



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

**SEMIANNUAL REPORT  
TO THE CONGRESS**

**October 1, 1998 to  
March 31, 1999**

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## EXECUTIVE SUMMARY

This is the nineteenth semiannual report issued by the Office of Inspector General (OIG) of 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 during the period October 1, 1998 through March 31, 1999.

During this reporting period, the FLRA Inspector General issued revised policy for the conduct of investigations and audits and issued new policy for Inspector General Assistance and Hotline Requests. FLRA Inspector General conducted two preliminary investigations, and began an Internal Review of the Federal Labor Relations Authority Case Control Office. The FLRA Inspector General competitively contracted for audit services through the Department of Labor Office of the Inspector General. An Audit of FLRA Financial Statements, Financial Management Controls and Central Services Fund commenced in March, 1999. In addition, an Inspector General Peer Review of the FLRA Inspector General audit function was completed by the Federal Trade Commission's Office of the Inspector General. Also, during this reporting period the Office of Personnel Management began a review of the FLRA Human Resource Program.

The FLRA Inspector General responded to twenty-two Hotline assistance requests during this reporting period. Eighteen of these were referred to more appropriate federal sources. The FLRA Inspector General conducted inquiries into three FLRA workplace-hostility issues and facilitated management resolution of a computer security vulnerability found in one organizational unit. The FLRA Inspector General, with the assistance of the Inspector General Offices from the Farm Credit Administration, Federal Maritime Commission, and the National Credit Union Administration, competitively awarded a contract for the performance of an audit of the FLRA FY 98 Financial Statements, Financial Management Controls and Agency Central Services Fund. The FLRA Inspector General continued to work closely with management officials on Y2K conversions which have been given priority Agency attention. At the recommendation of the FLRA Inspector General, the Federal Protective Service performed a security review of the FLRA Headquarters building to ensure both safety and security of personnel and customers. The FLRA Inspector General continues to work closely with management to resolve and correct program and process vulnerabilities in a proactive and preventative manner before they become problems of audit or investigative concern. Management has made substantial progress in correcting deficiencies noted in FY 98 audits, investigations and management letters.

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 consolidated 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: 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 (excluding 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) to certain grievance arbitration awards that are filed by agencies and unions (but not individuals); and (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 in discussing and bilaterally resolving the problems presented in these cases. The FLRA's goal is to avoid, where possible, unnecessary and contentious litigation.

Office of General Counsel: 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 investigations, making prosecutorial decisions, 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 more of their disputes on

their own, without litigation.

Federal Service Impasses 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 was budgeted approximately 216 full-time equivalents (FTE's) for fiscal year 1999, compared with 210 FTE's in FY-1998. For FY-1998, the FLRA was appropriated \$22,039,000 to fully fund the same number of FTE's as in FY-1997 as well as provide for the increased cost of statutory pay raises.

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-management 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 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.

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 reduce the costs of conflicts 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 the Inspector General Act Amendments of 1988, Pub. L. 100-504, which amended the Inspector General Act of 1978, Pub. L. 95-452. 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 FLRA Inspector General's Office is currently staffed with one full time equivalent position - that of the Inspector General. Currently a third year law student provides support to the Inspector General on a part-time basis. Legal advice is provided on an "as needed basis" from the Office of the Solicitor. Assistance with competitive source selection of private sector financial auditors to perform an audit of the Federal Labor Relations Authority Financial Statements, Finance Management Controls and Agency Central Services Fund was provided by several Offices of the Inspectors General belonging to the Executive Council for Integrity and Efficiency.

The Office of Inspector General's budget is part of the Authority's budget. The total allocation for FY 99 operations (excluding the IG's salary) is \$79,000.00 which includes funding for the use of contractors for audits (and investigations, if required.)

## AUDIT ACTIVITY

### FY 98 Financial Statement Audit

In progress

During this reporting period, the FLRA Inspector General signed a Memorandum of Understanding with the Department of Labor's Office of the Inspector General to procure audit services under an existing Department of Labor Office of the Inspector General Procurement Contract. The FLRA Inspector General requested evaluation assistance for the source selection from Inspector Generals who are members of the Executive Council on Integrity and Efficiency. With the assistance of principals from the Offices of the Inspector General from the Farm Credit Administration, Federal Maritime Commission and National Credit Union Administration, a source was selected and an audit of FLRA FY 98 Financial Statements, Financial Management Controls and Central Services Fund commenced. This audit is in progress.

