed	
<b>FSIP</b>		3. Sponsor task force to feasibility of centralized case tracking.	8/25/98		Holding until CCO Review completed.	
		4. Track life cycle man-hour costs of FSIP case handling.	9/30/98	12/9/98	Closed	
		5. Revise guidelines for Initial Investigation to focus on information required/issues. Document standard criteria for Initial case processing.	9/30/98	11/3/98	Closed	
		6. Create a Records Management System that complies with NARA Guidelines. Eliminate redundancy and duplication of effort in case folders.	9/30/98	11/3/98	Closed	
		7. Increase focus on FSIP awareness training for federal management and union representatives.	9/30/98	11/3/98	Closed	
		a. Charleston, SC	9/18/98			
		b. Virginia Beach, VA	11/18/98			
		8. Initiate activities/offsites to FLRA elements bond.		9/18/98	Closed	
		9. Revisit and Revise Strategic Planning.		11/3/98	Closed	



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<b>ROI 98 103</b> Rosenblatt Office of General Counsel	8/31/98	1. Customize standard form letters for denial of appeals.		12/29/98	Closed	
		2. Hold OGC managers accountable for following OGC policies and procedures.		2/29/98	Closed	
<b>I-98-34</b> CCO Intruder (FPS) Authority	8/27/98	1. Have FPS assess Westory and FLRA physical security.		12/7/98	Closed	
		2. Conduct security briefing for FLRA personnel.		12/9/98	Closed	
<b>I-99-01</b> Non-Tax Delinquent Debt (Management Letter) Office of Exec. Director Budget & Finance	10//98	1. Verify/Redefine FLRA non-tax delinquent debt on rolls of Dept. of Treasury.	2/99	10/20/98	Closed	
		2. Collect as much of outstanding debt as possible.	2/99	1/28/99	Closed	
<b>I-99-02</b> Threatening FAX (Management Letter) Office of General Counsel	12/11/99	1. Director, Denver Regional Office, meet with subject investigator to try to resolve problem.	12/31/98	12/11/99	Closed	
		2. Director, Denver Regional Office, hold staff meeting to discuss ethical and professional interfaces with customers and how to deal with difficult people.	12/31/98	1/28/99	Closed	
<b>I-99-03</b> Protection Access (Memorandum) Office of Exec. Director Information Resource Mgt.	12-10-98	1. Conduct Computer Security Assessment and revise access process, if required.	3/1/99	2/28/99	Closed	
		2. Conduct periodic systems checks to correct any problems.			Ongoing	
<b>FPS Security</b> Review Special Assessment DC0417ZZ	11/23/98	1. Hold Security Awareness Program.		11/98	Closed	
		2. Notify FPS Regional Control Center of incidents in Westory HQ facility.				
		3. Require lessor to initiate background security background checks.		3/11/99	Closed	
<b><u>NARA EVALUATION</u></b>						
<b>Records Evaluation of Federal Labor Relations Authority</b>						
<b>Section I</b>						
	July 1998	I/1 Update FLRA Regulations 1323.1 to indicate that the records management duties are currently assigned to the Director/ASD.	9/30/2001		Open	
		I/2 Require Office heads to officially designate records coordinators and ensure the RMO is provided the names of these contacts.	11/16/98	11/4/98	Closed	

