



Forty years promoting and protecting labor-management relations for effective, efficient government.

FINAL

**U.S. FEDERAL LABOR RELATIONS AUTHORITY
CONGRESSIONAL BUDGET JUSTIFICATION**

Decisions of the
FEDERAL
LABOR
RELATIONS
AUTHORITY

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**UNITED STATES
FEDERAL LABOR RELATIONS AUTHORITY**



**Congressional Budget Justification
Fiscal Year 2019**



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U.S. FEDERAL LABOR RELATIONS AUTHORITY

BACKGROUND AND MISSION

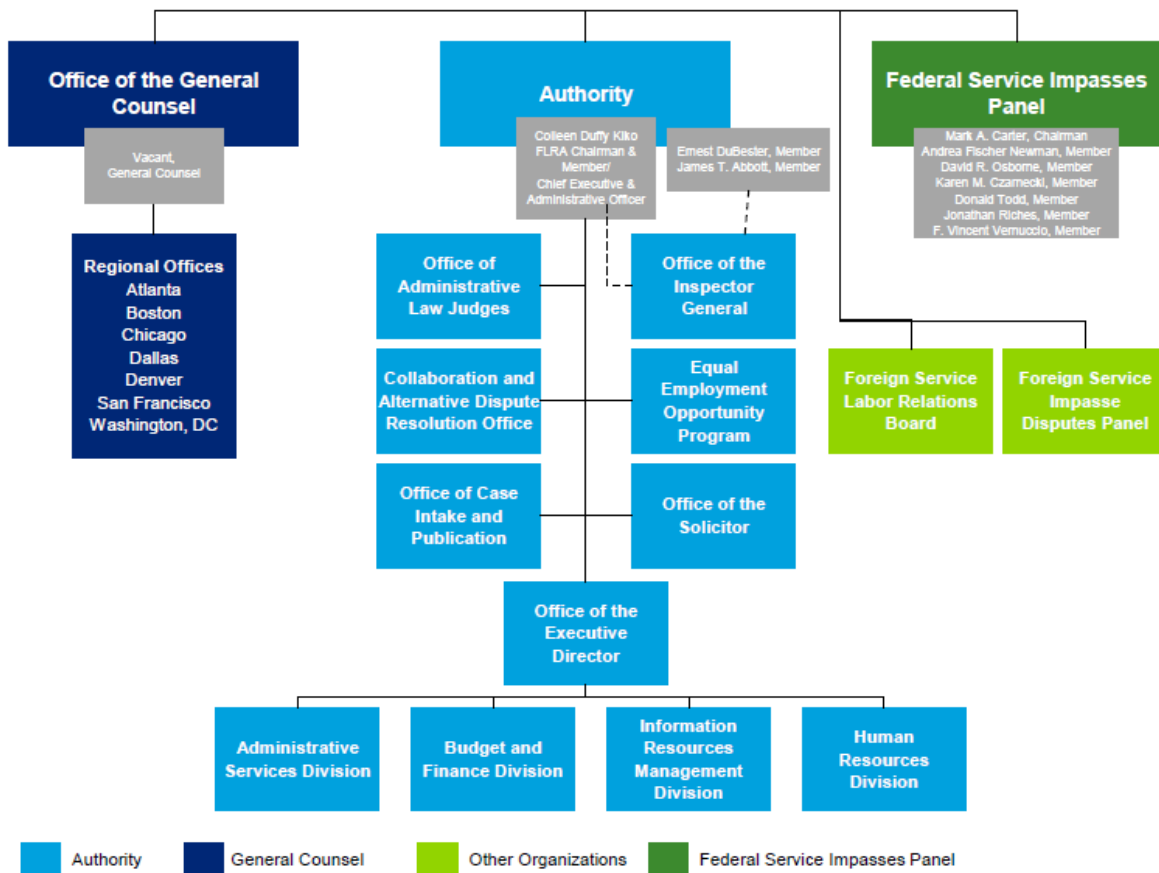
The U.S. Federal Labor Relations Authority (FLRA) is responsible for establishing policies and guidance regarding the labor-management-relations program for 2.1 million non-Postal Federal employees worldwide, approximately 1.2 million of whom are represented in 2,200 bargaining units. The FLRA was created by Title VII of the Civil Service Reform Act of 1978, also known as the Federal Service Labor-Management Relations Statute (the Statute). The agency's genesis dates from the issuance of [Executive Order 10988](#) by President Kennedy in 1962. In 2012, the FLRA celebrated the 50th anniversary of the Order, which established the first Government-wide, labor-management-relations program within the Federal Government. In 1970, President Nixon established the Federal Labor Relations Council, by [Executive Order 11491](#), to administer the Federal labor-management-relations program and to make final decisions on policy questions and major disputes arising under Executive Order 10988. Executive Order 11491, as amended, was the basis for President Carter's proposal to the Congress to create the FLRA as an independent agency.

The Statute establishes management's rights, employees' rights, and union rights. For example, the Statute sets forth the authority of agency management to determine, among other things, the agency's mission, budget, organization, number of employees, and internal security practices. It also establishes the rights of Federal employees to form, join, or assist a labor organization, or to refrain from such activity, freely and without fear of penalty or reprisal. It is the role of the FLRA to provide leadership in establishing policies, guidance, and case law relating to all of these statutory rights and responsibilities.

