



FEDERAL LABOR RELATIONS AUTHORITY
OFFICE OF INSPECTOR GENERAL

SEMIANNUAL REPORT
TO THE CONGRESS

April 1, 1999 to
September 30, 1999



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

WASHINGTON, D.C. 20424

October 7, 1999

TO: Phyllis N. Segal
Chair, FLRA

FROM: Francine C. Eichler
Inspector General

A handwritten signature in black ink, appearing to be "FCE", is written over the name "Francine C. Eichler" in the "FROM:" field.

SUBJECT: Semiannual Report to Congress, October 1, 1998 - March 31, 1999

As required by Section 5 of the Inspector General Act, as amended, 5 U.S.C., App.3.5., I am submitting the twenty first FLRA semi-annual report for the period April 11, 1999 through September 30, 1999. This report summarizes the oversight activities of the Federal Labor Relations Authority's Office of the Inspector General. During this period, a formal audit (Audit of FY 98 FLRA Financial Statements and Central Services Fund) and two internal reviews (Internal Review of the FLRA Case Control Office and Internal Review of FLRA's Compliance with the Government Performance and Results Act) were completed and issued and 4 Preliminary Investigations (Two of which were turned over to the Federal Protective Service for further action) were performed by the Inspector General. During this reporting period the Inspector General issued a Management Letter regarding outdated policy and Memoranda of Understanding and processed 15 Hotlines requests. There were no significant audit, investigation or internal review findings during this reporting period and management progress on addressing oversight corrective actions continues.

Enclosure a/s

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EXECUTIVE SUMMARY

This is the twenty-first 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 OIG during the period April 1, 1999 through September 30, 1999.

During this reporting period, the FLRA Inspector General revised the OIG Audit Follow-up policy, prepared new policy for OIG Contract Audit Services and drafted a Management Self Assessment. The FLRA Inspector General continued efforts to integrate a viable oversight program that includes management and employee training and management consultation.

Also, during this reporting period, the FLRA Inspector General conducted four preliminary investigations, turned two investigations over to the Federal Protective Service, and processed 15 Hotline Assistance requests. The FLRA Inspector General completed an Audit of FLRA FY 98 Financial Statements and Central Services Fund, an internal review of the FLRA Case Control Office, an Evaluation of FLRA Compliance with the Government Performance Act, monitored FLRA Y2K progress and began an internal review of FLRA's Human Capital Investments. During this reporting period, the Office of Personnel Management also completed its review of the FLRA Human Resources Program. FLRA management continues to make notable progress in addressing oversight corrective actions and integrating the oversight function as a positive and preventative management tool.

During this reporting period there were no significant findings or significant outstanding corrective actions from previous oversight initiatives.

THE FEDERAL LABOR RELATIONS AUTHORITY

The Federal Labor Relations Authority (FLRA) was created in 1978 as an independent agency to administer the labor-management relations program for over 1.9 million non-postal Federal employees world-wide. More than 1.1 million of these employees are now exclusively represented in approximately 2,200 bargaining units. Before the FLRA's creation, labor-management relations in the Federal sector was governed by Executive Order and its administration was fragmented among various parts of the government. Today's FLRA represents the Federal government's consolidated and unified approach to its labor-management relations.

The FLRA is, in effect, three agencies in one, with a unified mission to promote stable and constructive labor-management relations that contribute to an efficient and effective government. The three independent operating components through which this mission is fulfilled are the Authority, the Office of General Counsel, and the Federal Service Impasses Panel.

The Authority is a quasi-judicial body with three full-time Members who are appointed by the President with the advice and consent of the Senate. The Chair of the Authority also serves as Chief Executive and Administrative Officer of the consolidated components that comprise the FLRA. The Authority component resolves cases in four primary areas. (1) *Negotiability*: The Authority decides cases filed by unions (but not agencies or individuals) concerning the Negotiability of proposed collective bargaining agreement terms. (2) *Unfair Labor Practices (ULP)*: The Authority decides ULP cases based on complaints prosecuted by the FLRA's General Counsel, on charges filed by agencies and unions (and sometimes, but less frequently, individuals). (3) *Arbitration Exceptions*: The Authority decides "exceptions" (the equivalent of appeals) filed by agencies and unions (but not individuals) to certain grievance arbitration awards. (4) *Representation Matters*: The Authority decides cases filed by agencies and unions (and sometimes, but rarely, individuals) involving a variety of representation matters, including cases concerning the appropriateness of units for union representation.