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		I/3 Add the following definitions: "Unscheduled records," "temporary records," and "permanent records" and add General Records Schedules description as the NARA-approved schedules dealing with the disposition of administrative records	12/2001		Open	
		I/4 Ensure staff review and become aware of FLRA Regulation 1323.1 record management provisions.	Annually-November		Closed	
		I/5 Ensure that staff knows whom to consult about records management issues.	10/21/98	10/21/98	Closed	
		I/6(A) Ensure that the staff responsible for records management receive appropriate training.	10/98 Revised to 12/30/99	12/2/99	Closed	
		(B) Ensure records management managers are trained.	12/30/99	11/2/99	Closed	
		(C) Add records training to the Records Coordinators Individual Development Plan.	12/98	4/25/00	Closed	
		I/7 (A) Ensure professional staff are given information on records management policies and procedures.	As needed		Closed	
		(B) Ensure records are scheduled.	Annually- in conjunction with I/4. Status update 10/1/98		Closed	
		I/8 (A) Develop a self-evaluation record management checklist and distribute.	9/30/01		Open	
		(B) Conduct periodic evaluations.	Every 3 years on October 1.		Ongoing	
		(C) Ensure recommendations are being implemented.	Implement every 3 years.		Ongoing	
<b>Section II</b>		II/1 Ensure that the maintenance of records documenting agency actions, policies and procedures is current and distributed to staff.	9/2001		Open	
		II/2 (A) Review working case files retention	12/30/99 Revised 9/30/2000		Open	
		(B) Meet with Office Directors to develop retention schedules for all records not in current schedule and get recommendations for changes to current schedule.	6/30/2002		Open	

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		(C) Develop retention schedules for new new records and make changes to current schedules.	6/30/2002		Open	
		(D) Submit new schedule for Archivist's approval.	6/30/2002		Open	
		(E) Include approved schedule in updated Instruction 1323.1.	6/30/2002		Open	
		II/3 Require offices to separate temporary and permanent case files.	By the end of FY 2001.		Open	
		II/4 Ensure that photographs that are a part of a permanent case file conform with 35 CFR § 1232.	By the end of FY 2001		Open	
		II/5 Establish a Vital Records Program.	By the end of FY 2001.		Open	
		II/6 Identify vital FLRA records and enact measures to protect and update them, and ensure their availability during emergencies.	9/30/2001		Open	
		II/7 Consider the offsite maintenance/storage of copies of vital records.	9/30/2001		Open	
Section III		III/1 (A) Identify which FLRA records are not covered by records schedule or the General Record Schedules.	9/30/2001		Open	
		(B) Develop and submit to NARA proposed records schedules for unscheduled records.	9/30/2001		Open	
		(C) Schedule the electronic records system.	9/30/2001		Open	
		III/2 (A) Identify inadequately covered record series.	9/30/2001		Open	
		(B) Revise outdated descriptions of series.	9/30/2001		Open	
		III/3 Review disposition instructions for temporary and permanent record cases and modify retention period.	Same as III/2(A) & (B) above		Open	
		III/4 Review FLRA Records Control Schedule items containing permanent cases selection criteria to determine the adequacy/ applicability to records currently being created.	Same as III/2(A) & (B) above		Open	

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		III/5 Ensure that offices apply the current version of General Records Schedules to administrative records whose disposition are not covered by FLRA Records Control Schedules (N1-146-86-1).	10/21/98	10/21/99	Closed	
		III/6 Issue current FLRA Records Control Schedules and NARA's General Records Schedules as appendixes to FLRA 1323.1.	9/30/2001		Open	
		III/7 Transferring eligible publications (1979-1983) to the National Archives according to Records Control Schedules instructions.	8/99	12/3/00	Closed	
		III/8 (A) Designate a professional in each office to to apply criteria to each records series to determine if series should be considered permanent.	11/16/98	10/21/98	Closed	
		(B) Apply selection criteria before cases are retired to records center.			Ongoing	
		(C) Ensure that responsible FLRA officials examine retired record center case files that may contain permanent records and apply appropriate selection criteria.			Ongoing	
<b><u>For All Regions</u></b>						
	Recommendation 1	(A) Provide formal records management training for records management staff.	11/98	12/2/00	Closed	
		(B) Identify training for Records Coordinators and Managers.	FY 1999	1/28/99	Closed	
	Recommendation 2	(A) Use FLRA schedules criteria to identify case files that may warrant permanent retention.	3/99	1/28/99	Closed	
		(B) Segregate the files identified above and transfer them to the appropriate records center.	4/99	4/5/99	Closed	
		(C) Certify to Director ASD that (1) and (2) have been completed.	5/99	1/10/00	Closed	
<b><u>For Chicago Regions</u></b>						
	Recommendation 1	(A) Transfer the 5 Unfair Labor Practice cases to National Archives Great Lakes Region according to N1-146-86-1, Item 35a.	4/99	9/28/99	Closed	
		(B) Certify to Director ASD that (1) is complete.	5/99	9/28/99	Closed	q2

