



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

**SEMIANNUAL REPORT
TO THE CONGRESS**

**October 1, 2000 to
March 31, 2001**

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EXECUTIVE SUMMARY

This is the twenty-fourth semiannual report issued by the Office of Inspector General (OIG) at the Federal Labor Relations Authority (FLRA). This report, submitted pursuant to section 5 of the Inspector General Act, summarizes the major activities and accomplishments of the Office of the Inspector General during the period October 1, 2000 through March 31, 2001

During this reporting period, the FLRA Inspector General received and addressed three Congressional requests for information, processed 20 Hotline Calls, conducted one preliminary investigation which was turned over to the FBI, and worked in conjunction with the FLRA Security Officer and Federal Protective Service regarding the disappearance of Agency property. During this reporting period, the FLRA Inspector General completed an audit on FLRA's computer information security and completed preliminary planning and source selection for an audit on simplified acquisitions and the Imprest Fund. The FLRA Inspector General completed internal reviews on the FLRA Office of General Counsel's Unfair Labor Practice Charge Investigation Process, FLRA's FY 99 Annual Performance Plan Submission and began preliminary research for an internal review on the FLRA's Travel Program. During this reporting period, the FLRA Inspector General also updated material for the FLRA website. The FLRA Inspector General continues to actively participate in the Presidential Council for Integrity and Efficiency/Executive Council for Integrity and Efficiency (PCIE/ECIE) as a member of the ECIE Legislation Committee.

During this reporting period there were no critical mission impacting findings or significant outstanding corrective actions from previous oversight initiatives; however, a substantial weakness was noted in the area of computer information security. As a result of the Inspector General's audit on computer information security, FLRA management is focusing on this vital program to enable the Agency to evolve smoothly into e-government compliance.

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 (FSLMR) 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 FSLMR Statute.

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

The Authority is a quasi-judicial body with three full-time Members who are appointed for 5-year terms by the President, with the advice and consent of the Senate. One member is appointed by the President to serve as Chairman of the Authority and as Chief Executive and Administrative Officer of the FLRA.

The Authority adjudicates disputes arising under the FSLMR 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 (ALJ's) are appointed by the Authority to hear and prepare recommended decisions in cases involving alleged ULP's. In addition, ALJ's 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 ALJ's 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 ALJ's also issue subpoenas as requested by the parties. While performing their duties, the ALJ's 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: In FY 1996, the Authority, the OGC, and the FSIP established the joint CADR Program. This created a unified labor-management relations program that targets a variety of collaboration and alternative dispute resolution techniques at all steps of the process, from 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. The CADR Office is responsible for coordinating, supporting, and expanding the unified CADR Program.

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

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

Office of the Inspector General: The Office of the Inspector General is responsible for directing and carrying out audits 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. OGC employees comprise over 50 percent of the FLRA's staff. Most of the OGC's staff serves in the FLRA's seven regional offices located in Atlanta, Boston, Chicago, Dallas, Denver, San Francisco and Washington, DC.

The regional offices investigate and settle or prosecute ULP claims, actively encouraging the use of collaboration and alternative dispute resolution at every step; to ensure compliance with all ULP orders issued by the Authority, receive and process representation petitions, and provide facilitation, intervention, training, and education services to the parties. The General Counsel reviews all appeals of 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 FSLMR 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, the Departments of State, Agriculture and Commerce. The Board is composed of three Members, including the Chair of the Authority who appoints the other two Members, who serve on a part-time basis. The Chair of the Authority also serves as Chair of the Board. The FLRA General Counsel acts as General Counsel for the Board, and the Authority staff provides necessary support to the Board.

The Foreign Service Impasse Disputes Panel: The Foreign Service Impasse Disputes Panel (the Disputes Panel) was also created by the Foreign Service Act of 1980. The Disputes Panel is composed of five part-time Members who are appointed by the Chair of the Foreign Service Labor Relations Board (the FLRA Chair). The Disputes Panel resolves bargaining impasses between Federal agencies and Foreign Service personnel in the U.S. Information Agency, the Agency for International Development, and the Departments of State, Agriculture, and Commerce, over conditions of employment under the Foreign Service Act of 1980. The FSIP staff supports the Disputes Panel.

The FLRA's headquarters is located in Washington, D.C., and maintains regional offices in Atlanta, Boston, Chicago, Dallas, Denver, San Francisco and Washington, D.C. The FLRA has 215 full-time equivalents (FTE's) for fiscal year 2001. For FY 2001, the FLRA appropriation is \$25,003,000 (excludes the .22% amount rescinded per PL 106-554).

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.