Wherever possible, the Authority, in collaboration with the other FLRA components, looks for ways to assist the disputing parties to discuss and bilaterally resolve the problems presented in these cases. The FLRA's goal is to avoid, where possible, unnecessary and time-consuming litigation.

The Office of the General Counsel (OGC) is the independent investigative and prosecutorial component of the FLRA. It is directed by the General Counsel, who is appointed by the President with the advice and consent of the Senate. In addition to conducting investigations, making decisions about prosecuting, and litigating ULP claims, the General Counsel has statutory authority to settle ULP charges. The General Counsel also supervises the FLRA's seven Regional Directors in carrying out the responsibilities delegated to them by the Authority to process representation petitions and supervise elections. The OGC has developed a highly effective approach to helping parties resolve their disputes on their own, without litigation.

The Federal Service Impasses Panel (Panel): The Federal Service Impasses Panel consists of seven Presidential appointees (one of whom is Chair) who serve on a part-time basis, and are supported by a small full-time staff. The Panel resolves impasses between Federal agencies and unions arising from negotiations over conditions of employment. Consistent with the FLRA's overall emphasis on the voluntary resolution of disputes, the Panel has a long history of successfully promoting alternatives to litigation, using a variety of formal and informal means to resolve bargaining impasses. Thus, in addition to written decisions and orders, the Panel also uses telephone mediation, mediation-arbitration, and fact finding hearings to resolve negotiation impasses.

The FLRA's FY99 budget was 216 full-time equivalents (FTE's) and \$22,586,000. For FY 2000, the FLRA requested and received \$23,828,000.00.

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

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 costs 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 Chair. 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 Chair, Authority 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 equivalent position - that of the Inspector General. Budget constraints and prior Agency strategic planning have resulted in one person with oversight responsibility for all of the Agency's programs, operations and resources. The Inspector General is assisted by a 3rd year law student and uses contractors to assist with oversight. The Inspector General receives legal advice on an "as needed basis" from the Office of the Solicitor. The Office of Inspector General's budget is part of the Authority's budget. The allocation for the Inspector General's FY 99 operations was \$79,000. This operational allocation does not include salary costs.

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 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:

- to evaluate the efficiency and effectiveness of FLRA program and resource management and identify best practices as well as factors impeding the accomplishment of the FLRA's mission;
- to assist the Chair 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; and
- to use evaluations, internal reviews and the more traditional assessment tools of audits, inspections and investigations, when necessary, to maximize oversight and strengthen system and process controls to maximize Government integrity and minimize occurrences of fraud, waste, abuse and mismanagement.

AUDIT ACTIVITY

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

Audit of FLRA FY 98 Financial Statements and
Central Services Fund

Completed Sept 13, 1999

The FLRA Inspector General, with assistance from contractor auditors, completed an audit of FLRA's FY 98 Financial Statements and Central Services Fund. While the FLRA is exempt from the requirements of the Chief Financial Officer's Act (which requires annual financial statement audits), its own policy requires yearly financial statement audits. No audits of financial statements have been performed at the FLRA since 1992. The subject audit revealed that during FY 98, the FLRA prepared financial statements and reports which fairly represented the adjusted trial balance and notes, cash balances, status of budgetary resources, expended obligations and unexpended appropriation balances as of 30 September 1998. The audit affirmed that the status of appropriations and obligations for FY 98 ended in conformity with Federal accounting standards and complied with Department of Treasury and Office of Management and Budget requirements. The audit also affirmed that the Agency Central Services Fund, which was established to afford economies of scale for agency-wide activities, was functioning appropriately and had adequate internal controls to prevent abuse and mismanagement. The audit verified that the FLRA's financial reporting systems fairly and adequately represented its financial position in accordance with generally accepted accounting principles and were in compliance with Department of Treasury and Office of Management and Budget. The audit did not reveal any material weaknesses or significant findings. A management letter was issued, which included 13 recommendations related to improving existing internal controls and/or processes and updating procedures to align them more with current government-wide financial accounting processes. Details of these recommendations can be found on Page 33, FLRA Corrective Action Status.