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Recommendation 2		(A) Examine Unfair Labor Practice and record cases to identify if other case files should be identified as permanent and transferred to the National Archives.	5/99	9/28/9	Closed	
		(B) Segregate the files identified above and transfer to the appropriate Records Center.	5/99	9/28/99	Closed	
		(C) Certify to ASD that (1) & (2) have been completed.	5/99	9/28/99	Closed	
Recommendation 3		Formalize the creation/maintenance/disposition of admin. records to the same extent as program records.	9/30/2001		Open	
Recommendation 4		Offer records management guidance to staff on electronic Records Management and FOIA Procedures (including E-FOIA amendments).	9/30/2001		Open	
<u>Management Letter</u> 4/19/98 <u>Instructions/MOU Updates</u>		1. Update all FLRA delegations of authority, Memoranda of Understanding and instructions to reflect current mission.	12/2000	Revised to 9/30/2000	Open	
		2. Distribute updated policy to all managers make available to all employees in one central folder on the FLRA website along with updated index.	12/2000	Plan due 12/99 Revised to 9/30/2000	Open	
GPRA Evaluation 4/24/99		1. Expand component action plans to quantify factors affecting performance and how changes in resources, cross cutting activities could affect strategic planning.	9/30/2000		Open	
		2. Incorporate guidelines for acceptable performance in component and employee work plans.	9/30/2000		Open	
		3. Establish performance measurement criteria and baseline performance standards for component and Strategic Plan.	9/30/2000		Open	
		4. Incorporate in future component action plans, GAO, OMB, OPM and IG etc. program evaluation findings and cross-cutting activities that impact mission accomplishment.	9/30/2000		Open	
		5. Address the problem of data consistency and credibility by establishing management and technology controls.	9/30/2000		Open	

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<u>Case Control Office Review</u>		1. Chair, FLRA, review, revise and update the Member's delegated authority to the Case Control Office which permits the Case Control Office to grant or deny request for exceptions and file supplemental submission, withdraw appeals, and requests to present written arguments.		1/18/2000	Closed	
		2. Director, Case Control Office, review and update Case Control Office administrative policy and internal procedures to ensure it reflects current procedures and processes. Incorporate customer communications guidance, security measures and contingency operations. Review policies and procedures every 3-5 years to ensure and maintain currency.	5/31/2000		Open	
		3. Director, Case Control Office, review current procedures and consolidate them in a procedural manual. The manual should cover standard and unique procedures for each of the type of case processed by the Case Control Office. Care should be taken to review recent changes in the Negotiability Regulations and evaluate any impact/changes in procedures. Include a case-decision distribution list.	5/31/2000		Open	
		4. Director, Case Control Office, confer with Members concerning the feasibility of incorporating statements in acknowledgment letters indicating an approximate length of time (whether statutory or merely goal-oriented) it will usually take to issue a formal decision (i.e. 180 days). If the time indicated cannot be met, a subsequent "interim" letter should be sent to the parties informing them that the timeline will not be met and provide a revised estimated completion date. This letter can be a form letter but should be personalized to the specific case.		10/6/99	Closed	
		5. Director, Case Control Office, should make multiple copies of a case file for distribution to Members (Central Team or Collaborative Alternative Dispute Resolution Office) only after the case is reviewed and deemed procedurally correct.		11/30/99	Closed	
		6. Director, Case Control Office, in his review of processes, procedures and position management structure, should appropriately examine the case tracking system administrative process and realign duties and/or simplify existing procedures.	4/28/2000 Revised to 6/30/2000		Open	

