



**America the Beautiful**

**FEDERAL LABOR RELATIONS AUTHORITY**

**OFFICE OF INSPECTOR GENERAL**

**SEMIANNUAL REPORT  
TO THE CONGRESS**

**October 2, 2001 to  
March 31, 2002**

## EXECUTIVE SUMMARY

This is the 26<sup>th</sup> 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 for the period of October 1, 2001 - March 31, 2002.

During this reporting period, the FLRA Inspector General processed 23 Hotline calls and nine investigations, and completed an audit on Simplified Acquisitions and the Imprest Fund. During this reporting period, the FLRA Inspector General also completed assessments of FLRA's Government Information Security Reform Act submission to OMB and FLRA's handling of social security numbers, and monitored the FLRA's actions related to debt collection. In February 2002, the FLRA Inspector General began an audit of FLRA's financial reports from FY 1999 to 2001, Central Services Fund, and budget formulation process, a FLRA management work analysis and a review of FLRA's compliance with the President's Management Agenda Government-wide Standards. During this reporting period, the FLRA Inspector General responded to 1 Congressional Request and two Freedom of Information Act requests mailed directly to the Inspector General. The FLRA Inspector General continues to actively participate in the Presidential Council for Integrity and Efficiency/Executive Council for Integrity and Efficiency (PCIE/ECIE).

During this reporting period, there were no critical mission impacting findings or significant outstanding corrective actions from previous oversight initiatives. As a result of the FLRA's Inspector General's oversight activities, FLRA management continues to focus on timely implementation of corrective actions to improve the efficiency and effectiveness of FLRA programs and use of resources. Eight major corrective actions were completed by management during this reporting period.

## 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 (The Statute), section 7105, 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 is "three agencies in one," fulfilling statutory responsibilities through its three primary operational components – the Authority, the Office of General Counsel and the Federal Service Impasses Panel. The FLRA 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 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. In addition, consistent with its statutory responsibility to provide leadership in establishing policies and guidance to participants in the Federal labor-management relations program, and as part of the Collaboration and Alternative Dispute Resolution (CADR) Program described below, 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 ULPs. In addition, ALJs issue decisions involving applications for attorney fees and files 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 ALJ's 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 conduct pre-hearing conferences in all ULP cases.

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

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

***Office of the Inspector General:*** The Office of the Inspector General is responsible for directing and carrying out audits and investigations 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:*** 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 serve 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, to ensure compliance with all ULP orders issued by the Authority. The regional offices also receive and process representation petitions, and provide facilitation, intervention, training, and education services to the parties. The General Counsel reviews all appeals of a Regional Director's decision not to issue a ULP complaint and establishes policies and procedures for processing ULP charges.

***The Federal Service Impasses Panel:*** 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 Statute and the Federal Employees Flexible and Compressed Work Schedules Act. If bargaining between the parties, followed by mediation assistance, proves 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 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, and the Departments of State, Agriculture and Commerce. The Board is composed of three Members, including the Chairman of the Authority who appoints the other two Members, who serve on a part-time basis. The Chairman of the Authority also serves as Chairman 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 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 Chairman 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's headquarters is located in Washington, D.C. The FLRA maintains regional offices in Atlanta, Boston, Chicago, Dallas, Denver, San Francisco, and Washington, D.C. The FLRA has 215 full-time equivalents (FTE's), and an appropriation of \$26,524,000.00

## 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. Provide high quality services that timely resolve disputes in the Federal labor-management relations community.
2. Use and promote alternative methods of resolving and avoiding disputes and provide services to enhance labor-management relationships.
3. Develop, manage and utilize the FLRA's internal systems and processes to meet program needs.
4. Develop, manage and utilize the FLRA's human resources 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, and the Inspector General Act of 1978. The Inspector General reports directly to the FLRA Chairman. 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 and 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 the progress of corrective action.

The Inspector General's Office is currently staffed with one full time Inspector General. Previous budget constraints and prior Agency strategic planning resulted in one person having oversight responsibility for all of the FLRA's programs, operations, and use of resources. Currently, the Inspector General is administratively assisted by an American 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 the Inspector General has been allocated funding totaling \$222,500.00 for FY 2002. Excluding salaries and benefits, the operational portion of this allocation is \$78,500.

## OFFICE OF INSPECTOR GENERAL MISSION STATEMENT

The mission of the FLRA Office of Inspector General is to provide FLRA leadership, along with an independent and objective assessment of the organization's efficiency and effectiveness. This is accomplished through proactive 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 as follows:

- 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 objectives 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 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 audits were performed by the Office of the Inspector General:

**Audit of FLRA's Simplified Acquisitions and Imprest Fund** **Closed**

During this reporting period, the FLRA Inspector General, and a contracted auditor completed the audit of the FLRA's Simplified Acquisitions (small purchases) and Imprest Fund. The objective of this audit was to assess whether the FLRA's simplified acquisition process and Imprest Fund management were in compliance with Federal regulations and were operating in an efficient and cost effective manner. The audit covered Fiscal Years 1999, 2000 and 2001. The Audit included a risk assessment and evaluation of internal management controls as well as policies, procedures and processes used by the FLRA for small purchases throughout the entire organization.