## INTERNAL MANAGEMENT AND PROGRAM REVIEWS

### Case Control Office Process

In progress

During this reporting period, the FLRA Inspector General concluded the research, review and customer interview portions of its internal review of the Case Control Office. The Inspector General is currently analyzing data which will be followed by a report to management. The Case Control Office functions as the "court clerk" of the Authority and is the Agency point of contact for the public and point for filing labor management representation, arbitration, negotiability and unfair labor practice appeal cases. The objective of this review is to evaluate the Case Control Office's efficiency and effectiveness as a vital part of the FLRA mission. The review is comprehensive and covers both administrative and "technical" functions performed by the Case Control Office.

### Federal Protective Service FLRA Headquarters Facility Security Review

Closed November 23, 1998

As a result of the FLRA IG Investigation 98-I- 34 (closed August, 1998), which dealt with a hostile intruder who gained access into the FLRA Headquarters facility by telling an employee that he wanted to make a complaint, the FLRA Security Officer arranged for a Special Assessment of the FLRA Headquarters facility in Washington, D.C. The Security Review indicated that the exterior security systems, the intrusion detection system, exterior building lighting and access control of the facility were all adequate. Similarly, the interior security systems, access control, key control and Duress Alarm System were determined to be adequate. The only security concern stated was that janitorial employees with keyed access to FLRA suites (with exception of the inner office of the Inspector General) had not undergone background security checks. Background investigations of facility janitorial employees are currently underway.



**Office of Personnel Management Review of FLRA  
Human Resource Program**

Open

As part of the Office of Personnel Management's (OPM) plan to review the Human Resource Programs of smaller agencies, OPM began its review at the FLRA by sending a customer survey to all FLRA employees. Interviews with various levels of employees are expected to take place in April, 1999.

**Peer Review of Compliance with Generally Accepted Auditing  
Standards in the Office of the Inspector General, Federal Labor  
Relations Authority**

Open

The Federal Trade Commission's Office of Inspector General completed its Peer Review of FLRA's compliance with generally accepted auditing standards in the conduct of audits. The scope of the audit included activities associated with three performance audits initiated and concluded between March 1, 1994 through March 31, 1998. The preliminary findings stated that the FLRA Office of Inspector General's quality control system and audit operations were in conformance with 13 out of the 14 government standards reviewed. The FLRA has provided comments and is awaiting the final report.

## INVESTIGATIVE ACTIVITY

During this period, the Inspector General received and processed twenty-two Hotline Assistance Requests, three of which resulted in investigations by the FLRA Inspector General. These three Inspector General Assistance requests from FLRA Regional Offices involved interactions with abusive or hostile customers and, in conjunction with the Inspector General, are being examined by the appropriate supervisors. Four Hotline complaints involving labor management issues from Federal employees from Agencies exempted from the FLRA Statute or private sector employees were referred to the National Labor Relations Board. Seven, alleging fraud, waste, abuse, or mismanagement, were referred to the Office of Inspector General at the complainant's agency. The remaining eight dealing with alleged unfair labor practices were referred to the appropriate FLRA Regional Office.

**99-I-01      FLRA Non-Tax Delinquent Debt**

Closed February 16, 1999

At the request of the Department of Treasury's Inspector General, the FLRA Inspector General conducted a review of the sources and status of the \$1039.64 (\$1040.00 indicated on the Department of Treasury's non-tax delinquent debt listing) delinquent debt attributed to the FLRA as a non-CFO Agency. The review verified that the debt dated back to 1994 and that \$116.00 was reported to the Department of Treasury in error, and that the non-tax delinquent debt total should have been \$923.64. At the request of the Inspector General, another attempt to collect this debt was made by the FLRA Budget and Finance Division. An amount of \$170.64, a reimbursement for Health Benefits paid while a former employee was on leave without pay, was collected. Also,

\$444.00 was collected for an American Express charge for an unused airline ticket. Three hundred and nine dollars for past unused but non-refundable airline tickets was not collectable. The Budget and Finance Division has reported both the recouped funds and those funds not collectable to the Department of Treasury.