FEDERAL LABOR RELATIONS AUTHORITY
Organization Structure

OFFICE of the CHAIRMAN

Position	Title
1	Chairman
1	Chief Counsel
1	Director, External Affairs/Special Programs
1	Director, Case Management and CCO
7	Attorney-Advisors (Labor)
1	Staff Assistant (OA)
1	Secretary (OA)

Office of Case Control

2	Labor Relations Specialist
1	Paralegal Specialist
1	Legal Assistant (OA)
1	Legal Clerk (OA)

OFFICE of the MEMBER

1	Member
1	Chief Counsel
6	Attorney-Advisor (Labor)
1	Labor Relations Specialist
1	Staff Assistant (OA)
1	Student Assistant (Legal)

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OFFICE of the MEMBER

1	Member
1	Chief Counsel
7	Attorney-Advisor (Labor)
1	Staff Assistant

OFFICE of the SOLICITOR

1	Solicitor
1	Deputy Solicitor
5	Attorney-Advisor (Labor)
2	Paralegal Specialists
1	Office Manager

COLLABORATION AND ALTERNATIVE DISPUTE RESOLUTION OFFICE

1	Program Director
2	Attorney- Advisor (Labor)
2	Legal Technicians

OFFICE of the ADMINISTRATIVE LAW JUDGES

- 1 Chief Administrative Law Judge
- 4 Administrative Law Judge
- 1 Attorney-Advisor (Labor)/ Director of EEO
- 1 Office Manager
- 2 Legal Technician

OFFICE of the INSPECTOR GENERAL

- 1 Inspector General
- 1 Office Management Assistant T

OFFICE of the EXECUTIVE DIRECTOR

- 1 Executive Director
- 1 Assistant to Executive Director
- 1 Secretary (OA)

Administrative Services Division

- 1 Director, Administrative Services
- 1 Contracting Officer
- 3 Support Services Specialists
- 1 Purchasing Agent

Budget and Finance Division

- 1 Director, Budget and Finance
- 2 Accounting Officer
- 1 Operating Accountant
- 1 Budget Analyst
- 1 Budget and Finance Assistant

Human Resources Division

- 1 Director, Human Resources
- 4 Human Resources Specialist
- 1 Personnel Assistant
- 2 Personnel Assistant
- 1 Office Assistant (Student) T

Information Resources Management Division

- 1 Director, Information Resources Mgmt
- 1 Database Manager
- 1 Labor Relations Specialist
- 1 Network Manager
- 1 Computer Specialist (Software Development)
- 1 Computer Specialist (Network Administrator)
- 1 Attorney-Advisor (Labor) P
- 1 Computer Specialist
- 1 Librarian
- 2 Computer Clerk (Student) T

FEDERAL SERVICE IMPASSES PANEL

- 1 Chair
- 6 Member
- 1 Executive Director
- 1 Supervisory Attorney-Advisor (Labor)
- 1 Attorney-Advisor (Labor) (Chief Legal Advisor)
- 2 Attorney-Advisor (Labor)
- 1 Labor Relations Specialist
- 1 Office Manager
- 1 Secretary (OA)

OFFICE OF THE GENERAL COUNSEL

NATIONAL OFFICE

- 1 General Counsel
- 1 Deputy General Counsel
- 1 Director of Operations and Resources Mgmt
- 1 Assistant General Counsel for Appeals
- 1 Assistant General Counsel for Legal Services
- 1 Associate to the General Counsel
- 1 Special Assistant to the Deputy GC for Advice & Legal Policy
- 1 Executive Assistant
- 1 Asst Director for Operations & Resources Mgmt
- 1 Management Analyst
- 1 Administrative Support Specialist (ADP)
- 1 Staff Assistant (OA)
- 1 Program Analyst
- 1 Secretary
- 1 Office Assistant (Student) T

ATLANTA REGIONAL OFFICE

- 1 Regional Director
- 1 Regional Attorney
- 1 Regional Litigation Specialist
- 1 Regional Representation Specialist
- 1 Regional Dispute Resolution Specialist
- 1 Senior General Attorney (Labor)
- 6 General Attorney (Labor)
- 2 Labor Relations Specialists
- 1 Office Manager
- 1 Paralegal Specialist
- 1 Office Assistant (Student) T

BOSTON REGIONAL OFFICE

- 1 Regional Director
- 1 Regional Attorney
- 1 Regional Litigation Specialist
- 1 Regional Representation Specialist
- 1 Regional Dispute Resolution Specialist
- 6 General Attorney (Labor)
- 2 Labor Relations Specialist
- 1 Office Manager
- 1 Secretary (OA)