The audit assessed the fund replenishment, reconciliation, and imprest transactions of the Agency's Imprest Fund and affirmed a previous FLRA Inspector General Management Letter that an alternative process for this fund was required. <sup>1/</sup> The audit revealed that the FLRA did not have an electronic procurement system and still used a manual procurement system which is not an efficient process. It also revealed that there was no mechanism in place for contract appeals as required by Title 41, Section 607 (c).

The audit revealed a very narrow use of government purchase cards and recommended a broader implementation of micro-purchasing using government purchase cards and blanket purchases orders. The audit also revealed incomplete procurement files, the lack of knowledge of simplified acquisition procedures by actual requisitioners, and the need for the FLRA to establish a Small Business Program.

**Audit of FLRA's Financial Reports, Central Services Fund, and Budget Formulation Process for Fiscal Years 1999, 2000, and 2001.** **In progress**

During this reporting period, the FLRA Inspector General commenced an audit of the FLRA's FY 1999, 2000, and 2001 Financial Reports, Central Services Fund, and Budget

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<sup>1/</sup> At the time of the completion of this audit (November 2002) the FLRA had not yet eliminated its Imprest Fund. An alternative mechanism has been implemented.



Formulation Process. The objective of this audit is to ensure that FLRA's financial management process is being performed in compliance with Federal requirements; that the Central Services Fund is being used appropriately; and that the budget formulation process is being conducted in a manner that benefits the agency and can be developed to comply with the President's Management Agenda requirements. This audit will include a working plan for management to consider using for the involvement and integration of performance with the FLRA budget process.

## **INTERNAL REVIEWS**

### **Assessment of FLRA's Use of Social Security Numbers**

**Closed**

During this reporting period, the FLRA Inspector General conducted an assessment of the current FLRA use and protection of social security number data. This assessment revealed that FLRA was in compliance with Title 5 U.S.C. 552 and does not provide social security numbers to the general public nor to FLRA employees who do not have the "need to know." Currently, the FLRA has no programs or documents other than personnel and payroll data that have social security numbers listed. When personnel and /or payroll reports are requested by and provided to FLRA management, the FLRA Human Resources Division includes a note that the information is "confidential" and should be stored in a locked facility. The assessment revealed that the FLRA handled its Federal employees (does not retain contractor social security numbers) in a proper manner and has implemented and maintained sufficient management controls to protect social security number confidentiality.

### **Review of FLRA's 2001 Government Information Security Reform Act Submission**

**Continuing**

The FLRA Inspector General provided FLRA management an assessment of the FLRA's implementation of the requirements of the Government Information Security Reform Act during the last reporting period. This assessment was based on the results of a comprehensive Inspector General audit on Computer Information Security (2001) and an assessment of current progress in implementing Inspector General recommended corrective actions. The FLRA Inspector General addressed OMB reporting requirements 3. to 10. The Inspector General Summary indicated that while the FLRA had no material weaknesses in its information security program, there were substantial vulnerabilities which could deter the FLRA from evolving smoothly and in a timely manner to E-government compliance. The FLRA Inspector General affirmed that FLRA management was now focusing on its entire security program and that progress was being made. The FLRA Inspector General assessment along with information provided by the Chief Information Officer, provided the baseline for the FLRA's Information Security Work Plan required by the Government Information Security Reform Act. This information was submitted to the Office of Management and Budget in February 2002.

**Follow-up of FLRA's Debt Collection**

**Continuing**

During this reporting period, the FLRA Inspector General performed a follow-up on review actions taken as a result of the Inspector General's FY 2001 review of FLRA debt collection which revealed a significant amount of overpayments to employees, the collection of which had never been pursued. The amount identified by the Inspector General approximated \$24,000.00 over a 12 year period. The current Inspector General follow-up revealed that approximately \$13,363.00 has been collected and that the Human Resource Division is actively focusing on collection and internal procedures to prevent reoccurrence in the future.

**Work Analysis of FLRA's Management Positions**

**In progress**

In an effort to ensure that the FLRA is in compliance with the President's Management Agenda, which promotes the astute use of resources and the elimination of excessive management layering, the FLRA Chairman, requested that the FLRA Inspector General conduct a comprehensive work analysis of the FLRA's management positions. This analysis was started in February, 2002 and is still in progress. The analysis includes an independent review of each FLRA component and organizational sub-component mission and supporting structure, its program, and supervisory management positions, as well as an assessment of management functions, tasks, and accomplishments. One of the objectives of this analysis is to determine the validity of the Agency's management positions, to identify areas of excessive management positions, and to provide recommendations for the future consolidation of appropriate management positions at an Agency oriented level to eliminate redundancies and maximize the benefits of the FLRA's human capital.

**EXTERNAL AUDITS**

**PCIE/ECIE Peer Review**

**Closed**

The Inspector General of the National Endowment of the Arts commenced a Peer Review of the FLRA Inspector General Audit Program in March, 2002.