During this reporting period the Inspector General also performed the following investigations resulting from Hotline, employee complaints and FLRA management requests. These are briefly summarized below:

**99-I-02 Former Employee Threat**

Closed December 9, 1998

A former FLRA employee, now representing a client filing an unfair labor practice charge, became upset with the FLRA attorney-investigator handling the case. The former employee used threatening language specifically directed at the FLRA employee both orally and in writing. The FLRA Inspector General's investigation verified that the former employee was outspoken and potentially volatile. In this particular instance he reacted to what he described as the FLRA's staff member's "arrogance" and "failure to notify him prior to meeting with his clients." At the recommendation of the FLRA Inspector General, the Regional Office Director contacted the former employee and discussed the effect of his actions and requested ethical and professional conduct in the future. The Director of the Regional Office also provided the FLRA staff counseling for such situations.

**99-I-03 Computer Security Review**

Closed February 18, 1999

A Computer Security review was performed on the automated information systems in the Office of the Solicitor. The review verified that all computer security requirements were in place, but showed that employees were erroneously using the internal shared directory to create their own files. To obtain the maximum level of security, the Solicitor's Office was advised that any folders or files used by only one person should be placed in the individual's home directory, not the shared directory. Security was enhanced by ensuring that these employees could not create files in the root directory of the shared file drive.

**99-I-04 Union Steward Threats**

Open

An investigator from an FLRA Regional Office, while performing a routine investigation of an unfair labor practice complaint, was subjected to hostile language and threatening remarks from a Union Steward at the site of the Union. The remainder of the investigation was conducted by telephone to ensure the FLRA investigator's safety.

**99-I-15 Upset Former Federal Worker**

Closed March 1, 1998

A former federal employee called employees at an FLRA Regional Office trying to get records of her unfair labor practice charge allegedly filed by her former union. Because of her highly

emotional manner, Regional employees had difficulty obtaining sufficient information to locate records. They requested the assistance of the Inspector General. The Inspector General was able to obtain sufficient information from the complainant to establish that the charge was filed between 1990-91 at a former FLRA Regional Office which closed in 1991. All records from that office was transferred, archived or destroyed, depending on their nature and age, in accordance with record management regulations. A subsequent thorough search of records at the Regional Office currently responsible for the complainant's region failed to produce any records relating to the complainant.

The following investigation reported as open during the last Semi-Annual Report was closed during this reporting period.

**Integrated Services Digital Number (ISDN) Corporate LAN - Closed October 31, 1998**  
**Access Module (CLAM)**

As a result of the review of monthly AT&T bills, the Inspector General discovered over 2,000 connections of short duration to an FLRA Regional Office via the ISDN. These connections cost FLRA approximately \$300.00. The Information Resources Management Division had inserted a CLAM in June 1998 which apparently was not working properly. Management was advised to notify AT&T and correct the problem. The problem has been corrected.

## **OTHER INSPECTOR GENERAL ACTIVITIES**

### **Workplace Violence Training**

During this reporting period, as a result of several customer threats, hostile telephone calls and correspondence, the FLRA Inspector General provided workplace violence training to the FLRA Boston Regional Office. Based on the Inspector General's recommendation, FLRA management placed greater emphasis on the security of FLRA facilities, the safety of its personnel, and focused on policies dealing with customer contact. The Inspector General briefed FLRA staff on workplace violence indicators and on non-suitability characteristics which should evoke concerns and attention. The Federal Protective Service Security Office was also asked to evaluate the safety of the Washington, D.C., FLRA Headquarters facility.

### **Corrective Action Follow Up**

During this reporting period FLRA management made great progress in correcting and closing out corrective actions from FY 98 audits, reviews and investigations. Forty-three of seventy-seven findings (twenty-nine alone from the National Archives Records Administration Records Management Evaluation) have been corrected and placed in closed status. A detailed listing of FY 98 findings and corrective actions can be found starting on page 21.

### **Inspector General Policies and Procedures**

During this reporting period, the FLRA Office of Inspector General issued policy for FLRA Inspector General Hotline Assistance Requests and Inspector General Investigations and Audits.