INTERNAL MANAGEMENT AND PROGRAM REVIEWS

Case Control Office Process

Completed June 3, 1999

The FLRA Inspector General completed an Internal Review of the FLRA Authority's Case Control Office (CCO). The CCO functions as the Authority's "Clerk of the Court" and processes incoming cases and outgoing decisions for the Members of the Authority. The CCO is also the point of contact with the public for the Authority. This review affirmed a tenured and knowledgeable staff who worked very well together to carry out an institutionalized process with a distinct orientation toward customer service. As part of this review, interviews were held with customers who had only praise for the CCO teams

interactions. Part of the success of the CCO is attributable to its Director who has created a work environment that fosters empowerment, communication and independence. This review revealed several areas where process efficiency could be improved by more astute position and workload management. Areas needing more management attention were the validity of the case tracking system data and information security. While there were no mission impacting findings, some process and policy modernizing recommendations were made. These can be found on Page 29, FLRA Corrective Action Status.

FLRA Compliance with the Government
Performance Results Act (GPRA)

Completed May 24, 1999

The FLRA has made a noteworthy commitment to comply with the Government Performance Results Act and to meet Congressional expectations for mission-oriented strategic planning and performance measurement. The visible support and involvement of FLRA executive leadership was instrumental in making this agency-wide initiative successful and participative at all levels. In addition to the Agency Strategic Plan, each FLRA organizational component has an Action Plan which support the Agency's mission-related goals. Each FLRA employee has a Work Plan, updated yearly, which supports his or her organization's Action Plan. Performance measurements are both qualitative and quantitative. The one vulnerability surfaced during this review was the inconsistency and the questionable credibility of some data in some parts of the organization. Also noted was the fact that even though cross-cutting activities and weaknesses that surfaced through external and internal oversight activities were discussed during the strategic planning process, their impact was not incorporated in the final documentation. FLRA management will focus on correcting data inconsistencies during this coming year prior to its first "baseline Performance Measurement" report to Congress. Recommendations made by the FLRA Inspector General as a result of this review were directed toward further strengthening the FLRA strategic process. Overall, the FLRA has done a meritable job of strategic planning and complying with GPRA. Recommendations may be found on Page 28, FLRA Corrective Action Status.

Review of FLRA Human Capital Investment

In progress

During this reporting period, the FLRA Inspector General began an internal review of FLRA Human Capital Investments which is an item of Congressional interest. The FLRA Inspector General is reviewing FLRA employee development strategies, programs, initiatives, the recruitment and retention of employees, on the job and external training and other investments made to develop human assets over the last few years since major downsizing and budget cuts reduced the FLRA workforce significantly. This is a broad scope effort involving extensive interviews with Headquarters and Regional Office managers and employees and is intended to provide FLRA management with issues and recommendations to improve its astute use of its most valuable asset.

EXTERNAL REVIEWS

Office of Personnel Management (OPM) Review of the FLRA Human Resources Management Program

On July 27, 1999, the OPM Office of Merit Systems Oversight and Effectiveness issued its report on its review of the FLRA Human Resources Management Program conducted from February 1999 through April 1999. The report was the result of OPM's organization-wide survey, FLRA Headquarters and Regional Office management and employee group interviews, and a comprehensive records review. OPM characterized its findings as "positive." Recommendations were considered enhancements (as opposed to corrective actions) with the exception of a required action for the conduct of an internal audit of delegated examining activities using non FLRA Delegated Examining Unit staff no later than April 2000. OPM's evaluation specifically commented on the merits of the FLRA Human Resource Program and its Strategic Planning Efforts. A summary of OPM's recommendations will be found on Page 32, FLRA Corrective Action Status.