**OTHER OVERSIGHT ACTIVITIES**

**Consultation: FLRA Security Program**

**Continuing**

As a result of several previous FLRA Inspector General findings and recommendations and the critical events that occurred on September 11, 2001 and its aftermath, FLRA management immediately prioritized the Agency's security program. Under the direction of the FLRA Chairman, an FLRA Coordinating Committee on Emergency Preparedness was established to address a wide range of security and emergency preparedness issues including:

- Revision of the FLRA "Security Program Instruction;
- Coordination of FLRA Headquarters Occupant Emergency Plan with other Federal tenants in the Westory Building;
- Review of Regional Offices' Occupant Emergency Plans
- Creation of an Employee Handbook addressing emergency preparedness issues;
- Researching and recommending security related briefings and training opportunities;
- Coordination of unified communication vehicle for security and emergency notices; and
- Undertaking or participating in security related issues, as necessary.

The FLRA Inspector General serves as a consultant to management and reviews the Committee's products prior to submission to the Chairman to ensure compliance with existing Federal security regulations and practices.

### **Security Investigations**

#### **Missing Government Vehicle**

**Closed**

During this reporting period, a security issue arose at the FLRA involving the disappearance of a government vehicle from an employee's residence parking lot. A regional office attorney was authorized to take the government vehicle to his residence and keep it there overnight so that he could drive to and attend an early morning meeting. The employee locked his laptop computer in the car trunk. In the morning, the employee discovered that the car was missing. The incident was immediately reported to the FLRA Security Officer and turned over to the Federal Protective Service. The car was found by the Maryland police and turned over to the GSA Fleet Management for repairs. The laptop was recovered.

#### **Threats**

**Closed**

During this reporting period, the FLRA Office of the General Counsel and one of its regional offices received general threatening documents from two parties who had filed unfair labor practice charges. While these documents contained no direct threats, the content of these documents were highly abnormal. These two cases were turned over to the Federal Protective Service.

### **Congressional Requests**

During this reporting period, the FLRA Inspector General received a letter from the Honorable Charles E. Grassley, United States Senate Committee on Finance, requesting information regarding the FLRA'S policy and controls for assuring the FLRA's proper use of government accounts and cards and an evaluation of the Smart Pay Program. This information was provided to Senator Grassley on October 4, 2001.

### **Freedom of Information Requests**

During this reporting period, the FLRA received and responded to two Freedom of Information Requests sent directly to the FLRA Office of the Inspector General.

### **Review of Legislation**

During this reporting period, the FLRA Inspector General received and provided comments or information on the following legislation, policy and reports:

FLRA Instruction 3890, Reasonable Accommodation

FLRA Instruction 3860, Professional Liability Insurance

FLRA Draft Instruction Personnel Security and Suitability Program

FLRA Draft Instruction Federal Career Intern Program

FLRA Instruction 1740.2, Use of Government Long Distance Telephone Service

FLRA Draft Instruction The Use and Maintenance of the Convenience Check Reimbursement Fund

FLRA Instruction Travel Program

### **Continuing Education**

During this reporting period, the FLRA Inspector General attended several Price Waterhouse Government Business discussions and an OMB sponsored conference on implementing The President's Management Agenda.

**Presidential Council of Integrity and Efficiency/Executive Council of Integrity and Efficiency (PCIE/ECIE)**

The FLRA Inspector General continues to actively participate in the Executive Council of Integrity and Efficiency and PCIE/ECIE activities.

**INVESTIGATION ACTIVITY**

During this reporting period, the Inspector General received and conducted seven administrative investigations, four of which have been completed:

<b><u>Case Number</u></b>	<b><u>Subject / Allegation</u></b>	<b><u>Status</u></b>
2002-I-05	Improper management of case processing	Closed
2002-I-09	Improper handling of ULP	Holding
2002-I-10	ULP appeal request with general threat	Closed
2002-I-11	ULP charging party picture threat e-mail	Closed
2002-I-21	Abusive verbal treatment	Closed
2002-I-23	Improper work ethics	Open
2002-I-24	Uncomfortable work environment	Open
2002-I-31	Harassment and unfair treatment	Open
2002-I-32	Failure of attorney to respond to ULP party	Open

## INSPECTOR GENERAL HOTLINE REQUESTS

During this reporting period, the following Hotline/Inspector General Assistance requests were processed through the FLRA Office of the Inspector General. The majority of Hotline requests received were not within the authority of the FLRA Inspector General to handle and were referred to the appropriate organizations.