### **Memorandums of Understanding**

During this reporting period, the FLRA Inspector General signed two Memorandums of Understanding. The first was with the Inspector General of the Department of Labor which allowed the use of the Department of Labor's Office of the Inspector General's procurement services to competitively obtain private sector contractors. The second Memorandum of Understanding, signed with the Department of Treasury's Inspector General's Office, was for sponsorship and operation of the Inspector General Auditor Training Institute.

### **Y2K Compliance**

During this reporting period, the FLRA Inspector General continued to monitor FLRA Y2K progress, and recommended that efforts and progress be brought to the attention of senior management. Y2K compliant software was recently installed throughout the Agency. Y2K certifications were received from FLRA's principal external partners (Departments of Interior and Treasury), and a contingency plan was established for the FLRA mission-critical Case Tracking System. Testing should be completed by the third quarter of this year and compliance will be reviewed in an audit prior to the end of the year.

### **Executive Council on Integrity and Efficiency**

The FLRA Inspector General continues to be an active member of the Executive Council on Efficiency and Integrity and routinely participates in its activities.

### **Federal Law Enforcement Training Academy**

During this reporting period, the FLRA Inspector General attended an Investigations Seminar at the Federal Law Enforcement Training Academy in Brunswick, Georgia. The Federal Law Enforcement Training Academy also includes an Inspector General Investigations Academy which provides investigation training for Inspectors General staff. This facility is sponsored by Inspectors General from the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency.

### **Fraud Prevention Program**

The FLRA Inspector General continues to maintain an active Fraud Prevention Program, write articles imparting oversight news for the FLRA Newsletter, and review proposed administrative support policy. The Inspector General has placed FLRA Inspector General policy and

procedures on the FLRA's internal website. The FLRA Inspector General continues to work with management principals in a consulting manner to improve operational processes and resolve systemic issues before they become audit concern or problems.

### **Competitive Source Selection**

The FLRA Inspector General, with the assistance of a source selection team comprised of Inspector General principals from the Farm Credit Administration, Federal Maritime Commission and National Credit Union, evaluated six competitive proposals submitted in response to a FLRA Office of Inspector General Task Order. The Task Order was under a procurement contract held by the Department of Labor's Office of the Inspector General. A contractor was selected to perform an audit of FLRA FY 98 Financial Statements, Financial Management Controls, and the Agency Central Services Fund. This audit is now in progress.

### **Office of Inspector General Records Management**

A complete inventory and reorganization of historical and current files in the Office of Inspector General was completed during this reporting period. The initiative was in compliance with an FLRA plan formulated in response to a National Archives and Records Administration Review of FLRA's Records Management. The review was conducted in early 1998, and issued in July, 1998. As a result, the FLRA Office of Inspector General will be able to retire appropriate records in compliance with the Records Management Act (44 U.S.C. 3102).

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

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

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

**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**

<b>INSPECTOR GENERAL REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE</b>	<b>NUMBER OF REPORTS</b>	<b>DOLLAR VALUE</b>
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.	0	0
(I) dollar value of recommendations that were agreed to by management.	0	0
(ii) dollar value of recommendations that were not agreed to by management.	0	0
D. For which no management decision was made by the end of the reporting period.	0	0



## **GLOSSARY**

### **Management Decision**

A final decision made by management in response to audit report recommendations that may include actions determined to be necessary or unnecessary.

### **Questioned Costs**

Expenditures questioned by the Inspector General due to:

- UNSUPPORTED COSTS, which involve inadequate documentation.
- DISALLOWED COSTS, which involve an alleged violation (concurring with Management's decision) of a law, regulation, grant, contract, or other agreement.
- UNNECESSARY OR UNREASONABLE COSTS.

During this reported period, the Inspector General's review of AT&T billings noted two months of billing approximating \$300.00 from over 2000 connections to one FLRA regional office on an Integrated Services Digital Service System number.

### **Final Action**

Management's completion of either all actions necessary to implement report recommendations or a management decision that 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 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 on-going or completed audits or investigations. They may also be used to expand previously issued audit report recommendations.

### **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's failure to

accomplish mission functions or could result in additional costs or lost funds exceeding \$5,000. During this reporting period, there were no opened significant recommendations.