The mission of the FLRA is to promote stable, constructive labor-management relations through the timely resolution and prevention of labor disputes in a manner that gives full effect to the collective-bargaining rights of employees, unions, and agencies. Although the FLRA is a small agency, accomplishing its mission – including timely, quality, and impartial resolution of labor-management disputes – is essential to and promotes the effectiveness and efficiency of program performance Government-wide.

ORGANIZATIONAL STRUCTURE

The FLRA is organized into three statutory components – the Authority, the Office of the General Counsel (OGC), and the Federal Service Impasses Panel (FSIP) – each with unique adjudicative or prosecutorial roles. The agency also provides full program and staff support to two other organizations – the Foreign Service Labor Relations Board and the Foreign Service Impasse Disputes Panel.



The Authority

The Authority comprises three full-time, presidentially nominated and Senate-confirmed Members who are appointed for fixed, five-year, staggered terms. The President designates one Member to serve as Chairman. The Chairman acts as the agency’s chief executive and administrative officer.

The Authority is responsible for adjudicating unfair labor practice (ULP) complaints, ruling on exceptions to arbitrators’ awards, resolving disputes over the negotiability of collective-bargaining proposals and provisions, and deciding applications for review of Regional Directors’ decisions in representation disputes.

Other program offices under the jurisdiction of the Authority include the Office of the Solicitor, the Office of Administrative Law Judges (OALJ), the Office of Case Intake and Publication (CIP), and the Collaboration and Alternative Dispute Resolution Office (CADRO).

The Office of the Solicitor represents the FLRA in court proceedings before all U.S. courts, including the U.S. Supreme Court, the U.S. Courts of Appeals, and the Federal District Courts. In this connection, parties aggrieved by certain Authority orders may institute an action for judicial review within 60 days after the order issues. The Authority may also seek enforcement

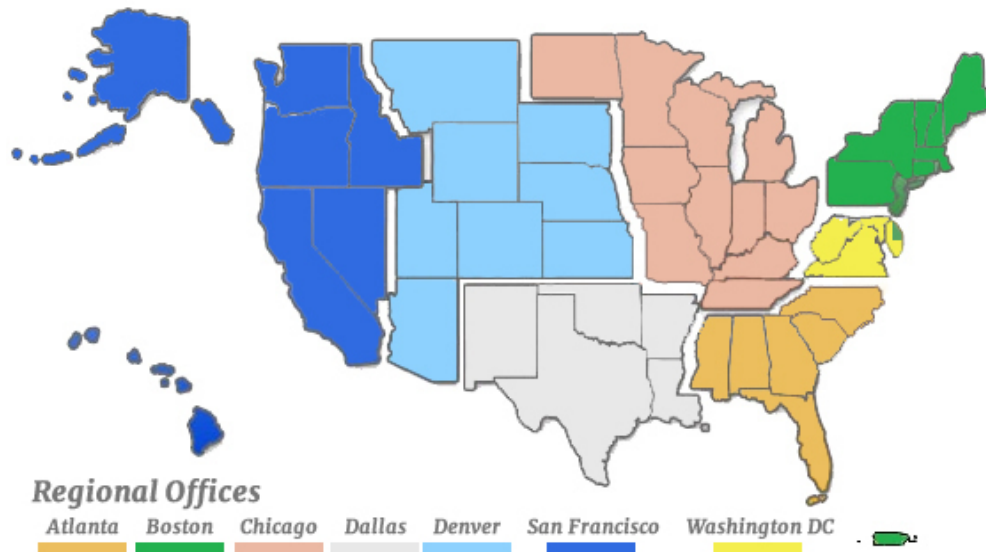
of its orders, temporary relief, or restraining orders in the appropriate U.S. Courts of Appeals or Federal District Courts. The Office of the Solicitor also serves as the agency's in-house counsel, providing legal advice to all FLRA components, and performs various functions under the Freedom of Information Act and the Privacy Act. The Solicitor also serves as the Designated Agency Ethics Official.

The Authority Members appoint Administrative Law Judges (ALJs) to hear and prepare recommended decisions in cases involving ULP complaints, as well as decisions involving applications for attorney fees filed pursuant to the Back Pay Act or the Equal Access to Justice Act. The OALJ – through its Settlement Judge Program – also provides ADR services in all ULP cases. Recommended decisions of the ALJs may be appealed to the Authority.

The Office of the General Counsel

The General Counsel, who is appointed by the President with the advice and consent of the Senate, has separate and independent responsibilities from the Authority. Under the Statute, the General Counsel has sole responsibility over the investigation and prosecution of ULP cases. The General Counsel's determinations in these matters are final and unreviewable. The General Counsel has direct authority over, and responsibility for, all employees in the OGC, including those in the FLRA's Regional Offices. Approximately 50 percent of the entire FLRA staff is employed in the regions, where all ULP charges and representation petitions are filed and investigated. The Regional Offices, on behalf of the General Counsel, investigate and resolve alleged ULP charges, file and prosecute ULP complaints, effectuate compliance with settlement agreements and Authority Orders, and provide training and ADR services. In addition, through delegation by the Authority, the Regional Offices investigate and resolve representation cases and conduct secret-ballot elections.