<u>Case Number</u>	<u>Subject of Allegation/Assistance</u>	<u>Action</u>
2002-H-01	Open ULP case processing	Referred to FLRA Regional Office
2002-H-02	Private sector Union representatives engaged in "chemical activities"	Referred to Department of Labor Inspector General
2002-H-03	Private sector employee had questions about overtime	Referred to Department of Labor
2002-H-04	Safety problems at Federal Agency	Referred to Internal Revenue Inspector General
2002-H-05	Job loss caused by improper union representation	Referred to FLRA Regional Office
2002-H-07	Job loss caused by inquiry into union membership	Referred to FLRA Regional Office
2002-H-08	Retaliation by employer	Referred to Office of Special Counsel
2002-H-12	Discrimination because of use of annual leave	Referred to EEOC
2002-H-13	Work overload causing depression	Referred to U.S. Postal Service Inspector General
2002-H-14	Violation of Whistleblower Act	Referred to Office of Special Counsel
2002-H-15	Information on Family Medical Act application to private sector	Referred to Department of Labor

<b><u>Case Number</u></b>	<b><u>Subject of Allegation/Assistance</u></b>	<b><u>Action</u></b>
2002-H-16	Advice on filing ULP, EEO appeal or IG complaint	Referred to FLRA Regional Office, EEO, or USDA Inspector General
2002-H-17	Private sector hostile work environment	Referred to Department of Labor
2002-H-18	Disabled Federal employee complaint against OWCP compensation processing	Referred to Department of Labor Inspector General
2002-H-19	Alleged improper activity by 2 Federal agencies	Referred to Department of State and U.S. Postal Service Inspector Generals
2002-H-20	Improper distribution of payment voucher to supervisor	Referred to Department of Labor Human Resources and/or Union representatives
2002-H-22	Abusive treatment by supervisor	Referred to U.S. Postal Service Inspector General
2002-H-25	EEO complaint appeal	Referred to Equal Employment Opportunity Commission Inspector General
2002-H-26	Loss of job due to refusal to testify against peer	Referred to Department of Labor
2002-H-27	Federal OIG employee requested advice concerning the structure of his position	Referred to Department of Labor Human Resources
2002-H-28	Private sector employee alleges employer misuse	Referred to Social Security Administration Inspector General
2002-H-29	Citizen alleges fraudulent compensation claim bus driver	Referred to state level Department of Labor and Education

<u>Case Number</u>	<u>Subject of Allegation/Assistance</u>	<u>Action</u>
2002-H-30	Former Federal employee alleges mistreatment by military manager	Referred to Department of Navy Inspector General

**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.

<b>Section 4(a)(2)</b> Review of legislation and regulations.	Page 11
<b>Section 5(a)(1)</b> Significant problems, abuses, and deficiencies.	None
<b>Section 5(a)(2)</b> Recommendations with respect to significant problems, abuses, or deficiencies.	None
<b>Section 5(a)(3)</b> Prior significant recommendations on which corrective action has not been completed.	None
<b>Section 5(a)(4)</b> Matters referred to prosecutorial authorities.	None
<b>Section 5(a)(5)</b> Summary of instances where information was refused.	None
<b>Section 5(a)(6)</b> List of audit reports.	Page 7
<b>Section 5(a)(7)</b> Summary of significant reports.	None
<b>Section 5(a)(8)</b> Statistical table of reports with questioned costs.	None
<b>Section 5(a)(9)</b> Statistical table of reports with recommendations that funds be put to better use.	None
<b>Section 5(a)(10)</b> Summary of previous audit reports without management decisions.	None
<b>Section 5(a)(11)</b> 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.		
B. Which were issued during the reporting period.	0	0
C. For which a management decision was made during the reporting period.	0	0
(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
	0	0

**FLRA INSPECTOR GENERAL  
AUDIT & MANAGEMENT CONSULTATION PROJECTS  
SUMMARY  
October 1, 2001- March 31, 2002**

<b><u>Subject</u></b>	<b><u>Status</u></b>
Follow-up of FLRA's Debt Collection Process	Continuing
Audit of FLRA's Simplified Acquisitions and Imprest Fund	Completed
Audit of FLRA Financial Reports, Central Services Fund and Budget Formulation Process	Open
Workload Analysis of FLRA Management Positions	Open
Evaluation of FLRA's Use of Social Security Numbers	Closed
Evaluation of FLRA's Compliance with the President's Management Agenda Government Wide Standards	Open
Review of FLRA's 2001 Government Information Security Reform Act Submission	Continuing

**FLRA INSPECTOR GENERAL  
CORRECTIVE ACTION SUMMARY  
October 1, 2001 - March 31, 2002**

New Corrective Actions	15
Open Corrective Actions Carried Over	56
Total Actions Closed This Period	8
Total to be Carried Over	65

## **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. These letters may also be used to expand on previously issued audit report recommendations.

### **Questioned Costs**

Expenditures questioned by the Inspector General are usually due to the following:

- Unsupported costs, which involve inadequate documentation;
- Disallowed costs, which involve an alleged violation concurred with by Managements Decision of a law, regulation, grant, contract, or another 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.