CHICAGO REGIONAL OFFICE

- 1 Regional Director
- 1 Regional Attorney
- 1 Regional Litigation Specialist
- 1 Regional Representation Specialist
- 1 Regional Dispute Resolution Specialist
- 2 Senior Labor Relations Specialist
- 2 Senior General Attorney (Labor)
- 3 General Attorney (Labor)
- 1 Labor Relations Specialist
- 1 Office Manager
- 1 Secretary (OA)
- 1 Office Assistant

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DALLAS REGIONAL OFFICE

- 1 Regional Director
- 1 Regional Attorney
- 1 Regional Litigation Specialist
- 1 Regional Representation Specialist
- 1 Regional Dispute Resolution Specialist
- 7 General Attorney (Labor)
- 1 Labor Relations Specialist
- 1 Office Manager
- 1 Secretary (OA)

DENVER REGIONAL OFFICE

- 1 Regional Director
- 1 Regional Attorney
- 1 Regional Litigation Specialist
- 1 Regional Representation Specialist
- 1 Regional Dispute Resolution Specialist
- 1 Senior General Attorney (Labor)
- 5 General Attorney (Labor)
- 2 Labor Relations Specialist
- 1 Office Manager
- 1 Secretary (OA)

SAN FRANCISCO REGIONAL OFFICE

- 1 Regional Director
- 1 Deputy Regional Director
- 1 Regional Litigation Specialist
- 1 Regional Representation Specialist
- 1 Regional Dispute Resolution Specialist
- 3 Senior General Attorney (Labor)
- 3 Senior Labor Relations Specialist
- 2 General Attorney (Labor)
- 2 Labor Relations Specialist
- 1 Office Manager
- 1 Secretary (OA)
- 1 Office Assistant (Student)

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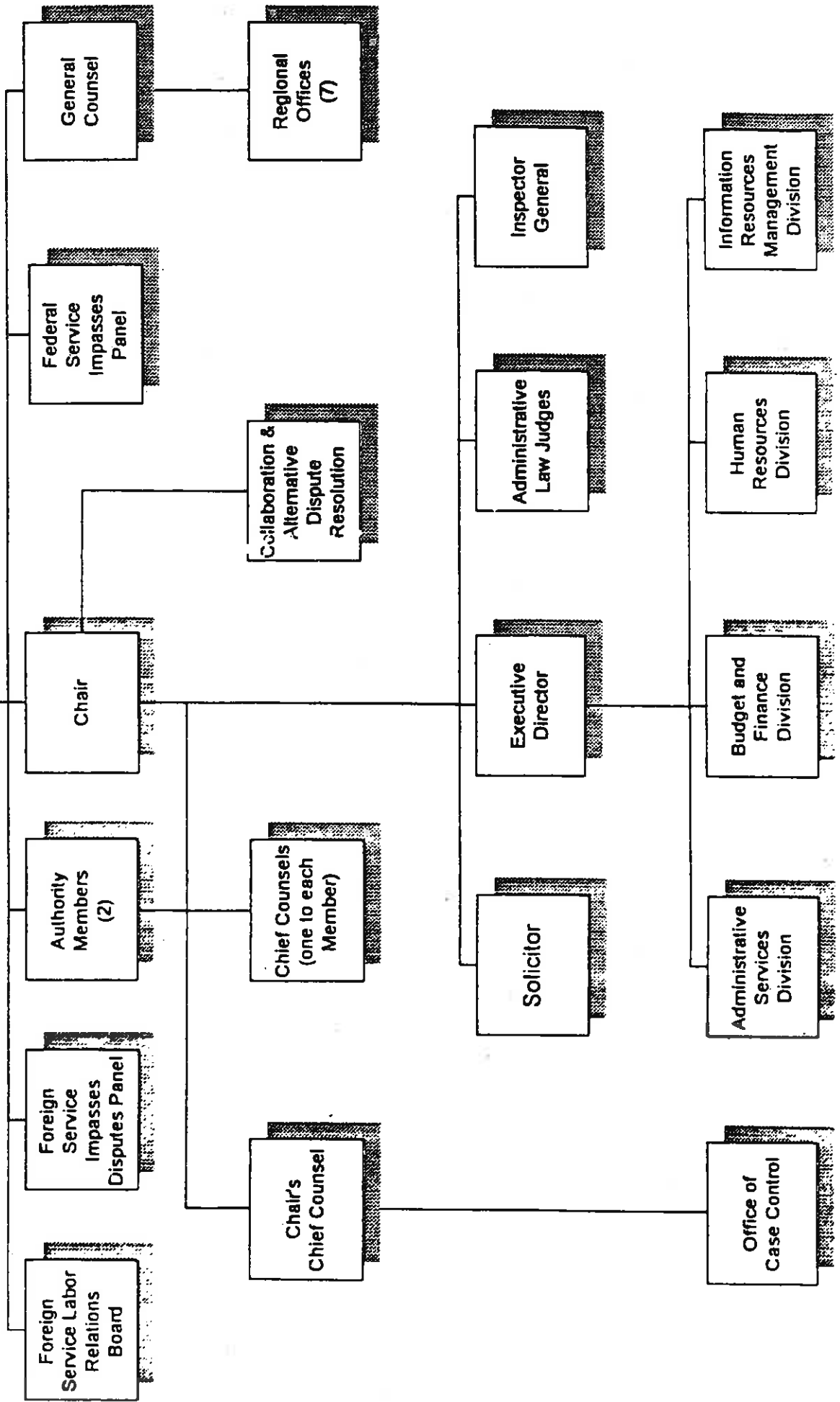
WASHINGTON REGIONAL OFFICE