The General Counsel has a small staff at FLRA Headquarters, located in Washington, D.C. Headquarters management provides administrative oversight; develops policies, guidance, procedures, and manuals that provide programmatic direction for the Regional Offices and training and education for the parties; and processes appeals from the Regional Offices' dismissals of ULP charges. Each Regional Office is headed by a Regional Director who provides leadership and management expertise for the respective region. Collectively, the Regional Directors work with senior management throughout the FLRA to develop and implement policy and strategic initiatives to accomplish the FLRA mission.



The Federal Service Impasses Panel

The FSIP resolves impasses between Federal agencies and unions representing Federal employees arising from collective-bargaining negotiations over conditions of employment under the Statute and the Federal Employees Flexible and Compressed Work Schedules Act. The FSIP comprises seven part-time Presidential appointees – a Chairman and six other Members – who are appointed to fixed, five-year, staggered terms.

If bargaining between the parties, followed by mediation assistance, does not result in a voluntary agreement, then either party or the parties, jointly, may request the FSIP's assistance. Following a preliminary investigation by its staff, the FSIP may determine to assert jurisdiction over the request. If the FSIP asserts jurisdiction, then it has the authority to recommend or direct the use of various ADR procedures, including informal conferences, additional mediation, fact-finding, written submissions, and mediation-arbitration by FSIP Members, the FSIP's staff, or private arbitrators. If the parties are still unable to reach a voluntary settlement, then the FSIP may take whatever action it deems necessary to resolve the dispute, including imposition of contract terms through a final action. Parties may not appeal the merits of the FSIP's decision to any court.

AGENCY TRENDS AND CHALLENGES

The FLRA's mission is to promote stable, constructive labor-management relations through the timely and effective resolution and prevention of labor disputes in a manner that gives full effect to the collective-bargaining rights of employees, unions, and agencies. It carries out its mission in a manner that meets the special obligations and needs of the Federal Government and is consistent with the requirement of an effective and efficient Government.

Mission – Case Processing & ADR

With respect to mission accomplishment, the FLRA as a whole has shown tremendous ability to provide its customers with timely and quality adjudication and dispute-resolution services, while adapting to fluctuations in the number of case filings that it receives. And it has done so against a backdrop of relatively flat funding and staffing levels. In FY 2017, the FLRA met or exceeded nearly every mission-related performance goal, as it did in FY 2016.

- ***Authority***

Consistent with the FLRA’s 2015-2018 Strategic Plan, the Authority changed its performance measures beginning in FY 2017 to shorten case-processing times – from 180 days to 150 days in 75 percent of non-representation cases. In FY 2017, the Authority also implemented measures for ensuring that the cases not “captured” by those 75 percent targets do not go significantly overage. The new measure is to ensure that 95 percent of all cases issue within 365 days.

The Authority’s FY 2016 performance successes placed it in a position to more efficiently and expeditiously process all of its cases in FY 2017 – and continuing into FY 2018.

In FY 2017, the Authority met its new target of 150 days in 79 percent of arbitration cases, 50 percent of ULP cases, and 75 percent of negotiability cases. And it is meeting its 365-day target in 100 percent of all cases. Further, as in previous years, the Authority continued to meet the statutory requirement of addressing 100 percent of representation cases within 60 days of an application for review from a Regional Director’s determination.

It is important to note that, for nearly a full year beginning on January 3, 2017, the Authority had only two of its three presidentially appointed, Senate-confirmed Members in place. Although Member staffs continued to prepare draft decisions, when the two current Members were unable to reach consensus on the disposition of a case, no decision could issue. Those cases were held in “abeyance” until the new Members of the Authority were confirmed by the Senate and sworn in on December 11, 2017. Accordingly, the Authority began FY 2018 with a significant backlog of cases – 60 percent of its inventory – in contrast to the beginning of FY 2017, which the Authority began with no backlog and only one “overage” case.

In FY 2017, the Authority continued to demonstrate its commitment to fulfilling its statutory mission of providing guidance to the labor-management-relations community. To that end, the Authority continued to review and make regular updates to its Comprehensive Arbitration Training and Comprehensive Negotiability Training programs, including instructional slides, interactive exercises, and other handouts. Of note, the Authority divided the Negotiability Training into two separate full-day sessions – *Navigating the Negotiability Process* and *Negotiability In Depth: Management Rights and Beyond* – to very positive reviews. Moreover, in FY 2018, the Authority will continue to update its other educational tools, specifically, its comprehensive *Guide to Arbitration under the Statute*, which provides guidance to arbitrators and parties to arbitration cases – the most common case type filed with the Authority.

The OALJ – also part of the Authority – met or exceeded all of its performance goals in FY 2017. The OALJ encourages Federal unions, agencies, and OGC representatives to utilize its

Settlement Judge Program, which has been historically successful in resolving cases without the need for costly litigation involving a hearing or written decisions. In FY 2017, the Settlement Judge Program offered settlement assistance to 100 percent of the parties involved in ULP cases. And, of the cases in which the parties accepted settlement assistance, nearly 95 percent were resolved without a hearing. This reduced the number of adversarial hearings needed to 14. In addition, the OALJ resolved 93 percent of all ULP cases, including those that required an adversarial hearing, within 180 days. As a result, Federal agencies and unions received timely resolution of their labor disputes, which facilitates and improves employee performance and creates a more effective and efficient Federal Government. Further, the OALJ issued decisions on 98 percent of ULP cases within 365 days of the complaint being issued.