Federal Labor Relations Authority  
Office of the Inspector General  
CORRECTIVE ACTION STATUS

April 1, 2002

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 a. Ethics b. External Communications c. Action Officer- Management Relationships d. Accountable Staffing of Documents e. Management Oversight f. Safeguarding FLRA personnel & property g. Reporting critical matter.	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 fund 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.	Management decision not to purchase software but to review with trained specialists. Completion date to be provided by 2/18/99.	9/28/99	Closed	
		6. Periodically check Internet websites for information on Y2K compliance and independent test results.	12/11/98		Closed	

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		7a. 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	
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 un-authorized phone calls.	Management decision not to purchase software due to cost. Alternative control requested.	12/4/98	Closed	



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		10. Review excessive incoming calls to Audix Voice Power through purchasing 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	
		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 operation.	9/30/99	2/4/98	Closed	
<u>ROI 98-02</u> Internal Review FSIP	6/1/98	1. FSIP/ FLRA consider merits of video-conferencing Present to Presidentials/Chair.	8/25/98	9/3/98	Closed	
		2. Revise case processing to accelerate time for asserting jurisdiction.		11/3/98	Closed	
		3. Sponsor task force to address feasibility of centralized case tracking.	8/25/98	1/2001	Closed	
		4. Track life cycle man-hour cost of FSIP case handling.	9/30/98	12/9/98	Closed	

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		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	
<u>ROI 98 103</u> 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	
<u>I-98-34</u> CCO Intruder (FPS) Authority	8/27/98	1. Have FPS access Westory and FLRA physical security.		12/7/98	Closed	
		2. Conduct security briefing for FLRA personnel.		12/9/98	Closed	
<u>I-99-01</u> 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	

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<u>I-99-02</u> Threatening FAX Thompson (Management Letter) Office of General Counsel	12/11/99	1. Director, Denver Regional Office, meet with subject investigator to try and 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	
<u>I-99-03</u> Protection Access (Memorandum)	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		Closed	
FPS Security 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	
<u>NARA EVALUATION</u>						
Records Evaluation of Federal Labor Relations Authority						
Section I						
	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 Revised 9/3/2001	5/7/99	Closed	
		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	
		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.	By the end of FY 2001.	1/28/99	Closed	

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		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.	0/21/98	0/21/99	Closed	
		I/6 (A) Ensure that the staff responsible for records management receive appropriate training.	10/98	12/31/99	Closed	
		(B) Ensure records management managers are trained.	2/30/99	11/2/99	Closed	
		(C) Add records training to the Records Coordinators Individual Development Plan.	12/98	4/1/2000	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.	11/1/2001	4/29/02	Closed	
		(B) Conduct periodic evaluations.	Every 3 years on October 1.		Ongoing	
		(C) Ensure recommendations are being implemented.	Implement every 3 years.		Ongoing	
Section II		II/1 Ensure that the maintenance of records documenting agency actions, policies and procedures is current and distributed to staff.	9/2002 Revised		Open	
		II/2 (A) Review working case files retention.	2/30/99	9/30/01	Closed	
		(B) Meet with Office Directors to develop retention schedules for all records not in current schedule and get recommendations for changes to current schedule.	9/30/2002 Revised		Open	
		(C) Develop retention schedules for new records and make changes to current schedules.	9/30/2002 Revised		Open	

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		(D) Submit new schedule for Archivist's approval.	9/30/2002 Revised		Open	
		(E) Include approved schedule in updated Instruction 1323.1.	9/30/2002 Revised		Open	
		II/3 Require offices to separate temporary and permanent case files.	9/30/ 2001	5/17/99	Closed	
		II/4 Ensure that photographs that are a part of a permanent case file conform with 35 CFR § 1232.	9/30/2002 Revised		Open	
		II/5 Establish a Vital Records Program.	9/30/2002 Revised		Open	
		II/6 Identify vital FLRA records and enact measures to protect and update them, and ensure their availability during emergencies.	9/30/2002 Revised		Open	
		II/7 Consider the offsite maintenance/storage of copies of vital records.	9/30/2002 Revised		Open	
Section III		III/1 (A) Identify which FLRA records are not covered by records schedule or the General Record Schedules.	9/30/2002 Revised		Open	
		(B) Develop and submit to NARA proposed records schedules for unscheduled records.	9/30/2002 Revised		Open	
		(C) Schedule the electronic records system.	9/30/2002 Revised		Open	
		III/2 (A) Identify inadequately covered record series.	9/30/2002 Revised		Open	
		(B) Revise outdated descriptions of series.	9/30/2002 Revised.		Open	
		III/3 Review disposition instructions for temporary and permanent record cases and modify retention period.	Same as III/2(A) & (B) above Revised 9/30/2002		Open	

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		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 Revised 9/30/2002	Open	
		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 NARA's General Records Schedules as appendices to FLRA 1323.1.	Revised		Open	
		III/7 Transferring eligible publications (1979-1983) to the National Archives according to Records Control Schedules instructions.	10/31/99	12/3/00	Closed	
		III/8 (A) Designate a professional in each office to apply records series criteria to each to determine if series considered permanent.	11/16/98	10/21/98	Closed	
		(B) Apply selection criteria before cases are retired to records center.	9/30/2001	2/6/01	Closed	
		(C) Ensure that responsible FLRA officials examine retired record center case files that may contain permanent records and apply appropriate selection criteria.		2/6/2000	Closed	
<u>For All Regions</u>						
Recommendation 1		(A) Provide formal records management training for records management staff.	12/31/99	12/2/00	Closed	
		(B) Identify training for Records	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.	12/31/99	1/10/00	Closed	