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		7. Director, Case Control Office, with guidance from the Inspector General and/or Human Resources Division, should begin to collect workload and staffing data to support future staffing requirements.	1/31/2000		Ongoing	
		8. Director, Case Control Office, expand administrative procedures to incorporate guidance on what information regarding case status and substantive materials can be revealed to the public.	5/31/2000		Open	
		9.a Director, Case Control Office, ask the Human Resource Division to conduct a position management review (including a workload-staffing analysis) to assess grade/workload structure within Case Control Office.	5/1/2000		Open	
		9.b Director, Case Control Office, work with the Director, Personnel and other appropriate Agency managers, to create a developmental Program for administrative support staff (internal (within the Authority, General Counsel and Federal Service Impasses Panel) and external(i.e. National Labor Relations Board, Merit System Protection Board, Equal Employment Opportunity, etc.) The program should create upward mobility structures for junior personnel that would support employee development and sensible use of resources.	9/30/2000		Open	
		10. Director, Case Control Office, implement procedures to safeguard sensitive information by securing tickler system formal files containing sensitive information and other case files in a locked container (the Locktriever or file cabinet with locks or something comparable) at the end of the day to prevent after-hours access.		10/29/99	Closed	
		11. Director, Case Control Office, work with other Authority management to address performance goals in the FY 99 Strategic Plan.		10/6/99	Closed	
		12. Director, Case Control Office, continue working with management in the Authority and Information Resources Management to capture statistics truly representative of the Authority and Case Control Office case control process, using factors such as: -Date received in Case Control Office for in-processing -Dates held in abeyance in Case Control Office -Date Procedural Review completed -Date case dismissed or withdrawn by parties -Date forwarded to Screening Committee -Date assigned to Members' Offices/Central Team/CADRO -Date held in abeyance in Members Office -Date assigned to case writer -Date forwarded to deciding Member		1/31/2000	Closed	

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		-Date forwarded to other Members -Date decision rendered -Date received in Case Control Office for out-processing -Date decision released -Date case closed				
		13.a Director, Case Control Office, continue working with the Director of Information Resource Management to find a viable way to achieve the WordPerfect 6.1 user-friendly research/find capability that the WordPerfect 8.0 program lacks.	4/7/2000 Revised to 5/15/2000		Open	
		13.b Director, Case Control Office, continue working with Information Resource Management Division to incorporate some of the "critical programming" from the 6.1 system into the 8.0 system. Consult with WordPerfect contractor principals to determine if customized programming is possible.	4/7/2000 Revised to 5/15/2000		Open	
		14. Director, Case Control Office, document manual case-tracking to provide documented internal procedures for Year 2000 contingency planning.			Open	
		15. Director, Case Control Office, create a plan that would ensure that historical as well as current data is quickly entered in the new Case Tracking System.		5/4/99	Closed	
		16. Director, Case Control Office, continue maintaining an ongoing list of the problems staff encounters when using the new Case Tracking System and provide the list to the Director, Information Resource Management for correction.		9/30/99	Closed	
		17. Director, Case Control Office, continue consulting with Information Resource Management Division to address the hardware/software problems in Case Control Office that are affecting the Office's ability to perform its duties.		1/14/2000	Closed	
		18. Director, Case Control Office, and Authority Management, in conjunction with Information Resource Management, should explore the feasibility of centralizing case-tracking within the Authority with read-only access for Authority offices not responsible for initial data entry but with the capacity of adding data on their own system to address their additional and unique requirements.		2/25/2000	Closed	
		19. Director, Case Control Office, check all case files prepared in the Case Control Office prior to release to ensure that draft orders are appropriately written and that procedural determinations are correct.		9/30/99	Closed	