- 1 Regional Director
- 1 Regional Attorney
- 1 Regional Litigation Specialist
- 1 Regional Representation Specialist
- 1 Regional Dispute Resolution Specialist
- 1 Senior General Attorney (Labor)
- 5 General Attorney (Labor)
- 2 Labor Relations Specialist
- 1 Office Manager
- 1 Secretary (OA)
- 1 Office Assistant (Student)

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T Temporary Position
P Part Time

Federal Labor Relations Authority



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 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. Budget constraints and prior Agency strategic planning have resulted in one person having oversight responsibility for all of the FLRA's programs, operations, and use of resources. The Inspector General is administratively assisted by a fourth year University student. When required, the FLRA Inspector General uses contractor auditors to assist in performing audits. Legal advice is provided to the Inspector General on an as needed basis by the FLRA's Office of the Solicitor. The Office of the Inspector General has been allocated funding totaling \$196,500.00 for FY 2001. The operational part 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 Computer Information Security

Completed January 31,
2001

The FLRA Inspector General, with the assistance of auditors from Cotton & Company, LLP, completed a comprehensive audit of FLRA's computer information security. The audit provided a baseline evaluation of FLRA's compliance with Federal information resource security requirements and assessed the quality of the FLRA's electronic information security system and the procedures and processes used to protect vital and sensitive electronic information. The audit included an assessment of the FLRA's communication hardware and software, internal management controls, the application of software development, change controls, system software, network analysis, and penetration tests. The results of this audit indicated that the FLRA's computer information systems' internal controls were substantially weak and not in full compliance with Federal requirements established by the Office of Management & Budget, or the criteria defined by the Department of Commerce's National Institute of Standards and Technology. Of major concern were the facts that the FLRA has not developed an agency-wide security plan or program covering information technology, has not conducted periodic assessments of information system control, and has an accounting information system which has not been certified during the past 3 years. Comprehensive

network analysis and penetration testing identified security control weaknesses in systems hardware and software, and that not all FLRA employees were aware of information systems security controls. The controls for FLRA information systems internal access were sufficient, but this was not the case for external penetration. The results of this audit supported immediate management attention to strengthen FLRA's information systems security, and ensure that sufficient resources are allocated, even if temporary, to implement necessary controls and ensure that FLRA's information systems technology provides a strong baseline for evolving and complying with E-government objectives. The findings of this audit are listed on pages 35, 36, and 37.

Audit of FLRA's Simplified Acquisitions and Imprest Fund

Open

During this reporting period, The FLRA Inspector General, awarded a competitive contract to Dembo, Jones, Healy, Pennington & Marshall, P.C. to conduct an audit of the FLRA's simplified acquisitions (small purchases) and Imprest Fund. The following objectives of this audit are to ensure that the FLRA's simplified acquisitions and Imprest Fund management are being conducted: in compliance with Federal requirements; with sufficient internal management controls to prevent fraud, waste, abuse, and mismanagement; and efficiently and effectively in a manner that is customer oriented. This audit has just commenced.

INTERNAL REVIEWS

Internal Review of the FLRA Office of the General Counsel's Unfair Labor Practice Charge Investigation Process

Completed March 19, 2000.