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<b><u>For Chicago Regions</u></b>						
<b>Recommendation 1</b>		(A) Transfer the 5 Unfair Labor Practice cases to National Archives Great Lakes Region according to N1-146-86-1, Item 35a.	10/01/99	9/28/99	Closed	
		(B) Certify to Director ASD that (1) is complete.	10/01/99	9/28/99	Closed	
<b>Recommendation 2</b>		(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.	10/01/99	9/28/9	Closed	
		(B) Segregate the files identified above and transfer to the appropriate Records Center.	10/01/99	9/28/99	Closed	
		(C) Certify to ASD that (1) & (2) have been completed.	5/99	9/28/99	Closed	
<b>Recommendation 3</b>		Formalize the creation/maintenance/disposition of admin. records to the same extent as program records.	9/30/2002 Revised		Open	
<b>Recommendation 4</b>		Offer records management guidance to staff on electronic Records Management and FOIA procedures (including E-FOIA amendments).	9/30/2002 Revised		Open	
<b><u>Management Letter</u> 4/19/98 Instructions/MOU Updates</b>		1. Update all FLRA delegations of authority, Memoranda of Understanding, and instructions to reflect current mission.	12/31/2000 Revised to 9/30/02	9/30/01	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.	12/31/01 Revised	9/30/01	Closed	
<b>GPRA Evaluation</b> 4/24/99		1. Expand component action plans to quantify factors affecting performance and how changes resources, cross cutting activities could affect Strategic planning.	9/30/2000	9/20/2000	Closed	
		2. Incorporate guidelines for acceptable performance in component and employee work plans.	9/30/2000	9/20/2000	Closed	
		3. Establish performance measurement criteria and	9/30/2000	9/20/2000	Closed	

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		baseline performance standards for component and Strategic Plan.				
		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	9/20/2000	Closed	
		5. Address the problem of data consistency and credibility by establishing management and technology controls.	9/30/2000	9/20/2000	Closed	
<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	1/00	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	9/18/2000	Closed	
		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	9/18/2000	Closed	



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		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 letter should be sent to the parties informing "interim" them that the time-line 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	10/99	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 processes, procedures and position, management, and structure, should appropriately examine the case tracking system administrative process and realign duties and/or simplify existing procedures.	4/28/2000 Revised 6/30/2000	7/2000	Closed	
		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	3/2001	Closed	
		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	9/18/2000	Closed	
		9.a Director, Case Control Office, ask the Human Resources Division to conduct a position management review (including a workload-staffing analysis) to assess grade/workload structure within Case Control Office.	5/1/2000	7/20/2000	Closed	

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		9.b Director, Case Control Office, works 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		Closed	
		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 -Date forwarded to other Members -Date decision rendered -Date received in Case Control Office for out-processing -Date decision released -Date case closed		1/31/2000	Closed	

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		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	9/20/2000	Closed	
		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	9/20/2000	Closed	
		14. Director, Case Control Office, document manual case-tracking to provide documented internal procedures for Year 2000 contingency planning.		11/30/99	Closed	
		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 with 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		9/30/99	Closed	

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		<p>written and that procedural determinations are correct. 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 enure 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>		10/6/99	Closed	

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		H. Notify General Counsel when decisions on ULP appeals are issued.				
<u>OPM Review of FLRA Human Resource Program 07-99</u>						
		1. Conduct an internal audit of delegated examining activities no later than April 30, 2000, using non -FLRA DEU staff.	4/30/2000	3/31/2000	Closed	
		2. Develop Performance indicators to measure HR progress.	9/30/2000	9/20/2000	Closed	
		3. Establish an Accountability System to assess management utilization of human resources.	9/30/02 Revised	9/30/2002 Revised	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.	9/30/2002 Revised		Open	
		9. Evaluate and improve strategies for dealing with poor performers.	9/30/2000	9/20/2000	Closed	
<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	

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		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 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	
		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.	9/30/2002 Revised	10/31/01	Closed	
		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 cost 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 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	

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		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 that which is maintained by Denver Payroll Operations Division and take appropriate action to reconcile any overpayments or underpayments found. The results of this effort should be specifically reported to the FLRA Inspector General.	5/30/2002 Revised		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 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).	9/30/2000 9/30/2001 Revised to 9/30/02		Open	
	<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		9/20/2000	Closed	
		1. a. Conduct exit interviews to provide annual data on the reasons employees leave FLRA.				
		b. FLRA Partnership Council research and develop employment retention Incentives.		9/20/2000	Closed	
		2. Review work requirements for entry level and journey level attorneys to validate grade levels.	7/31/2000	9/20/2000	Closed	