CADRO is also part of the Authority, and it primarily assists Federal agencies, and the unions that represent Federal employees, in resolving negotiability disputes. Once again in FY 2017, 100 percent of negotiability cases in which the parties mutually agreed to use CADRO resulted in full or partial resolution of the underlying dispute and closure of the pending case – exceeding the goal of 90 percent in that category. CADRO helped parties in more than 30 cases resolve more than 200 distinct negotiability questions (proposals or provisions).

Almost all of the cases that CADRO resolves would have otherwise required decisions by the Authority. For example, during FY 2017, a union representing thousands of public-safety-related employees in a cabinet-level agency presented CADRO with 15 separate cases containing 119 negotiability and bargaining-obligation disputes. CADRO not only helped the parties resolve every individual dispute and complete their underlying collective-bargaining agreements, but also supported the parties at the national level as they constructed global solutions to ultimately prevent similar disputes from arising in the future. As a result, the parties averted additional costly litigation, implementation delays, and associated adverse impact on mission and quality of work life.

- *OGC*

The OGC continued delivering strong results in FY 2017. The OGC met its strategic performance goals for the timely resolution of ULP and representation cases (resolving 73 percent or 2,984 of all ULP cases within 120 days of the filing date and 68 percent or 179 representation cases within 120 days of filing) and continued closing cases at increased rates.

In conjunction with the OGC's emphasis on resolving cases in a timely and high-quality manner, the OGC has continued to offer voluntary ADR services to resolve cases. This is particularly important as the OGC has the largest case intake among all of the FLRA components (handling over three quarters of the FLRA's total case intake) and is the FLRA component with which the parties have the most direct contact. The beneficial effects of voluntary resolutions are obvious, and they advance the effective and efficient utilization of Government resources.

In FY 2017, the OGC resolved over 780 ULP cases by voluntary settlement during the investigative process. In addition, the OGC resolved 100 percent of the ULP cases and over 98 percent of the representation cases in which the parties agreed to use the OGC's ADR

services. These successful voluntary ADR efforts resulted in significant savings of Governmental staff and budgetary resources. For example, during FY 2017, the OGC successfully employed ADR to resolve several clarification-of-unit petitions involving over 300 positions. The parties in these cases requested that the OGC provide ADR services with an eye toward avoiding the formal hearing process (on-the-record hearing, followed by briefing, and issuance of a formal decision with appeal rights). The OGC met with the parties involved in these cases and through a combination of educating the parties on the applicable legal standards, obtaining information concerning the duties and responsibilities of the positions in dispute and facilitating a constructive dialogue and review of the positions at issue, the parties were able to consensually resolve all of the positions in dispute. By working cooperatively with the parties in these cases, the OGC was able to use ADR to resolve these cases quickly and efficiently sparing the parties and the agency the expense and time of the formal adjudication process.

- ***FSIP***

In FY 2017, the FSIP again exceeded all of its timeliness goals for assisting parties in resolving their bargaining-impasse disputes. The most common types of impasses involved impact-and-implementation negotiations over changes in agency policies or procedures, as well as negotiations over successor collective-bargaining agreements, which arise when the current collective-bargaining agreement has expired, or is about to expire. Both types of disputes are critical and time-sensitive. Impact-and-implementation-bargaining disputes often involve negotiations over agency changes to policy or procedure to improve efficiency in the delivery of its mission. Successful and timely resolution of the impasse allows the parties to move forward in implementing the proposed change.

Both the number and types of issues presented in requests for FSIP assistance can vary greatly from case to case. But the most common issues that the parties asked the FSIP to assist with in FY 2017 involved work schedules, including the establishment and termination of compressed and alternative work schedules. Other common issues included negotiations over personnel policies and matters, and office-space-related matters: how much work space will be allocated to employees; office layout; and equipment.

The FSIP is free to use whatever methods and procedures it considers appropriate for quickly and effectively resolving the dispute. The FSIP most commonly resolved impasse disputes using mediation-arbitration proceedings or informal conferences conducted by FSIP Members. Mediation-arbitrations and informal conferences are processes that allow the assigned FSIP Member to begin work on the case as a neutral mediator seeking to help the parties reach voluntary resolution of their dispute – meeting with parties, conveying proposals and counterproposals, suggesting compromises, and otherwise seeking to bridge the gap between the parties. But if those mediation efforts are not successful in achieving a voluntary settlement, then, in the Mediation-Arbitration procedure, the FSIP Member takes on the mantle of an arbitrator, conducting a hearing and issuing a final and binding Arbitration Opinion and Decision that resolves the bargaining impasse. In the Informal Conference procedure, if voluntary settlement is not achieved, the full FSIP Panel considers the recommendation of the Panel member and issues a written decision resolving the outstanding issues.

In cases where the FSIP used Mediation-Arbitration or Informal Conferences to resolve Federal-sector impasses, it obtained complete, voluntary settlements over 85 percent of the time. As a result of this high percentage of voluntary settlements, in FY 2017, the FSIP Members imposed contract terms on the parties in only 7 cases – approximately 7 percent of the FSIP’s caseload. The remainder of the FSIP’s cases where the Panel determined to assert jurisdiction were voluntarily withdrawn or settled by the parties – achieving the most ideal solution.

Mission Accomplishment – Providing Training and Education across the Federal Government

Consistent with its strategic goals, in FY 2017, the FLRA continued to promote stability in the Federal labor-management community by providing leadership and guidance through education and reference resources, including the launch of its redesigned website (www.FLRA.gov), web-based and in-person trainings, and the release and update of substantive guides and manuals.