The FLRA Inspector General performed a comprehensive review of the Office of General Counsel's Unfair Labor Practice Charge Investigation Process. This internal review verified that the FLRA Office of General Counsel's Unfair Labor Practice Charge Investigation Process is conducted in compliance with Federal investigation process standards with exception in the area of information security. It also revealed that the Office of the General Counsel has done an extraordinary job of documenting policies and procedures for unfair labor practice charge case handling (including the investigation process) and providing training and guidance for its regional office investigation agents as well as its federal agency/union customer base. The Office of the General Counsel's investigation agents conduct multiple investigations at a time in concert with specific standards to provide sufficient evidence for the Office of General Counsel Regional Directors to make decisions on the validity or invalidity of unfair labor practice charges. This review revealed that the most frustrating part of the Office of General Counsel investigation process was dealing with difficult people and that the Office of General Counsel has been focusing on behavioral training over the last two years to mitigate this issue. The review did reveal that even though specific requirements were defined for investigation case handling, administrative procedures differed slightly among the regional offices. The review affirmed that active case files contained no markings indicating the sensitivity of the enclosed information, were not stored properly to protect disclosure, and that the use of e-mail for various elements of the investigation process

did not support the confidentiality of investigative information, especially since the FLRA system was devoid of encryption or appropriate firewalls.

This internal review revealed more than 10 “best practices,” including excellent documentation of internal policy and procedures, training of employees and customers, a noteworthy, contemporary, interactive management style, cyclic self assessments, customer orientation, and extensive supporting evidence for unfair labor practice charge decisions. Although the review surfaced several administrative procedures which would be enhanced by specific actions, overall, the FLRA’s Office of the General Counsel’s investigation process is noteworthy and reflects “a job well done.” Inspector General recommendations from this review may be found on pages 37 and 38.

Review of the FLRA’s FY 99 Annual Performance Plan Submission Completed
November, 2000

As requested by Congress, the FLRA Inspector General performed a detailed evaluation of the FLRA’s FY 99 Annual Performance Plan, which was submitted to the President on March 30, 2000, in compliance with the Government Performance and Review Act of 1993. A previous evaluation of FLRA’s compliance with the Government Performance and Review Act was completed by the FLRA Inspector General in May 1999, which concluded that the FLRA’s overall strategic planning effort and accomplishments were meritable. During this initial review, the FLRA Performance Plan for 1999 was also reviewed. The Inspector General made several recommendations to enhance this effort, including addressing cross cutting activities, oversight vulnerabilities, and the impact of resource increases and decreases. The Inspector General also expressed concern over the verification of certain data used for strategic goal performance measurement.

The Inspector General’s evaluation of the FY 99 Annual Performance Plan submission revealed that while the Plan included some discussion on internal cross cutting activities, it did not discuss external cross cutting activities, data limitations and/or processes used to validate the data. Nor did it address resource implications or related oversight findings. The FLRA FY 99 Annual Performance Plan was written in layman language and included individual discussion of each of the FLRA’s 28 performance goals. The subject Plan contained an Executive Summary but did not contain a statistical summary or any type of graphics which would help a reader focus on consolidated results.

The FLRA FY 99 Annual Performance Plan demonstrated the “cause and effect” relationship between the FLRA’s work and the tangible results gained by the customer base. The Plan adequately described the performance achievements made for each goal and the intention to focus harder on those goals not totally achieved. The Plan did not contain a discussion on the integration of program performance goals with the Agency’s annual budget submission. The Inspector General review of back-up data revealed some minor differences between actual statistic totals and numbers reported in the Annual Performance Plan submission, which were primarily due to different methods used by components for case tracking. Without an explanation of how reported numbers were calculated, conclusions could be subject to misinterpretation by third parties.

Internal Review of the FLRA's Travel Process,

Open

During this reporting period, the FLRA Inspector General began preliminary planning and research for an internal review of FLRA's Travel Process to ensure that travel operations are conducted in compliance with federal travel regulations and are executed efficiently and effectively. This review will include an analysis of services provided by the FLRA's travel center (National Travel Service), and payment center (Department of Interior's National Business Center, as well as FLRA employee knowledge of Federal Travel procedures and usage.

EXTERNAL REVIEWS

During this reporting period there were no external reviews of FLRA operations by external oversight organizations. However, the FLRA Inspector General did participate in a Federal Inspector General Survey sponsored by George Washington University.

INVESTIGATION ACTIVITY

During this period, the Inspector General received and conducted two preliminary investigations:

<u>Case Number</u>	<u>Subject</u>	<u>Status</u>
2001-S-01	Disappearance of Agency Camera	Open Referred to Federal Protective Service
2001-I-11	Threatening Message	Closed Referred to FBI

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.