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		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 Rejected recommendation
		4. a. Revitalize Upward Mobility Program for development of administrative support, para-professional and clerical personnel.	9/30/2001 Revised 9/30/2001	9/30/01	Closed	
		b. As vacancies occur, designate 2 positions for the Upward Mobility Program and open to all FLRA employees.	12/2000		Closed	
						Management supports recommendation but cannot commit to a specific number of positions.
		5. a. Educate supervisors on obligations and responsibilities in personnel management and performance appraisals.	9/30/2000	9/30/2001	Closed	
		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	7/20/2000	Closed	
		c. Plan activities, seminars, offsites fostering communication between employees and management.		9/20/2000	Closed	
		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	9/30/2002	Closed	
		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.		5/14/2000		
						Management non-concurrence. Considers its budget resources submission an alternative to workload analysis/position management.
		8. a. Require all managers/supervisors to acquire training in contemporary management skills and human resource management within 3 months		9/30/01	Closed	



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		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, behavioral science and federal management practices to enhance FLRA management/supervisors perspectives.		4/1/2000	Closed	
		9. Provide employees with more health and security information and implement an Agency-wide preventive Violence in the Workplace program.	5/2001	4/2001	Closed	
		10. UAB/FLRA review/revise, or cancel, as appropriate MOUs executed prior to and including 1995.	9/30/2000	9/20/2000	Closed	
<u>Internal Review of FLRA External Affairs MAY 2000</u>		1. Create centralized administrative Tracking System.				Management does not concur that Agency needs a centralized administrative tracking system.
		2. Develop/implement FLRA External Affairs Policy	9/30/2002 Revised		Open	
		3. Restructure External Affairs	9/30/01		Closed	
<u>Investigation 2000-I-30 August 2000</u>		1. Create Agency Policy for compliance with the Paperwork Reduction Act.	9/30/2001 Revised to 9/30/02		Open	
<u>Evaluation of FY 99 Performance Evaluation November, 2000</u>		1. Include the following discussions in the FY Annual Performance Plan submission. a. Impact of external and internal cross cutting activities, b. Impact of increased and decreased resources, c. Data sources, credibility, methods of validation, d. Correlation between program achievements & cost benefits, e. Capability to conduct program evaluations/customer surveys to validate benefits of achievements, and f. Verification of information, discussion on data limitations.		3/31/2001	Closed	
		2. Identify and discuss data credibility and exceptions.				

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		3. Reformat to ensure transparency and usefulness.				
<u>Audit of Computer Information Security</u> <u>February 2001</u>		1 a. Fund, develop, implement an information security program that complies with OMB Circulars A-123, A-127, and A-130.	9/30/02		Open	
		1 b. Establish senior management oversight committee to Demonstrate senior management's commitment to and Support of an effective, efficient security program.	9/30/02		Open	
		1.c. Ensure procedures are established to monitor/report FLRA's progress in resolving weaknesses and developing an efficient/effective information system security system.	9/30/02		Open	
		2 a. Establish a security awareness program that all employees must attend annually.	12/30/02		Open	
		2b. Delegate authority to IRMD that clearly assigns responsibilities and requirements; coordinate information Security control with systems outside IRMD and assist/control with other Program offices during development and implementation of new systems and enhancements to existing systems.	9/30/02		Open	
		2.c. Revise current instructions for HRD and BFD to include security administration responsibilities for respective systems & require coordination with IRMD.	9/30/02		Open	
		2d. Ensure that system owners and program offices perform periodic risk and vulnerability assessments and certify systems.	9/30/02		Open	
		2e. Develop & establish agency-wide information security policy through the consolidation of existing instructions.	9/30/02		Open	
		2f. Centralize management responsibilities for development of security policy procedures and practices, but retain daily security administration with program offices.	9/30/02		Open	

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		2g. Develop procedures to maintain a current inventory of authorized users for each system and for remote access.	9/30/02		Open	
		2h. Define rules of behavior for each system based in management's defined level of acceptable risk.	9/30/02		Open	
		2i. Develop procedures to ensure that security Officials, systems, and data owners establish and formalize procedures for granting appropriate access and system privileges.	9/30/02		Open	
		2j. Conduct an agency-wide assessment Of information contained within the various systems to identify/classify the sensitivity of information an the security level needed.	9/30/02	6/30/02	Closed	
		2k. Formalize incident response procedures and processes to identify/report on apparent/actual security breaches. Include instructions on proper procedures for reacting to security breaches in security awareness program.	9/30/02		Open	
		2l. Develop procedures for periodically evaluating User privileges and in granting initial access and privileges to systems software and data.	12/30/02		Open	
		2m. Obtain new remote access software sufficient to preclude unlimited remote dial in access to FLRA network.	3/31/02 Revised to 09/30/02		Open	
		2n. Obtain new software to monitor eternal access to the network and alert IRMD security Personnel of suspicious activities.	3/31/02	9/2001	Closed	
		2o. Dedicate funding to identify, review, and evaluate critical business functions for developing a business contingency and recovery plan.	4/30/03		Open	
		3a. Document procedures for programmers' access to the production environment and management's compensating controls to detect unauthorized activities.	12/30/01 Revised to 12/31/02		Open	
		3b. Document the network configuration: hardware, software, and security controls;	4/30/03		Open	