INVESTIGATIVE ACTIVITY

During this period, the Inspector General received and processed 15 Hotline complaints and conducted 4 preliminary investigations. Two Inspector General assistance requests involving abusive and aberrant communications are being monitored by the Inspector General on a continuing basis. Two were turned over to the Federal Protective Service for further investigation. The Inspector General is also monitoring data related and building security issues on a continuing basis.

Theft of Money/Personal Property

Closed

The FLRA Security Officer, in consultation with the FLRA Inspector General, performed a security review on the alleged theft of money and personal property from two FLRA Headquarters offices. There was insufficient evidence to determine a suspect even though it was determined that several employees had accessed the Headquarters facility after hours on the evening before the thefts were reported. The Security Officer reminded personnel that they should not leave money or personal property in places that are accessible, and all valuables should be kept in locked facilities.

Hostile Language

Closed

At the request of the FLRA Inspector General, Federal Protective Service was provided to an FLRA Regional Director and staff attorneys at an Unfair Labor Practice Hearing. This was necessary because of a party representatives continual hostile language to FLRA attorneys. While the hearing was still confrontational, the case was concluded without further incident.

Threats to Regional Director from Former Federal Employee Closed

The FLRA Inspector General investigated two other specific incidences occurring at two different regional facilities involving a verbal and a written threat to harm a Regional Director and former supervisors. After preliminary investigations, both cases were turned over to the Federal Protective Service for further investigation and action.

INSPECTOR GENERAL ASSISTANCE REQUESTS

1. Attempt to Remove Tenured Employee Closed

An FLRA employee requested assistance from the Inspector General concerning an alleged attempt by management to remove a tenured employee. A preliminary review revealed that the employee was not performing duties consistent with the employee's grade level and responsibilities. The review also affirmed that the supervisor was engaged in providing training and on-the-job mentoring to the employee in an attempt to improve performance. The preliminary review verified that this situation was unique and not systemic.

MANAGEMENT LETTERS

1. FLRA Delegations of Authority, Memoranda of Understandings Instructions Open

While conducting an internal review, the FLRA Inspector General noted that several delegations of authority to perform certain procedural functions were more than 10 years old. A closer look revealed that a significant number of FLRA instructions dated back to the early 1980's. The same was true of several internal Memoranda of Understanding. A Management Letter was issued which emphasized the necessity and importance of the currency of the Agency policy since it defines administrative and program requirements, and defines the parameters of duties, responsibilities and accountability for employees. Management was asked to review, and revise, if necessary, all Delegations of Authority, Memoranda of Understanding and Instructions issued prior to 1995 to reflect current mission essential requirements and to distribute and make policies available on line to all FLRA employees.

2. IG Interface with Director of External Affairs, Human Resources Division and Office of Solicitor

During this reporting period the FLRA Inspector General re-defined working interfaces with the FLRA Office of the Solicitor, the Director of External Affairs and the Human Resources Division by revising previous (1990) Memoranda of Understanding with these offices. As part of this effort, the Inspector General also requested the implementation of new procedures for handling Freedom of Information requests concerning Inspector General information, changing the responsibility for reviewing information in the Office of Inspector General from the Office of Solicitor to the Office of the Inspector General.

3. Y2K Monitoring

Continuing

The FLRA Inspector General continues to monitor the Agency's Y2K progress. The FLRA first identified rebuilding 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 case tracking systems. An unplanned upgrade was resulted from this review. This caused a larger workload and more expenditures for development and maintenance during FY 98. Since early funding estimates for Y2K compliance activities were low because assessments of Y2K needs were not completed and hard data unavailable for budget programming for FY 99, the FLRA had to request additional supplemental Y2K funding. As a result the FLRA was one of six federal agencies receiving Y2K supplemental appropriations and was required by the Office of Budget and Management to develop an agency-wide Contingency Plan. The FLRA Office of Budget and Finance has set up a specific accounting system for Y2K expenditures and is appropriately tracking supplemental appropriated spending.

The Director, IRM has worked with the FLRA Strategic Planning Board to produce a Business Continuity and Contingency Plan which identified each FLRA core component level's business process risk mitigation strategies and component level contingency plans to ensure that critical FLRA business processes will be uninterrupted in case of an unexpected failure. 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.