<u>Case Number</u>	<u>Subject of Assistance</u>	<u>Status</u>
2001-H-02	Private sector employee requested regulations on lunch time and breaks.	Referred to Department of Labor
2001-H-03	Private sector employee requested statutory laws on private sector hiring/firing.	Referred to Department of Labor

2001-H-04	Federal employee alleged termination of job because of use of private vehicle.	Referred to U.S. Postal Service Office of Inspector General
2001-H-05	Federal employee concerned about process of Union decertification.	Referred to FLRA Washington Regional Office
2001-H-06	Private sector employee complaint about employer.	Referred to Department of Labor Inspector General
2001-H-07	Private sector employee alleged contractor falsification of documents to receive Federal Grants.	Referred to Department of Labor Inspector General
2001-H-08	Private sector employee complaint about Union denying lifetime membership.	Referred to Department of Labor Inspector General
2001-H-9	Former Federal employee complaint about EEO counselor providing erroneous information	Referred to EEOC
2001-H-10	Federal employee alleged discrimination.	Referred to EEO
2001-H-12	Private sector employee requested Information on what to do when employer refuses to pay for hours worked.	Referred to the Department of Labor
2001-H-13	Private sector employee requested information on wage board requirements.	Referred to Department of Labor
2001-H-14	Federal employee requested information on workman's compensation.	Referred to Department of Labor.

2001-H-15	Former Federal employee wanted to file a ULP.	Referred to FLRA Dallas Regional Office
2001-H-16	Federal employee alleged failure to pay substantiated workman's compensation.	Referred to US Postal Service Inspector General
2001-H-17	Private sector employee alleged age discrimination.	Referred to EEO
2001-H-18	Private sector employee questioned validity of job termination resulting from co-worker's allegation.	Referred to Department of Labor Inspector General
2001-H-19	U.S. Postal Service employee fax of letter sent to President Bush alleging discrimination.	Forwarded to US Postal Service Inspector General
2001-H-20	Federal employee requested information on right of supervisor to use security system to monitor time and attendance for certain employees.	Referred to Office of Personnel Management
2001-H-21	U.S. Postal Service temporary employee requested investigation of circumstances of his termination.	Referred to US Postal Service IG

OTHER OVERSIGHT ACTIVITIES

Congressional Requests

During this reporting period, the FLRA Inspector General received three Congressional requests for Inspector General information concerning the following topics:

Washington, DC Water and Sewage Payments

January 2001

The Federal Labor Relations Authority Headquarters and the Washington Regional Office are both located in the District of Columbia. The FLRA Headquarters is located in the Westory Building at 607 14th Street N.W., and the Washington Regional Office is located in the Tech World Plaza at 800 K Street N.W. Both Washington D.C. sites are leased through the General Service Administration (GSA). The FLRA Headquarters was located from 1980 to 1993 at 500 C Street NW and leased this space through the GSA. Previous FLRA Washington Regional Office locations, at 1255 22nd Street (1993-1999) and 1111 18th Street (1990-1993), were also leased through GSA. Payment for water and sewer services are included in the rent paid by FLRA to GSA. Therefore, GSA is directly

responsible for the payment of the FLRA's water and sewer services for its Washington D.C. locations.

Compliance with Section 646, Omnibus Appropriations Bill

January 2001

The FLRA operates in compliance with OMB's most recent directive (M-00-13, Privacy Policies and Data Collection on Federal Web Sites, June 22, 2000) concerning "cookies." The FLRA's web site privacy policy clearly states the type of information that is collected through customer access and what is not. The FLRA does not collect personally identifiable information about individuals who access the FLRA web site and does not have any "persistent cookies."

The FLRA has not entered into any agreements with third parties to collect, review or obtain aggregate lists or singular data containing personally identifiable information relating to any individual's access or viewing habits for government and non-government websites. The Government Printing Office (GPO) does provide FLRA with "Webtrends" reports of usage of the FLRA website based on skeletal information as indicated in the FLRA website privacy policy. These reports are purchased through RF-1 forms and do not contain personally identifiable information.

Contractor Overpayments/Duplicate Payments

March 2001

The FLRA IG reviewed appropriate FLRA oversight reports and contract payment documentation for the last 5 years and found only one instance where a contractor was paid twice for the same service. This error was discovered by the FLRA Budget and Finance Division which immediately notified the contractor of the error and resolved the error within the same payment cycle.

FLRA Inspector General Website

During this reporting period, the FLRA Inspector General reviewed and revised the contents of the Office of Inspector General website to include information on the purpose and objectives of the Federal oversight function as well as detailed information on the conduct of audits and investigations and fraud prevention. The FLRA Inspector General website will also contain a list of oversight functions, which will be updated periodically.

Continuing Education

During this reporting period, the FLRA Inspector General obtained 44.5 CPE's by attending the Institute of Internal Auditors Audit and Fraud Conferences and the National Law Institute's Corporate Management Review Conference.

Executive Council for Integrity and Efficiency

During this reporting period the FLRA Inspector General was one of two Executive Council for Integrity and Efficiency Inspectors General to serve on the Presidential Counsel for Integrity and Efficiency/Executive Council for Integrity and Efficiency Legislation Committee.