With the launch of its redesigned website last year – including improvements to the site’s appearance, organizational structure, and revision of all substantive content – the FLRA now provides a truly user-friendly, empowering resource for parties to FLRA cases and the broader Federal-sector labor-management community. Addressing feedback from both internal and external customers that they were often unable to locate the case-related information that they were seeking or that it took too many mouse clicks to access, the FLRA developed a more intuitive, user-friendly, and accessible organizational structure based on the case types that the various program offices within the FLRA process. That is, rather than site visitors having to know which office does what and at which particular stage during a case, now they have only to search by the case type, and they will find descriptions of each office’s unique functions in that context. The new site is fully “integrated”: Every FLRA training opportunity, written guide, or manual is now available on one centralized page, rather than on office-specific pages. And there is even an online tool that allows customers, for the first time, to register for all FLRA training events directly through the website. Additionally, as part of this initiative, the FLRA made electronically available to its customers relevant “archival” and other materials (e.g., decisions of predecessor agencies, legislative history of the agency’s implementing Statute, decisions of the Foreign Service Labor Relations Board) that had previously been unavailable outside of the FLRA’s physical library location. Feedback on the new site is universally positive, and the agency and its customers have reaped – and will continue to reap – dividends from the improvement to the overall customer experience for years to come.

The FLRA continued to provide web-based and in-person training nationwide to members of the Federal-sector labor-management community – union representatives, agency representatives, and neutrals – in all aspects of its case law and processes. In FY 2017, the FLRA, as a whole, provided nearly 275 training, outreach, and facilitation sessions to over 8,100 participants. Just over the last 5 years, the FLRA has provided nearly 1,400 such sessions to nearly 36,000 participants worldwide. The Authority, the OGC, and the FSIP provided training at several nationwide, annual conferences, including the Society of Federal Labor and Employee Relations Professionals (SFLERP) symposium and the Federal Dispute Resolution (FDR) conference.

These sessions included presentations of newly prepared materials of current relevance, as well as updated materials for more standard sessions.

In addition, the Authority delivered its own training programs to approximately 300 Federal-sector union representatives, agency representatives, neutrals, and new Authority attorneys in FY 2017. This included several, full-day sessions of Comprehensive Arbitration Training and Comprehensive Negotiability Training using, as noted above, updated training materials (including instructional slides, interactive exercises, and other handouts). In particular, because negotiability cases have the highest rate of procedural dismissals of any type of case filed with the Authority, the negotiability training is intended to meet the goals of helping the parties to: comply with the Authority's regulatory procedural requirements (thus reducing case-processing time); file their cases in a different, appropriate forum when necessary; and use ADR to avoid costly litigation. The overwhelmingly positive feedback received from participants in these sessions indicates that these trainings produced the desired results and will further the above goals in future cases. Moreover, the Authority Members all personally conducted various training sessions on arbitration cases and other topics of interest to the Federal-sector labor-management community, including in conjunction with SFLERP, FDR, the FMCS, and the National Academy of Arbitrators.

The OGC continued to focus its training efforts on the front lines, where the work is done and where its efforts can have immediate and lasting effect. By bringing its training services directly to the parties, the OGC educates management and labor representatives on their rights and responsibilities under the Statute, thereby empowering them to more effectively and efficiently avoid – and if necessary, resolve – workplace disputes at the lowest level.

In FY 2017, the OGC conducted over 70 training sessions reaching over 3,600 managers and employees. The OGC also continued providing the parties with up-to-date and topical web-based resources, including revisions to its *Representation Case Law Outline*, *ULP Case Law Outline* and *Guidance on Meetings*, which are the “go-to” resources for the Federal-sector labor-management relations community and have elicited much favorable feedback.

Executive Branch Reform and Workforce Reshaping

Consistent with Executive Order 13781, [*Comprehensive Plan for Reorganizing the Executive Branch*](#), and Office of Management and Budget (OMB) Memorandum M-17-22, [*Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce*](#), the FLRA developed agency reform proposals and a long-term workforce plan focused on improving the agency's efficiency, effectiveness, and accountability.

- ***Executive Branch Reform***

Executive Order 13781 and the OMB guidance provided the agency with a real opportunity to take a close look at its structure and operations, and to implement solutions for streamlining and reducing costs across the FLRA.

The FLRA has already reduced its agency-wide travel budget by 25% – across the board. With increased technology, especially video conferencing (VTC), the agency expects to be able to maintain and even further reduce this expense without any adverse effect on the mission.

The agency has also reduced its employee-training budget by 25% – across the board. The FLRA is committed to working internally, and partnering with its sister agencies, to provide employees with relevant, mission-related training and to maximize training opportunities for employees. Further, as succession planning was a priority for the agency’s previous leadership due to retirements in many high-level positions that have since been filled, and given the relative junior status of the current workforce, there is a reduced need to obtain expensive executive-level training.

In addition, the FLRA will continue its ongoing efforts to implement fully electronic case files throughout the agency by the end of FY 2019, which will enable it to complete a number of other initiatives that will reduce costs and make the FLRA more efficient. Once electronic case files are in place, the FLRA: (1) will be able to reduce its U.S. Mail costs agency-wide by implementing electronic service of case-related documents *by the FLRA* on the parties; (2) plans to reduce FedEx shipping costs associated with transferring hard-copy case files across the Regions and HQ; (3) will launch a pilot program – and eventually mandate (with only very limited exceptions) – to require that FLRA parties file all case documents with the agency electronically.