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		client server and Oracle databases; and systems security controls.				
		3c. Develop a System Develop Life Cycle Methodology compliant with OMB and NIST requirements for developing new systems and enhancing existing systems	4/30/03		Open	
		4a. Review costs and benefits of relocating the computer used for Entering and authorizing vendor payments to the Department of Treasury to a more secure location away from the General work area into an area of limited access.	12/30/01 Revised to 9/31/03		Open	
<u>Internal Review of the Office of the General Counsel's ULP Investigation Process March, 2001</u>		1. Add sections to the ULP Case Handling menu on handling briberies and gratuities and on information security. Also continue to provide employee training on human behavior factors and Federal agency human resource programs.	10/01	5/01	Closed	
		2. Because of legal and audit importance of case files, place more emphasis on standardizing the contents of files among Regional Offices as stated in the ULP Case Handling Manual.	10/02		Open	
		3. To acknowledge and comply with information security and assurance, case files should be marked with "For Official Use Only" or "Confidential" and be locked after hours and during major time absences of investigation agents to protect confidentiality/sensitivity of information.	10/02		Open	
		4. Maximize use of alternative dispute resolution in unfair labor practice case processing by continuing guidance and training of OGC employees.	10/01	10/01	Closed	
		5. Revise or amend existing OGC policy	11/01	5/01	Closed	
		6. Refrain from using e-mail to transmit any type of investigation documentation. Until software is encrypted or other appropriate information Security software is installed unless parties are aware of potential disclosure and agree	9/02 Awaiting decision of new General Counsel		Open	

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		to use the e-mail even though there is the possibility of information disclosure/compromise.				
<u>Management Letter</u> Use of Government Credit Card June 15, 2001		1. Remind travelers that Government travel credit cards may only be used for travel related expenses and not personal purchases.	10/30/01	3/29/02	Closed	
<u>Management Letter</u> Imprest Fund July 20, 2001		1. Take actions necessary to comply with the Dept. of Treasury's Imprest Fund Policy Directive requiring Federal agencies to eliminate agency imprest funds by October 1, 2000.	Revised to 6/30/02		Open	
<u>Investigation 2001-I-38</u> Case Processing October 24, 2001		1. OGC Acting Director, Washington Regional Office, 10/02 re-brief staff on "Dealing with Difficult People."  2. Director, Case Control and Authority Screening Committee review case submissions more carefully and bring all case related issues of concern (even if solved) to the attention of the members of the Authority.			Ongoing	
		3. OGC should discuss case processing objectivity and ethics and remind investigation agents that if they are assigned a case which contains situations, information or individuals known by the agent that might result or give the appearance of pre-decisional bias, they should immediately inform the Regional Director and have the case reassigned.	FY 2002		Ongoing	
<u>Internal Review of FLRA Travel Program</u> November 2001		1a. Director, B&F Division prepare overarching General Agency travel policy which addresses requirements, expectations and prohibitions.  1b. Update, revise or cancel existing obsolete travel Instructions and guidance, including: a. FLRA Travel Guideline Handbook b. Guidance on travel advances c. Guidance on reimbursable support procedures  1c. Ensure that all lists and policies that are sent to the National Business Center, National Travel Service, Inc., and Citibank are current and updated On a semi-annual basis.	12/30/02 Revised to 9/3/03		Open	

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		1d. Director, B&F discuss the use of FLRA's formatted travel reimbursement Vouchers and address any deficiencies with the Director, IRM.	Revised to 9/3/03		Open	
		2. FLRA Travel Manager request that National Travel Service expand their travel website to accommodate FLRA'S traveler's needs and ensure that all FLRA employees are trained to use the website.	12/31/02 Revised to 9/30/03		Open	
		3. Require FLRA travelers to use Hotel Occupancy Tax Elimination Forms while on government travel. Compile a list of states that honor and fail to honor such forms and distribute to FLRA employees.	10/31/02		Open	
		4. Issue Memorandum reminding FLRA employees that Government credit cards are to be used for travel expenses and not for personal use.	12/31/02		Open	
		5. Director, B&F work with National Business Center to set criteria, standards and policies for travel reimbursement.	11/30/02		Open	
<u>Audit of FLRA Simplified Acquisitions and Imprest Fund</u> November 2001		1. Conduct a cost benefit analysis for automating the procurement system and implement if cost effective.	03/30/03		Open	
		2. Establish a MOA with an executive Agency to administrate FLRA contract appeals.	03/30/02 Revised to 4/30/02		Open	
		3. Implement broader use of Government credit cards and blanket purchase orders.	03/30/02		Open	
		4. For purchases above the micro purchasing level, document the vendor selection process.	02/15/02	02/15/02	Closed	
		5. Brief FLRA management on basic Federal procurement requirements.	01/25/02 Revised to 5/30/02		Open	
		6. Establish a small business program and Appoint a Director of Small and Disadvantaged Business Utilization as required by the Small	01/25/02 Revised to 03/30/02		Open	

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**Business Act. Eliminate the Imprest Fund to  
comply with The Imprest Fund Directive.**