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		<p>The Screening Committee should also render a "quality check" so that documentation sent to Members Offices, the Central Team or Collaborative Alternative Dispute Resolution Office conforms with defined requirements.</p>				
		<p>20. Director, Case Control Office review customer suggestions listed below and incorporate in case processing procedures, as appropriate</p> <p>A. -Case files should always include the telephone numbers of both parties.  -Case files would be easier to use if the pleadings were filed sequentially.</p> <p>B. Complex procedural reviews (interlocutory, jurisdictional, etc.) should be done by or in conjunction with case writers who are more apt to catch legal nuances.</p> <p>C. Member Office case decisions should not be transferred to the L Drive (and Case Control Office) until comments or concurrences from the other two Members have been received and incorporated into the final Decision Order.</p> <p>D. The Members' case retirement system and that of the Case Control Office should not differ even though the former deals with copies and the latter deals with originals.</p> <p>E. More care must be rendered to ensure the accuracy of references and citations and not to issue final documents containing typographical errors.</p> <p>F. Provide access to case summaries to case writers and chief counsels. It would also be helpful if case summaries were made part of the Individual case files.</p> <p>G. Automate a chronology listing of Authority Decisions accessible through Media Flash or similar program.</p> <p>H. Notify General Counsel when decisions on ULP appeals are issued.</p>		10/6/99	Closed	

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<u>OPM Review of FLRA Human Resource Program</u>	July 1999					
		1. Conduct an internal audit of delegated examining activities no later than April 30, 2000, using non -FLRA DEU staff.	4/30/2000	3/27/00	Closed	
		2. Develop Performance indicators to measure HR progress.	9/30/2000		Open	
		3. Establish an Accountability System to assess management utilization of human resources.	10/31/2001		Open	
		4. Establish methodology to evaluate recruitment strategies.		6/99	Closed	
		5. Devise a strategy to increase employment of veterans.		6/99	Closed	
		6. Ensure the integrity of the student hiring program by requiring documentation that student has been accepted for or is enrolled in an appropriate school and is taking at least a half-time course load.		9/28/99	Closed	
		7. Review work and family programs and relationship to productivity, morale and retention.		9/28/99	Closed	
		8. Study quality of performance feedback and provide strategies for ensuring sufficient quality performance feedback is provided to employees.	9/30/2000		Open	
		9. Evaluate and improve strategies for dealing with poor performers.	9/30/2000		Open	
<u>Audit of FY 98 Financial Statements 99-01</u>						
		1. Transition current accounting records process to an accrual basis for at least end of year data to conform with the intent of Federal accounting principles as promulgated by OMB 97-01.		8/26/99	Closed	
		2. Explore using the Department of Treasury's Financial Management Service to assist in bringing FLRA's general ledger into compliance with the Standard General Ledger Committee's cross-walks for financial reports guidance. FLRA's BFD has been aware of this problem and has been working on rectifying it.		3/28/2000	Closed	