Further, in the Authority Component, the Members have already permanently implemented electronic voting on cases, which reduced the burden on administrative staff and allows votes to be shared immediately.

The agency has also committed to other administrative efforts. For example, rather than outsourcing, the FLRA successfully used its own in-house IT staff to develop a new agency intranet site – saving a \$65,000 one-time cost and \$10,000 annually. Where appropriate, the agency will continue to tap existing government-wide shared-services solutions, like those that it already uses for payroll, financial services, and travel. It will continue to seek out and utilize existing government-wide procurement solutions and contracting flexibilities. These include using a General Services Administration (GSA)-approved vendor that the agency otherwise would not have found for its eFiling and Case Management projects, and piggybacking on the Library of Congress’s FEDLINK contracting tool to procure Westlaw services more easily. The FLRA is engaging in more effective property and records management. This includes regularly and routinely taking inventory of all of its equipment and building a robust records-management program, that will, among things, ensure that the agency is not spending more than it needs to store equipment or archived hard-copy case files.

Another reform that the FLRA is committed to implementing is a consolidation of its existing OGC Regional Office structure and a reorganization of its OGC staff and workload. Currently, the OGC comprises a headquarters location in Washington, D.C., and seven Regional Offices in Atlanta, Georgia; Boston, Massachusetts; Chicago, Illinois; Dallas, Texas; Denver, Colorado; San Francisco, California; and Washington, D.C. (co-located with OGC HQ). By regulation, the Authority Members have to vote on any decision to close Regional Offices [Appendix B to](#)

[5 C.F.R. Chapter XIV](#) (“the establishment, transfer, or elimination of any Regional Office or non-Regional Office duty location may be accomplished only with the approval of the Authority”).

Consistent with Government-wide mandates and the agency’s own ongoing efforts to reduce or eliminate rental costs since 2010, the agency’s physical footprint and its OGC Regional Office structure were logical places to look for additional cost savings. The FLRA has already systematically “reduced its footprint” in recent years by reducing the size of its Headquarters (HQ) by approximately 12,000 square feet in FY 2014, and its Boston, Chicago, San Francisco, Denver, and Dallas Regional Offices over the last four years – as those leases expired. These reductions in space have either reduced annual rent costs or allowed the FLRA to avoid the costs of what would have otherwise been fairly significant rent increases.

After reviewing potential costs and efficiencies, the FLRA reduced its Regional Office structure in the 1990s – consolidating 9 Regional Offices into 7 – by closing Regional Offices in New York, New York and Los Angeles, California. Again, based on workload, costs, and operating efficiencies gained from technological advances, a majority of the Authority Members has voted to further consolidate its Regional Office structure by reducing the number of Regional Offices from the current 7 to 5 located in: Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; San Francisco, California; and Washington, D.C. This would result in closure of the FLRA’s Boston and Dallas Regional Offices, and it would directly affect 16 employees – 9 in Boston and 7 in Dallas – and result in the abolishment of 5 positions. However, *all* directly affected employees will be offered reassignment within the agency – either to another Regional Office or to Headquarters.

Based on 5-year averages, Boston and Dallas currently have the lowest case intake. Rent for the Boston Regional Office is significantly higher per square foot than all of the FLRA’s other Regional Offices, and, for this reason, the FLRA has previously contemplated closing this office in past years. And, as a practical matter, closure of that office will result in displacement of, and relocation payments for, fewer employees.

In addition to offering reassignments to directly affected employees, the agency will also be offering Voluntary Early Retirement Authority (VERA) – which OPM has already approved – in order to maximize relocation opportunities for the directly affected employees. That is, vacancies that arise from VERA may create additional slots for Boston and Dallas employees to land. Because the agency is not attempting to reduce employees from its rolls through this reorganization, it has determined that Voluntary Separation Incentive Payment (VSIP) authority is not appropriate, and it will not be requesting that authority.

Anyone who accepts VERA will be expected to retire by September 30, 2018. The Boston and Dallas physical office spaces will also be closed by September 30, 2018. But actual employee relocations may spill over into FY 2019 depending on funding. Procedural amendments will need to be made to the FLRA’s regulations in order to adjust the geographic jurisdiction of each of the remaining 5 Regional Offices. This will be initiated no later than July 30, 2018.

- *Workforce Reshaping*

The mission accomplishments cited above are particularly noteworthy because the FLRA operated with 20 vacant positions throughout most of FY 2016 and FY 2017. Eighteen of those positions were career positions, with the majority resting within the Office of the Executive Director.

Consistent with the Administration's goal of comprehensive Government reform and workforce reshaping, the agency has undertaken a thorough evaluation and prioritization of every vacancy that it has filled since the Government-wide hiring freeze was lifted. When the President implemented the freeze in January 2017, the agency had 20 vacant positions. During the freeze, agency leadership took a hard look at every vacancy. It identified 9 critical positions that should be filled, and it decided not to fill 12 unfilled positions and permanently took them "off the books." Most of those "lost" positions were within the Authority Component – the Office of the Executive Director, the Member Staffs, Case Intake & Publication, and CADRO. The Federal Service Impasses Panel has also lost a position.