During this reporting period, all of FLRA's mission critical systems were either repaired or replaced and are now Y2K compliant. The FLRA Information Resource Management (IRM) staff plans to spend the remainder of the calendar year testing the hardware and software to ensure maximum utility. In addition to the initiatives mentioned above, the FLRA also developed a Year 2000 Remediation Plan to ensure that its automated systems function properly beginning January 2000.

The FLRA Inspector General and FLRA management will continue to closely monitor Y2K activities during the remainder of the year and plan to make themselves available on January 1, 2000 to ensure contingency plans are operative in case there is an Y2K failure.

FLRA Management Self Assessment

During this reporting period, the FLRA Inspector General drafted a Management Self Assessment to be implemented as a pilot project during Fiscal Year 2000. The Management Self Assessment is an oversight tool which helps managers assess their own operations on a cyclic basis, provides the Inspector General a mechanism to evaluate the efficiency and effectiveness of FLRA organizations meeting mission requirements without having to do an "on-site" inspection, and provides a baseline for improvement measurement. The Management Self Assessment is not intended to replace the more traditional oversight mechanisms, but to augment them and serve as an "interim evaluation" until a formal audit or internal review is performed. If the pilot Management Self Assessment is beneficial in providing management ways to self improve the efficiency and effectiveness of their operations, it will be implemented agency-wide the following year.

Inspector General Strategic Plan, Oversight Plan, Policies and Procedures

During this reporting period, the FLRA Inspector General revised and updated the Office of Inspector General Strategic Plan, policies on audit follow up and contracting audit services. During this reporting period, the FLRA Inspector General reviewed legislation pertaining to the Inspector General Act, and provided input to congressional proposals via the Executive Council for Integrity and Efficiency.

OTHER INSPECTOR GENERAL ACTIVITIES

Workplace Security

As a result of several workplace hostility incidences occurring at FLRA regional offices during the last year, at the recommendation of the Inspector General, the Office of General Counsel implemented a data base to record any verbal or physical workplace incidents. Also, due to several thefts of money and personal property during this past reporting period, the Inspector General has begun to periodically monitor access records of the FLRA Headquarters to ensure that all after hour access is justified.

Management Controls

During this reporting period, the Inspector General prepared briefings for Headquarters management on the importance and benefits of instituting cost effective internal management controls and the direct relationship between such controls and efficient and effective operations.

Executive Council for Integrity and Efficiency

During this reporting period, the FLRA Inspector General continued to participate in the Executive Council for Integrity and Efficiency and served on the Legislative Committee for the IG Caucus. The FLRA Inspector General attended the annual Presidential Council for Integrity and Efficiency/Executive Council for Integrity and Efficiency Annual Conference sponsored by the National Air and Space Administration Office of the Inspector General. The FLRA Inspector General also served as an evaluator, on the Executive Council for Integrity and Efficiency Awards Committee, for FY99 awards to outstanding Inspector General's employees.

Association of Certified Fraud Examiners Conference

The FLRA Inspector General attended the 10th Annual Association of Certified Fraud Examiner's Fraud Conference, July 25-30, 1999, at which 20 credit hours were acquired.

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 3
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 prospective authorities	None
Section 5(a)(5) Summary of instances where information was refused	None
Section 5(a)(6) List of audit reports	Page 7,20
Section 5(a)(7) Summary of significant reports	Page 7,20
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

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.

Questioned Costs

Expenditures questioned by the Inspector General 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.
- UNNECESSARY OR UNREASONABLE COSTS.

During this reported period, as a result of reviewing AT&T billings, the Inspector General noted two months of billing approximating \$300.00 from over 2000 connections to one FLRA regional office on one number of the Integrated Services Digital Service System

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.

Final Action

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

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.

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.