# FLRA INSPECTOR GENERAL HOTLINE/ASSISTANCE CASE REPORT

October 1, 1998 - March 31, 1999

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
99-01	Federal employee at Brooks Air Force Base unable to obtain information.	Closed Referred to Dept. of Army IG.
99-02	Retired, disabled military & Postal Service employee requires information on disability benefits.	Closed Referred to HHS Beneficiary Funds Director.
99-03	Private sector Union member alleges abusive supervisor and non-compliance with Family Leave Act.	Closed Referred to National Labor Relations Board.
99-04	Former employee at Bureau of Employee alleges misuse of Government funds.	Closed Referred to Dept. of Interior IG.
99-05	Department of Defense employee alleges delinquent promotion.	Closed Referred to Dept. of Defense IG.
99-06	Request for information on private sector health care benefits.	Closed Referred to HHS and DOL.
99-07	Non-union civilian employee at USMC Cherry Point, N.C. required information on how to file an unfair labor practice charge and mismanagement complaint.	Closed ** Referred to FLRA Atlanta Regional Office and Dept. Defense IG.
99-08	Civilian union employee of USMC Cherry Point, NC, requested a copy of Title 5 and unfair labor practice forms.	Closed Referred to FLRA Atlanta Regional Office.
99-09	Former Walter Reed federal employee requested advice on validity of an unfair labor practice charge.	Closed Referred to FLRA Washington Regional Office.
99-10	Smithsonian federal employee alleges physical and psychological abuse by supervisor and refusal of Union to represent him in a disciplinary action.	Closed ** Referred to FLRA Washington Regional Office and Smithsonian IG.
99-11	Union Representative alleges Union election is unfair and improper.	Closed Referred to FLRA San Francisco Regional Office.

99-12	Veteran and former union employee of Dept. of Veteran Affairs alleges mismanagement of VA domiciliary. Union has separately contacted FLRA Regional Office.	Closed Referred to FLRA San Francisco Regional Office and Dept. of Dept of Veteran Affairs IG.
99-13	Postal Service letter carrier alleges employer ignoring limitations placed by physician for injury sustained on duty.	Closed Referred to Postal Service IG.
99-14	Wife of injured Postal Service employee alleges non-support of Postal Service, Department of Labor and NALC.	Closed Referred to Postal Service IG.
99-15	Highly emotional former Social Security employee trying to obtain unfair labor practice charge documentation filed by her former union years ago at FLRA New York Regional Office.	Closed *
99-16	Union Steward hostile and threatening to FLRA San Francisco Regional Office investigator.	Open *
99-17	Postal Service employee alleges he was directed by supervisor to purchase drugs.	Closed Referred Postal Service IG
99-18	Former FAA Air Traffic Controller/Postal Service employee alleges rehire of 10 Controllers without considering veterans and employees with disabilities.	Closed Referred to Dept. of Transportation IG
99-19	Former U.S. Postal Service employee on disability alleges mishandling of case and violation of Americans with Disability Act.	Closed Referred to DOL IG. cc to U.S. Postal Service.
99-20	Civilian former union member employee at naval Warfare Center alleges mismanagement and failure of Union to represent him in disciplinary action.	Closed Referred to FLRA Boston Regional Office or Dept. of Defense/Navy IG
99-21	Federal employee had filed IG complaint with Department of Labor and has not received any follow-up.	Closed Referred to DOL IG.
99-22	Private sector employee requested information regarding corporate right to release employee's social security number.	Closed Referred to Dept. of Labor.

\* Handled by the FLRA Inspector General

\*\* Complaints made aware of distinction between filing unfair labor practice charge and mismanagement complaint with FLRA.

**FLRA OFFICE OF INSPECTOR GENERAL  
SEMI-ANNUAL HOTLINE/ASSISTANCE  
CASE SUMMARY**

**October 1, 1998 - March 31, 1999**

Open Cases from Prior Period	1
Cases Processed this Period	22
Cases Opened this Period	3
Administrative	3
Criminal	0
Cases Closed this Period	3
Cases Referred this Period	19
Other Federal Agency Inspector General	11*
FLRA Regional Offices	8**

\*1. Cases dealing with fraud, waste, abuse, mismanagement not involving FLRA employees or contract personal referred to appropriate agency Inspector General.