In FY 2018, the agency expects to operate with 128 FTEs, reflecting a total decrease of 12 FTEs from its FY 2016 anticipated staffing level of 140 FTEs – or a nearly 10 percent reduction of its already small workforce. In FY 2019, the agency plans to operate with 125 FTEs, and it expects to eliminate those 3 additional positions through attrition. This is a reduction of 10 FTEs from the agency's actual on-board count of 135 FTEs in FY 2015. FLRA leadership is confident that it can continue to meet mission and operational needs at this staffing level.

BUDGET JUSTIFICATION

APPROPRIATIONS LANGUAGE

FEDERAL LABOR RELATIONS AUTHORITY SALARIES AND EXPENSES

For necessary expenses to carry out functions of the Federal Labor Relations Authority, pursuant to Reorganization Plan Numbered 2 of 1978, and the Civil Service Reform Act of 1978, including services authorized by 5 U.S.C. 3109, and including hire of experts and consultants, hire of passenger motor vehicles, and including official reception and representation expenses (not to exceed \$1,500) and rental of conference rooms in the District of Columbia and elsewhere, \$26,200,000: *Provided*, That public members of the Federal Service Impasses Panel may be paid travel expenses and per diem in lieu of subsistence as authorized by law (5 U.S.C. 5703) for persons employed intermittently in the Government service, and compensation as authorized by 5 U.S.C. 3109: *Provided further*, That, notwithstanding 31 U.S.C. 3302, funds received from fees charged to non-Federal participants at labor-management relations conferences shall be credited to and merged with this account, to be available without further appropriation for the costs of carrying out these conferences.

FY 2019 FUNDING REQUEST

The FLRA requests \$26,200,000 in FY 2019 to fund employee salaries and related operating expenses necessary to meet its annual performance targets. The agency's FY 2019 request will fund 125 full-time equivalents (FTEs).

(In thousands of dollars)

Program Activity	FY 2017 Actual	FY 2018 Estimated	FY 2019 Request	Change from FY 2018
Authority	\$14,581	\$14,281	\$14,395	\$114
Office of the General Counsel	10,794	10,676	10,749	\$73
Federal Service Impasses Panel	843	1,065	1,056	-\$9
Direct Obligations	\$26,218	\$26,022	\$26,200	\$178
FTEs	119	128	125	(3)

The requested FY 2019 funding level incorporates cost-savings measures initiated over the past several years to increase program effectiveness and to reduce fragmentation, overlap, and duplication. For example, when the previous FLRA Headquarters lease in Washington, D.C. expired in FY 2013, and, in response to growing participation in the agency telework program, the FLRA reduced the size of its Headquarters location by approximately 12,000 square feet, commencing with the new lease term. It has continued to do so as each of its leases expire. In addition, the initial launch of the FLRA's modernized website in 2009, and continual enhancements to the site, including a 2016 redesign, have allowed the agency to provide timely and accurate information to its customers – other Federal agencies, Federal unions, Federal employees, and neutrals – including FLRA decisions, legal guidance and memorandums, policy documents, legal training and resources, and difficult-to-find archival materials.

The 125 FTE that the requested FY 2019 funding level will fund reflects a net loss of 3 FTE over FY 2018, which is anticipated to be achieved through a combination of attrition and voluntary early retirements. As noted above on page 5, consistent with the Administration's goal of comprehensive Government reform and workforce reshaping, the agency has undertaken a thorough evaluation and prioritization of every vacancy that it has filled since the government-wide hiring freeze. Although there were 140 positions on the books in FY 2017 that the agency anticipated filling, it operated with only 119 of them filled throughout most of FY 2017. That is, the agency carried over 20 vacant positions and expected employees to "do more with less" during that time. The agency identified 9 critical positions that should be filled, and it eliminated the remaining positions. It is therefore planning to operate with 128 FTEs in FY 2018, reflecting a total decrease of 12 FTEs – or nearly 10 percent of its already small workforce.

CHANGE FROM FY 2018

The requested funding level for FY 2019 includes no increase over FY 2018.

Personnel Compensation and Benefits

The FY 2019 request foregoes a pay increase in calendar year 2019.

PROGRAM AND FINANCING SCHEDULE

(In thousands of dollars)

	FY 2017 Actual	FY 2018 Estimate	FY 2019 Request
Budgetary resources:			
Unobligated balance (total)	1,245	1,341	1,341
Appropriation, discretionary (total)	26,200	26,022	26,200
Spending authority from offsetting collections, discretionary (total)	27	100	0
Total budgetary resources	27,472	27,463	27,541
Status of budgetary resources:			
Direct obligations (total)	26,191	26,022	26,200
Reimbursable obligations (total)	27	100	0
New obligations and upward adjustments (total)	26,218	26,122	26,200
Unobligated balance, end of year	1,254	1,314	1,314
Total budgetary resources	27,472	27,436	27,514
Change in obligated balance:			
Obligated balance, start of year	3,132	3,132	3,132
Obligated balance, end of year	3,727	3,132	3,132
Budget authority and outlays, net:			
Budget authority, gross	26,227	26,022	26,200
Outlays, gross (total)	25,492	26,022	26,000
Offsets against gross budget authority and outlays (total)	(33)	(31)	0
Additional offsets against budget authority only (total)	61	10	0
Budget authority, net (discretionary)	26,200	26,022	26,200
Outlays, net (discretionary)	26,458	26,000	26,000