**FLRA INSPECTOR GENERAL
HOTLINE/ASSISTANCE CASE REPORT
April 1, 1998 - September 30, 1998**

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

Case Number	Subject Matter	Status
99-23	Validity of Union	Closed 4/9/99
99-24	Hostile ULP Hearing	Closed 4/7/99
99-25	Mismanagement Issues	Closed 6/9/99
99-26	Unfair Labor Practice Filing	Closed 7/9/99
99-27	Denial of Promotion	Closed 4/27/99
99-28	Retirement Benefits Dropped	Closed 4/28/99
99-29	Removal From Job	Closed 5/10/99
99-30	Employee Suspension	Closed 5/14/99
99-31	Issuance of Non-payable paycheck	Closed 7/6/99
99-32	Mismanagement Issues	Closed 9/7/99
99-33	Private Sector Employee Request	Closed 9/7/99
99-34	Welfare to Work Program	Closed 9/7/99
99-35	Disability Harassment	Closed 9/7/99
99-36	Vendor Unfair Treatment	Closed 9/13/99
99-37	Misrepresentation	Closed 9/22/99

**FLRA INSPECTOR GENERAL
AUDIT & MANAGEMENT CONSULTATION PROJECTS
SUMMARY**

April 1, 1999 - September 30, 1999

<u>Subject</u>	<u>Status</u>
Audit of FY 98 Financial Statements	Closed
FLRA Compliance with GPRA	Closed
FLRA Policy Update	Continuing
Human Capital Investment	In Progress
Management Review of the Case Control Office	Closed
Office of Personnel Management Review of FLRA Human Resources Division	Closed
Security of Facilities	Continuing
Y2K Implementation: Review of FLRA	Continuing

**FLRA INSPECTOR GENERAL
CORRECTIVE ACTION SUMMARY
1 April 1999 - 31 September 1999**

New Corrective Actions	50
Total Open Corrective Actions carried over from previous reporting period	38
Total Open Corrective Actions	88
Total Actions Closed this period	23

Federal Labor Relations Authority
Office of the Inspector General
CORRECTIVE ACTION STATUS
September 30, 1999

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
ROI 98-01 Veiled Threat/ Survey Office of Exec. Director	4/7/98	1. Conduct Lessons Learned <ul style="list-style-type: none"> 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 matters 	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 user's 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		
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

Federal Labor Relations Authority
Office of the Inspector General
CORRECTIVE ACTION STATUS
September 30, 1999

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Telecommunications Audit Continued					
		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
		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

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		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
ROI 98-02 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 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.			Closed
ROI 98 103 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
I-98-34 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
I-99-01 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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I-99-02 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
I-99-03 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
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

NARA EVALUATION

**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.	10/21/98	10/21/98	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.		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		Open
	(B) Ensure records management managers are trained.	12/30/99		Open
	(C) Add records training to the Records Coordinators Individual Development Plan.	12/98	4/7/99	Closed

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NARA Evaluation Continued					
		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.	10/1/01		Open
		(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.	9/2001		Open
		II/2 (A) Review working case files retention practices maintained by Chair and Members.	12/30/99		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.	Within one month of file survey completion.		Open
		(C) Develop retention schedules for new new records and make changes to current schedules.	Within 6 months of file survey completion.		Open
		(D) Submit new schedule for Archivist's approval.	Within 1 month after office Director's approval of new retention schedules.		Open
		(E) Include approved schedule in updated Instruction 1323.1.	Within 1 month after receiving Archivist's approval.		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.	Within 3 months after file survey is completed.		Open
		II/7 Consider the offsite maintenance/storage of copies of vital records.	Within 6 months after file survey is completed.		Open
Section III					
		III/1 (A) Identify which FLRA records are not covered by records schedule or the General Record Schedules.	Within 1 month of file survey completion.		Open

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NARA Evaluation Continued					
		(B) Develop and submit to NARA proposed records schedules for unscheduled records.	Within 1 month of after office approval of all new RS.		Open
		(C) Schedule the electronic records system.	By the end of FY 2001.		
	III/2	(A) Identify inadequately covered record series.	Within 1 month after file survey completion.		Open
		(B) Revise outdated descriptions of series.	By the end of FY 2001.		
	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
	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.	By the end of FY 2001.		Open
	III/7	Transferring eligible publications (1979-1983) to the National Archives according to Records Control Schedules instructions.	8/99 Revised to 10/31/99		Open
	III/8	(A) Designate a professional in each office 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.	By end of FY 2001.		Open
		(C) Ensure that responsible FLRA officials examine retired record center case files that may contain permanent records and apply appropriate selection criteria.	Ongoing		Open
	For All Regions				
	Recommendation 1	(A) Provide formal records management training for records management staff.	11/98 Revised to 12/31/99		Open
		(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	4/99 4/5/99		Closed