\*\*2. a. Cases dealing with federal labor- management issues referred to appropriate FLRA Office. Three of these also dealt with alleged systemic management issues and were also referred to appropriate agency Inspector Generals.

b. Cases dealing with private sector labor -management issues referred to the National Labor Relations Board.

c. Cases dealing with Workman's Compensation issues referred to the Department of Labor.

**FLRA INSPECTOR GENERAL  
MANAGEMENT CONSULTATION PROJECTS  
SUMMARY**

October 1, 1998 - March 31, 1999

<u>Subject</u>	<u>Status</u>
Y2K Implementation: Review of FLRA Activities to Address Potential Year 2000 Problems	Continuing
Management Review of the Case Control Office	Open
ISDN Clam	Closed
Security of Facilities	Closed

**FLRA INSPECTOR GENERAL  
CORRECTIVE ACTION SUMMARY**  
October 1, 1998 - March 31, 1999

Total Corrective Actions	77
Total Corrective Actions Completed	51
Total Corrective Actions Open	26

March 31, 1999  
CORRECTIVE ACTION STATUS

Office of the Inspector General  
FLRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<u>ROI 98-01</u> Veiled Threat/ Survey Office of Exec. Director	4/7/98	1. Conduct Lessons Learned a. Ethics b. External Communications c. Action Officer- Management Relationships d. Accountable Staffing of Documents e. Management Oversight f. Safeguarding FLRA personnel & property g. Reporting critical matters	12/98	12/16/98	Closed	Thomas
		2. Create Policy for Conducting FLRA Surveys.	9/99		Closed	Thomas
		3. Conduct Annual Standards of Conduct/ Safety/Security Briefings.	11/98-01/99	12/16/98	Closed	Thomas Smith
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	Mullen
		2. Strategically plan for upgrades to ADP based on technology advances and user's need as equipment 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	Kennedy
		3. Identify computer processes users performed or planned by Agency's computer users.	12/11/98		Closed	Kennedy
		4. Perform move forward date testing for commonly used computer processes.	9/30/99		Open	Kennedy
		5. Use a software analyzer program to review data applications.		Management decision not to purchase software but to review with trained specialists. Completion date to be provided.	Open	Kennedy
		6. Periodically check Internet websites for information on Y2K compliance and independent test results.	12/11/98		Closed	Kennedy
		7. a. Establish appropriate contingency plans for external partners that are not adequately addressed by either external party or the selected liaison.  b. Establish a contingency plan for case tracking.	10/99	1/15/98	Closed	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		Open	Mullen



## CORRECTIVE ACTION STATUS

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Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<b>Telecommunications Audit Continued</b>						
	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.	3/2/99		Closed	Mullen
	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	Mullen
	5.	Require employees to change mailbox passwords every 6 months.	9/30/98	12 /4/98	Closed	Mullen
	6.	Confirm that employees assigned new mailboxes have changed default passwords.	9/30/98		Open	Mullen
	7.	Periodically review the number of active mailboxes.			Open	Mullen
	8.	Provide Telephone Coordinator training on Merlin system.	FY1999	12/4/98	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	Mullen Kessler
	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	Kessler
	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.		Closed	Kessler
	12.	Do not renew maintenance options on the regional phone instruments and telephone cords.	9/30/98	12/4/98	Closed	Mullen
	13.	Purchase a small stock of instruments and cords as replacement items for equipment breakdowns.	9/30/98	12/4/98	Closed	Mullen
	14.	Establish a time table to reduce the number of Headquarters telephone line connections.	1/31/99	1/4/99	Closed	Mullen