Review of Legislation

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

- Department of Justice 4410-AR, Confidentiality in Federal Alternative Dispute Resolution Program.
- Office of Management & Budget, DRAFT Guidance on Improving Federal Benefit Program Payment Integrity.
- Chief Information Officer of the United States Act of 2000 (H.R. 4670).
- Federal Information Policy Act of 2000 (H.R. 5024).
- FLRA Instruction 1010.1 Official Flag and Seal of the FLRA.
- Association of Inspectors General Quality Standards for Investigation by Offices of the Inspector General
- Association of Inspectors General Quality Standards for Inspections, Evaluations and Reviews by Offices of the 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.

Section 4(a)(2) Review of legislation and regulations.	Page 18
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 prosecutorial authorities.	None
Section 5(a)(5)	Summary of instances where information was refused.	None
Section 5(a)(6)	List of audit reports.	Page 12
Section 5(a)(7)	Summary of significant reports.	None
Section 5(a)(8)	Statistical table of reports with questioned costs.	None
Section 5(a)(9)	Statistical table of reports with recommendations that funds be put to better use.	None
Section 5(a)(10)	Summary of previous audit reports without management decisions.	None
Section 5(a)(11)	Significant management decision revised during this period.	None
Section 5(a)(12)	Significant management decision with which the Inspector General disagrees.	None

TABLE I: INSPECTOR GENERAL AUDIT REPORTS WITH QUESTIONED COSTS

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

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

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

GLOSSARY

Final Action

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

Funds Be Put To Better Use

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

Management Decision

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

Management Letter

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

Questioned Costs

Expenditures questioned by the Inspector General are usually due to 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.

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

<u>Subject</u>	<u>Status</u>
Audit of Computer Information Security	Completed
FLRA Update of Policy, MOUs, Procedures	Continuing
Internal Review of External Affairs	Completed
FY 99 Annual Performance Plan Evaluation	Completed
Internal Review of Office of the General Counsel's Unfair Labor Practice Charge Investigation Process	Completed
Audit of FLRA's Simplified Acquisitions and Imprest Fund	Open
Internal Review of the FLRA Travel Program	Open

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

New Corrective Actions	29
Open Corrective Actions carried over	65
Total Actions Closed this period	4
Total to be Carried Over	61

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
<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 matters	12/98	12/16/98	Closed
		<i>revised 10/11/00</i>	2. Create Policy for Conducting FLRA Surveys.	9/99	Closed
		3. Conduct Annual Standards of Conduct/ Safety/Security Briefings.	11/98-01/99	12/16/98	Closed
Y2K Management Letter Office of Exec. Director	8/21/98	1. Include a discussion of Findings and Determinations requirement in new FLRA procedure.		9/14/98	Closed
		2. Strategically plan for upgrades to ADP based on technology advances and users need equipment as well as provide cost estimates for the life cycle replacement program & Y2K implementation; Reduce IRM program funding dependency on Central Services Fund.		2/11/98	Closed
		3. Identify computer processes users performed or planned by Agency's computer users.		12/11/98	Closed
		4. Perform move forward date testing for commonly used computer processes.	9/30/99	9/28/99	Closed
		5. Use a software analyzer program to review data applications.		9/28/99	Closed Management decision not to purchase software but to review with trained specialists. Completion date provided by 2/18/99.
		6. Periodically check Internet websites for information on Y2K compliance and independent test results.	12/11/98		Closed
		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		

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		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 communication 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 feasibility of centralized case tracking.	8/25/98	Holding until CCO Review completed.	
		4. Track life cycle man-hour cost 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	1/8/98		
		8. Initiate activities/offsites to FLRA elements bond. FLRA elements bond.	9/18/98		Closed
		9. Revisit and Revise Strategic Planning.		11/3/98	Closed
<u>ROI 98-103</u>	8/31/98	1. Customize standard form letters for denial of appeals.		12/29/98	Closed
Office of General Counsel		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

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		I/6 (A) Ensure that the staff responsible for records management receive appropriate training.	10/98 Revised 12/30/99	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.	9/30/01		Open
		(B) Conduct periodic evaluations.	Every 3 years on October 1.		Ongoing
		(C) Ensure recommendations are being implemented.	Assess 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.	2/30/99 Revised 9/30/2001 Revised 9/30/2001		Open
		(B) Meet with Office Directors to develop retention schedules for all records not in current schedule and get recommendations for changes to current schedule.	6/30/2002		Open
		(C) Develop retention schedules for new records and make changes to current schedules.	6/30/2002		Open
		(D) Submit new schedule for Archivist's approval.	6/30/2002		Open
		(E) Include approved schedule in updated Instruction 1323.1.	6/30/2002		Open
		II/3 Require offices to separate temporary and permanent case files	9/30/ 2001		Open
		II/4 Ensure that photographs that are a part of a permanent case file conform with 35 CFR § 1232	9/30/2001		Open