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		3. Review year-end adjustments to ensure that there is a financing source recorded for every funded expense. Ensure that all manual adjustment are reflected in the year-end general ledger to maintain consistency among year end reports.		9/28/99	Closed	
		4. Set up an accrual end-year for the amount due to the Department of Labor's Employment Standard Administration for FECA charges.		9/28/99	Closed	
		5. Create an accounts payable Subsidiary Ledger to support Accounts Payable balance at year end with sufficient detail.		8/26/99	Closed	
		6. Review and enhance the FLRA Accounting Manual to reflect specific B&FD duties.	9/30/2000		Open	
		7. Institute procedures so that the Statement of Transaction Report (FMS 224) is reviewed before submission either by the Accounting Officer or Executive Director.		9/28/99	Closed	
		8. Provide detail by major object class, e.g. payroll, travel, etc. for Proprietary Account Number 6100.	Accounting costs prohibitive	8/26/99	Closed	
		9. Provide Administrative Services Center in Denver with FLRA written procedures for travel orders and vouchers.		9/28/99	Closed	
		10. Provide the Administrative Services Center in Denver with a current list of those FLRA personnel qualified to authorize travel orders and vouchers. at a minimum, this list should be updated annually.	10/31/99	11/23/99	Closed	
		11. Instruct Payroll Operations Division in Denver to reconcile Annual Leave Accrual Summary Reports.		9/28/99	Closed	
		12. Review all current personnel files to ensure payroll, leave and benefits information is correct and reconciles with that which is maintained by the Denver Payroll Operations Division and take appropriate action to reconcile any overpayments or under- payments found. The results of this effort should be specifically reported to the FLRA Inspector General.	5/30/2000 Revised to 12/31/2000		Open	
		13. Maintain sufficient documentation to assist in monitoring costs being billed to the FLRA by the General Services Administration.	Unable to comply due to GSA billing procedures	8/26/99	Closed	
		14. Review, update, and revise as necessary, FLRA	9/30/2000		Open	

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		Regulation 2301.1, Financial Management Systems to reflect contemporary policy, including a requirement for a documented yearly review of financial management systems by the Executive Director and audits of financial management system by the Executive Director and audits of financial statements by an independent source not more than every three years (for the three year period).				
<u>Management Letter to OGC 1/10/00</u>		1. Personalize unfair labor practice charge and appeal dismissals to enhance customer service.	2/15/00		Closed	
<u>00-01 Review of Human Capital Investment</u>	2/2000	1. a. Conduct exit interviews to provide annual data on the reasons employees leave FLRA.		FY 2001 In progress	Open	
		b. FLRA Partnership Council research and develop employment retention Incentives.		FY 2001 In progress	Open	
		2. Review work requirements for entry level and journey level attorneys to validate grade levels.		7/31/2000	Open	
		3. Budget 3% of yearly appropriation for employee training, require IDPs and discussions of training with supervisors and peers to get maximum return on training investments.		Management non concurrence		
		4. a. Revitalize Upward Mobility Program for development of administrative support, para-professional and clerical personnel.		12/2000	Open	
		b. As vacancies occur, designate 2 positions for the Upward Mobility Program and open to all FLRA employees.		12/2000	Open	
		5. a. Educate supervisors on obligations and responsibilities in personnel management and performance appraisals.		9/30/2000	Ongoing	
		b. Ensure that all first line supervisors have a human resource performance element and are rated on their supervisory performance and mentorship as well as technical elements.		6/30/2000	Open	
		c. Plan activities, seminars, offsites fostering communication between employees and management.		FY 2001	Open	151

Federal Labor Relations Authority  
Office of the Inspector General  
CORRECTIVE ACTION STATUS  
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		6. Develop internal technical orientations for new employees at the organizational element level and provide to new employees prior to initial major workload assignments.		FY 2001	Open	
		7. Conduct position management reviews and workload analysis on vacated positions prior to rehiring and conduct workload analysis of all organizations to ensure grade levels, classification and allocations support reoccurring mission essential workload.	Management <u>considers</u> budget resource submissions an alternative to workload analysis/position management. Further discussions by OIG/management.		Pending	
		8. a. Require all managers/supervisors to acquire training in contemporary management skills and human resource management within 3 months of acceptance of a management/supervisory position. All current managers/supervisors will obtain this training within 6 months of the issuance of this report.  b. Sponsor periodic management meetings; invite community speakers knowledgeable in contemporary human resource matters, behavior science and federal management practices to enhance FLRA management/supervisors perspectives.				
		9. Provide employees with more health and security information and implement an Agency-wide preventative Violence in the Workplace program.		5/2001	Ongoing	
		10. UAE/FLRA review/revise, or cancel, as appropriate MOUs executed prior to and including 1995.		9/30/2000	Open	167