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### Office of the Inspector General FLRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<b>Telecommunications Audit Continued</b>						
		15. Direct IRM staff to test Internet communications to determine existing system effectiveness.	Continuing	12/4/98	Closed	Kennedy
		16. Conduct feasibility study to determine the best transmission configuration to increase the effectiveness of Internet and WAN operations.	9/30/99	12/4/98	Closed	
<b>ROI 98-02 Internal Review FSIP</b>	6/1/98	*1. FSIP/ FLRA consider merits of Video-conferencing. Present to Presidentials/Chair.	8/25/98	9/3/98	Closed	Internal
		2. Revise case processing to accelerate time for asserting jurisdiction.	Ongoing	11/3/98	Closed	
		*3. Sponsor task force to feasibility of centralized case tracking.	8/25/98		Holding until CCO Review completed	Bolden Segal
		4. Track life cycle man-hour costs of FSIP case handling.	9/30/98	12/9/98	Closed	Schimansky
		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	Schimansky
		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	Schimansky
		7. Increase focus on FSIP awareness training for federal management and union representatives.	9/30/98	11/3/98	Closed	Schimansky
		a. Charleston, SC	9/18/98			
		b. Virginia Beach, VA	11/8/98			
		*8. Initiate activities/offsites to FLRA elements bond.	9/18/98		Closed	Bolden Segal
		9. Revisit and Revise Strategic Planning.			Closed	Schimansky
<b>ROI 98 103 Rosenblatt Office of General Counsel</b>	8/31/98	1. Customize standard form letters for denial of appeals.		12/29/98	Closed	Feder
		2. Hold OGC managers accountable for following OGC policies and procedures.		12/29/98	Closed	Swederski

## CORRECTIVE ACTION STATUS

### Office of the Inspector General FLRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<b><u>I-98-34</u></b>						
<b>CCO Intruder (FPS) Authority</b>	8/27/98	1. Have FPS assess Westory and FLRA physical security.		12/7/98	Closed	Magruder
		2. Conduct Security Brief for FLRA personnel.		12/9/98	Closed	Magruder
<b><u>I-99-01</u></b>	10//98	1. Verify/Redefine FLRA Non-tax delinquent debt on rolls of Dept. of Treasury.	2/99	10/20/98	Closed	Kopper
<b>Non-Tax Delinquent Debt (Management Letter) Office of Exec. Director Budget &amp; Finance</b>		2. Collect as much of outstanding debt as possible.	2/99	1/28/99	Closed	Kopper
<b><u>I-99-02</u></b>	12/11/99	1. Director, Denver Regional Office meet with subject investigator to try to resolve problem.	12/31/98	12/11/99	Closed	Bradford Thompson
<b>Threatening FAX (Management Letter) Office of General Counsel</b>		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	1/28/9	Closed	Bradford Thompson
<b><u>I-99-03</u></b>	12-10-98	1. Conduct Computer Security Assessment and revise access process, if required.	3/1/99	2/28/99	Closed	Kennedy
<b>Protection Access (Memorandum) Office of Exec. Director Information Resource Mgt.</b>		2. Conduct periodic systems checks to correct any problems.			Ongoing	Kennedy
<b>FPS Security Review Special Assessment DC0417ZZ</b>	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	Mullen
<b><u>NARA EVALUATION</u></b>						
<b>Records Evaluation of Federal Labor Relations Authority</b>						
<b>Section I</b>						
	July 1998	I/1 Update FLRA Regulations 1323.1 to indicate that the records management duties are currently assigned to the Director/ASD.	10/21/98	10/21/98	Closed	Mullen
		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	Off. Dir.

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Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<b>NARA Evaluation Continued</b>						
	I/3	Add the following definitions: "Unscheduled records," "Temporary records," and "permanent records" & add General Records Schedules description as the NARA-approved schedules dealing with the disposition of administrative records.	By the end of FY 2001.		Open	Mullen
	I/4	Ensuring staff review and become aware FLRA Regulation 1323.1's record management provisions.	Annually-November		Open	Off. Dir.
	I/5	Ensure that staff knows whom to consult about records management issues.	10/21/98	10/21/98	Closed	Mullen
	I/6	(A) Ensure that the staff responsible for records management receive appropriate training.	10/98		Open	Mullen
		(B) Ensure records management managers are trained.	FY 99		Open	Mullen
		(C) Add records training to the Records Coordinators Individual Development Plan.	12/98	4/99	Closed	Off. Dir.
	I/7	(A) Ensure professional staff are given information on records management policies and procedures.	As needed.	1/21/99	Closed	Mullen
		(B) Ensure records are scheduled.	Annually- in conjunction with I/4.		Open	Off. Dir.
	I/8	(A) Develop a self-evaluation record management checklist and distribute.	10/1/2001		Open	Mullen
		(B) Conduct periodic evaluations.	Every 3 years on October 1.		Open	Off. Dir.
		(C) Ensure recommendations are being implemented.	Implement every 3 years.		Open	Mullen
<b>Section II</b>	II/1	Ensure that the maintenance of records documenting agency actions, policies and procedures is current and distributed to staff.	By the end of FY 2001.		Open	Mullen
	II/2	(A) Review working case files retention practices maintained by chair and members.	FY99/ Issue Purchase Order no later than 8/99.		Open	Mullen (Contractor)
		(B) Meet with Office Directors to develop retention schedules for all records not in current schedule and get recommendation for changes to current schedule.	Within one month of file survey completion.		Open	Mullen
		(C) Develop retention schedules for new records and make changes to current schedules.	Within 6 months of file survey completion.		Open	Mullen