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
<u>For All Regions</u>					
Recommendation 1		(A) Provide formal records management training for records management staff.	11/98 Revised 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.	5/99 Revised 12/31/99	1/10/00	Closed
<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 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 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.	9/30/2001		Open
Recommendation 4		Offer records management guidance to staff on electronic Records Management and FOIA Procedures (including E-FOIA amendments).	9/30/2001		Open
<u>Management Letter 4/19/98</u>					
<u>Instructions/MOU Updates</u>					
		1 Update all FLRA delegations of authority, Memoranda of Understanding, and instructions to reflect current mission.	12/2000 Revised to 9/30/2001		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.	2/2000 Plan due 12/99 Revised 12/31/2000 Revised 12/31/2001		Open

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		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.			
		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	3/20/01	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
		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

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		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.	4/7/2000	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.	4/7/2000	2/25/2000	Closed
		19. Director, Case Control Office, check all case files prepared in the Case Control Office prior to release to ensure that draft orders are appropriately written and that procedural determinations are correct. 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.		9/30/99	Closed
		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.			

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
<u>Audit of FY 98 Financial Statements 99-01</u>		1. Transition current accounting records process to an accrual basis for at least end of year data to conform with the intent of Federal accounting principles as promulgated by OMB 97-01.		8/26/99	Closed
		2. Explore using the Department of Treasury's Financial Management Service to assist in bringing FLRA's general ledger into compliance with the Standard General 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.	Revised 9/30/2001	9/30/2000	Open
		7. Institute procedures so that the Statement of Transaction Report (FMS 224) is reviewed before submission either by the Accounting Officer or Executive Director.		9/28/99	Closed
		8. Provide detail by major object class, e.g. payroll, travel, etc. for Proprietary Account 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
		11. Instruct Payroll Operations Division in Denver to reconcile Annual Leave Accrual Summary Reports.		9/28/99	Closed

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		5. a. Educate supervisors on obligations and responsibilities in personnel management and performance appraisals.	9/30/2000		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.	6/30/2000	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		Open
		7. Conduct position management reviews and workload analysis on vacated positions prior to rehiring and conduct workload analysis of all organizations to ensure grade levels, classification and allocations support reoccurring mission essential workload.	Management non-concurrence. Considers its budget resources submission an alternative to workload analysis/position management.	5/14/2000	
		8. a. Require all managers/supervisors to acquire training in contemporary management skills and human resource management within 3 months of acceptance of a management/supervisory position. All current managers/supervisors will obtain this training within 6 months of the issuance of this report.			Ongoing
		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. UAE/FLRA review/revise, or cancel, as appropriate MOUs executed prior to and including 1995	9/30/2000	9/20/2000	Closed
		1. Create centralized administrative Tracking System	Management does not concur that Agency needs a centralized administrative tracking system		

Internal Review of
FLRA External Affairs
MAY 2000

Office of the Inspector General
CORRECTIVE ACTION STATUS

April 4, 2001

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		2.c. Revise current instructions for HRD and BFD to include security administration responsibilities for respective systems & require coordination with IRMD.		8/31/01	Open
		2d. Ensure that system owners and program offices perform periodic risk and vulnerability assessments and certify systems.		8/31/01	Open
		2c. Develop & establish agency-wide information security policy through the consolidation of existing instructions.		FY02 1Q	Open
		2f. Centralize management responsibilities for development of security policy procedures and practices, but retain daily security administration with program offices.		FY02 1Q	Open
		2g. Develop procedures to maintain a current inventory of authorized users for each system and for remote access.		FY03 2Q	Open
		2h. Define rules of behavior for each system based in management's defined level of acceptable risk.		FY03 2Q	Open
		2i. Develop procedures to ensure that security officials, systems, and data owners establish and formalize procedures for granting appropriate access and system privileges.		FY03 2Q	Open
		2j. Conduct an agency-wide assessment of information contained within the various systems to identify/classify the sensitivity of information and the security level needed.		6/30/00	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.		FY01 3Q	Open
		2l. Develop procedures for periodically evaluating user privileges and in granting initial access and privileges to systems software and data.		FY02 4Q	Open
		2m. Obtain new remote access software sufficient to preclude unlimited remote dial in access to FLRA network.		(2 Phases) 9/30/01 3/31/02	Open Open
		2n. Implement new software to monitor external access to the network and alert IRMD security personnel of suspicious activities		FY01 3Q	Open

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

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