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		transfer them to the appropriate records center.			
<u>NARA Evaluation Continued</u>					
		(C) Certify to Director ASD that (1) and (2) have been completed.	5/99 Revised to 12/31/99	5/99	Open
<u>For Chicago Regions</u>					
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 Revised to 10/1/99	9/28/99	Closed
		(B) Certify to Director ASD that (1) is complete.	5/99 Revised to 10/1/99	9/28/99	Closed
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 Revised to 10/1/99	9/28/99	Closed
		(B) Segregate the files identified above and transfer to the appropriate Records Center.	5/99 Revised to 10/1/99	9/28/99	Closed
		(C) Certify to ASD that (1) & (2) have been completed.	5/99 Revised to 10/1/99	9/28/99	Closed
Recommendation 3		Formalize the creation/maintenance/disposition of admin. records to the same extent as program records.	By the end of FY 2001.		Open
Recommendation 4		Offer records management guidance to staff on electronic Records Management and FOIA Procedures (including E-FOIA amendments).	By the end of FY 2001.		Open
<u>Management Letter 4/19/98 Instructions/MOU Updates</u>					
		1. Update all FLRA delegations of authority, Memoranda of Understanding and instructions to reflect current mission.	12/2000 Revised to 6/30/2000		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 Revised to 3/31/2000	Plan due 12/99	Open
<u>GPRA Evaluation 4/24/99</u>					
		1. Expand component action plans to quantify factors affecting performance and how changes in resources, cross cutting activities could affect strategic planning.	3/31/2000		Open
		2. Incorporate guidelines for acceptable performance in component and employee work plans.	3/31/2000		Open
		3. Establish performance measurement criteria and baseline performance standards for component and Strategic Plan.	3/31/2000		Open
		4. Incorporate in future component action plans, GAO, OMB, OPM and IG etc.	3/31/2000		Open

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GPRA Evaluation Continued		program evaluation findings and cross-cutting activities that impact mission accomplishment.			
	5.	Address the problem of data consistency and credibility by establishing management and technology controls.	3/31/2000		Open
Case Control Office Review	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.	11/30/99		Open
	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		Open
	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		Open

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Case Control Office Review Continued					
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		Open
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.	12/29/99		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.	Referred to Human Resource Division	10/6/99	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		Open
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	12/29/99		Open

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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			
Case Control Office Review Continued					
		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.	12/29/99		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.	12/29/99		Open
		14. Director, Case Control Office, document manual case-tracking to provide documented internal procedures and for Year 2000 contingency planning.	12/29/99		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.		8/30/99	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.	12/29/99		Open
		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.	1/31/2000		Open
		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. 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.		10/6/99	Closed

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Case Control Office Review Continued					
		20. Director, Case Control Office review customer suggestions listed below and incorporate in case processing procedures, as appropriate		10/6/99	Closed
		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.			
		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.			
		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.			
		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.			
		E. More care must be rendered to ensure the accuracy of references and citations and not to issue final documents containing typographical errors.			
		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.			
		G. Automate a chronology listing of Authority Decisions accessible through Media Flash or similar program.			
		H. Notify General Counsel when decisions on ULP appeals are issued.			
<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		Open
		2. Develop Performance indicators to measure HR progress.	1/31/2000		Open
		3. Establish an Accountability System to assess	10/31/2001		Open

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		management utilization of human resources.			
		4. Establish methodology to evaluate recruitment strategies.		6/99	Closed
OPM Review of HR Continued		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 bring 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.	4/31/2000		Open
		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

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		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
Audit of FY 98 Financial Statements Continued					
		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		Open
		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 underpayments found. The results of this effort should be specifically reported to the FLRA Inspector General.	5/30/2000		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 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		Open

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