## CORRECTIVE ACTION STATUS

### Office of the Inspector General FLRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<b>NARA Evaluation Continued</b>						
		(D) Submit new schedule for Archivist's approval.	Within 1 month after office Director's approval of new retention schedules.		Open	Mullen
		(E) Include approved Schedule in updated Instruction 1323.1.	Within 1 month after receiving Archivist's approval.		Open	Mullen
	II/3	Require offices to separate temporary and permanent case files.	By the end of FY 2001.		Open	Mullen
	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	Mullen
	II/5	Establish a Vital Records Program.	By the end of FY 2001.		Open	Mullen
	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	Mullen
	II/7	Consider the offsite maintenance/storage of copies of vital records.	Within 6 months after file survey is completed.		Open	Mullen
<b>Section III</b>	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	Kennedy
		(B) Develop and submit to NARA proposed records schedules for unscheduled records.	Within 1 month of after office approval of all new RS.		Open	Mullen
		(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	Off. Dir.
		(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	Off. Dir.
	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	Off. Dir.
	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	10/21/98	Closed	Mullen

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### Office of the Inspector General FLRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status	POC
<b>NARA Evaluation Continued</b>						
	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	Mullen
	III/7	Transferring eligible publications (1979-1983) to the National Archives according to Records Control Schedules instructions.	No later than 8/99.		Open	Mullen
	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	Off. Dir.
		(B) Apply selection criteria before cases are retired to records center.	By end of FY 2001.		Open	Mullen
		(C) Ensure that responsible FLRA officials examine retired record center case files that may contain permanent records and apply appropriate selection criteria.	Ongoing		Open	Mullen
<b><u>For All Regions</u></b>						
Recommendation 1		(A) Provide formal records management training for records management staff.	11/98	1/28/99	Closed	Mullen
		(B) Identify training for Records Coordinators and Managers.	FY 1999	1/28/99	Closed	Mullen
Recommendation 2		(A) Use FLRA schedules criteria to identify case files that may warrant permanent retention.	3/99	4/5/99	Closed	Off. Dir.
		(B) Segregate the files identified above and transfer them to the appropriate records center.	4/99	4/5/99	Closed	Off. Dir.
		(C) Certify to Director ASD that (1) and (2) have been completed.	5/7/99		Open	Off. Dir.
<b><u>For Chicago Regions</u></b>						
Recommendation 1		(A) Transfer the 5 Unfair Labor Practice cases to National Archives Great Lakes Region according to N1-146-86-1, Item 35a.	5/7/99		Open	Off. Dir.
		(B) Certify to Director ASD that (1) is complete.	5/7/99		Open	Off. Dir.
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.	5/7/99		Open	Off. Dir.
		(B) Segregate the files identified above and transfer to the appropriate Records Center.	5/7/99		Open	Off. Dir.

**CORRECTIVE ACTION STATUS**

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<b>Report No.</b>	<b>Issued</b>	<b>Recommendation</b>	<b>Target Completion</b>	<b>Actual Date</b>	<b>Status</b>	<b>POC</b>
<b>NARA Evaluation Continued</b>						
		(C) Certify to ASD that (1) & (2) have been completed.	5/7/99		Open	Off. Dir.
<b>Recommendation 3</b>		Formalize the creation/maintenance/disposition of admin. records to the same extent as program records.	By the end of FY 2001.		Open	Mullen
<b>Recommendation 4</b>		Offer records management guidance to staff on electronic Records Management and FOIA Procedures (including E-FOIA amendments).	By the end of FY 2001.		Open	Mullen

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**REPORT: FRAUD, WASTE, ABUSE, AND MISMANAGEMENT**

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