OBJECT CLASSIFICATION SCHEDULE

(In thousands of dollars)

	FY 2017 Actual	FY 2018 Estimate	FY 2019 Request
Direct obligations:			
Personnel compensation:			
Full-time permanent	\$14,723	\$14,254	\$14,415
Other than full-time permanent	198	532	571
Other personnel compensation	<u>11</u>	<u>380</u>	<u>407</u>
Total personnel compensation	14,932	15,166	15,393
Civilian personnel benefits	4,717	4,732	4,771
Travel and transportation of persons	107	165	165
Transportation of things	11	12	12
Rental payments to GSA	2,573	2,662	2,662
Communications, utilities, and misc. charges	403	322	325
Printing and reproduction	7	14	14
Other services from non-federal sources	1,839	1,800	1,655
Other goods and services from Federal sources	867	845	895
Operation and maintenance of facilities	1	4	4
Operation and maintenance of equipment	422	89	93
Supplies and materials	222	121	121
Equipment	<u>90</u>	<u>90</u>	<u>90</u>
Direct obligations	\$26,191	\$26,022	\$26,200
Reimbursable obligations:			
Travel and transportation of persons	<u>27</u>	<u>100</u>	<u> </u>
Reimbursable obligations	<u>27</u>	<u>100</u>	<u> </u>
Total new obligations	\$26,218	\$26,122	\$26,200

EMPLOYMENT SUMMARY SCHEDULE

	FY 2017 Actual	FY 2018 Estimate	FY 2019 Request
Direct civilian full-time equivalent employment	119	128	125

INSPECTOR GENERAL RESOURCES

The Office of the Inspector General (OIG) provides independent and objective assessments of the FLRA's efficiency, effectiveness, and compliance with laws and regulations. This is accomplished through proactive evaluations of agency operational processes. In addition to striving to prevent and detect fraud, waste, and abuse of the FLRA's resources and operations, a key goal of the Inspector General (IG) is to serve as a catalyst for improving operations and maximizing the efficiency and integrity of agency programs.

In fulfilling these responsibilities and objectives, the IG conducts and supervises investigations, internal reviews, audits, and evaluations of the programs and operations of the agency. The IG communicates the results of investigations and assessments to FLRA management, the Congress, other oversight entities, and the public, as appropriate. Generally, the IG communicates results in formal reports that contain findings and recommendations aimed at correcting any deficiencies identified and promoting efficiency and effectiveness in agency programs and operations. The IG also manages a hotline to provide employees and the public with a direct means for confidentially communicating information on potential fraud, waste, or abuse.

The FLRA's FY 2019 funding request includes \$626,961 for the OIG. The funding level requested by the IG, including \$8,000 for training and \$1,876 to support the Council of the Inspectors General on Integrity and Efficiency (CIGIE) has been funded in total. The IG has certified that the FLRA's funding request for the OIG satisfies all training requirements for FY 2019.



INSPECTOR GENERAL

UNITED STATES OF AMERICA
FEDERAL LABOR RELATIONS AUTHORITY
WASHINGTON, D.C. 20424-0001

August 4, 2017

The Inspector General Reform Act (Pub. L. 110-149) was signed by the President on October 14, 2008. Section 6(f) (1) of the Inspector General Act of 1978, 5 U.S.C. app. 3, was amended to require certain specifications concerning Office of Inspector General (OIG) budget submissions each fiscal year (FY).

Each inspector general (IG) is required to transmit a budget request to the head of the establishment or designated Federal entity to which the IG reports specifying:

- The aggregate amount of funds requested for the operations of the OIG,
- The portion of this amount requested for OIG training, including a certification from the IG that the amount requested satisfies all OIG training requirements for the fiscal year, and
- The portion of this amount necessary to support the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

The head of each establishment or designated Federal entity, in transmitting a proposed budget to the President for approval, shall include:

- An aggregate request for the OIG,
- The portion of this aggregate request for OIG training,
- The portion of this aggregate request for support of the CIGIE, and
- Any comments of the affected IG with respect to the proposal.

The President shall include in each budget of the U.S. Government submitted to Congress.

- A separate statement of the budget estimate submitted by each IG,
- The amount requested by the President for each OIG,
- The amount requested by the President for training of OIGs ,
- The amount requested by the President for support of the CIGIE, and
- Any comments of the affected IG with respect to the proposal if the IG concludes that the budget submitted by the President would substantially inhibit the IG from performing duties of the OIG.

Following the requirements as specified above, the Federal Labor Relations Authority Inspector General submits the following information relating to the OIG's requested budget for FY 2019:

- The aggregate budget request for the operations of the OIG is \$626,961,
- The portion of this amount needed for OIG training is \$8,000, and
- The portion of this amount needed to support the CIGIE is \$ 1,876.

I certify as the IG of the Federal Labor Relations Authority that the amount I have requested for training satisfies all OIG training needs for FY 2019.



Inspector General
Federal Labor Relations Authority

ANNUAL PERFORMANCE PLAN

STRATEGIC AND PERFORMANCE-PLANNING FRAMEWORK

Through comprehensive review of its operations, staffing, work processes, resource allocations, and performance, the FLRA has established strategies and goals that are designed to maximize the delivery of agency services throughout the Federal Government. The FLRA engages in continuous strategic assessment of performance and other data to ensure that it is accomplishing its mission effectively and efficiently.

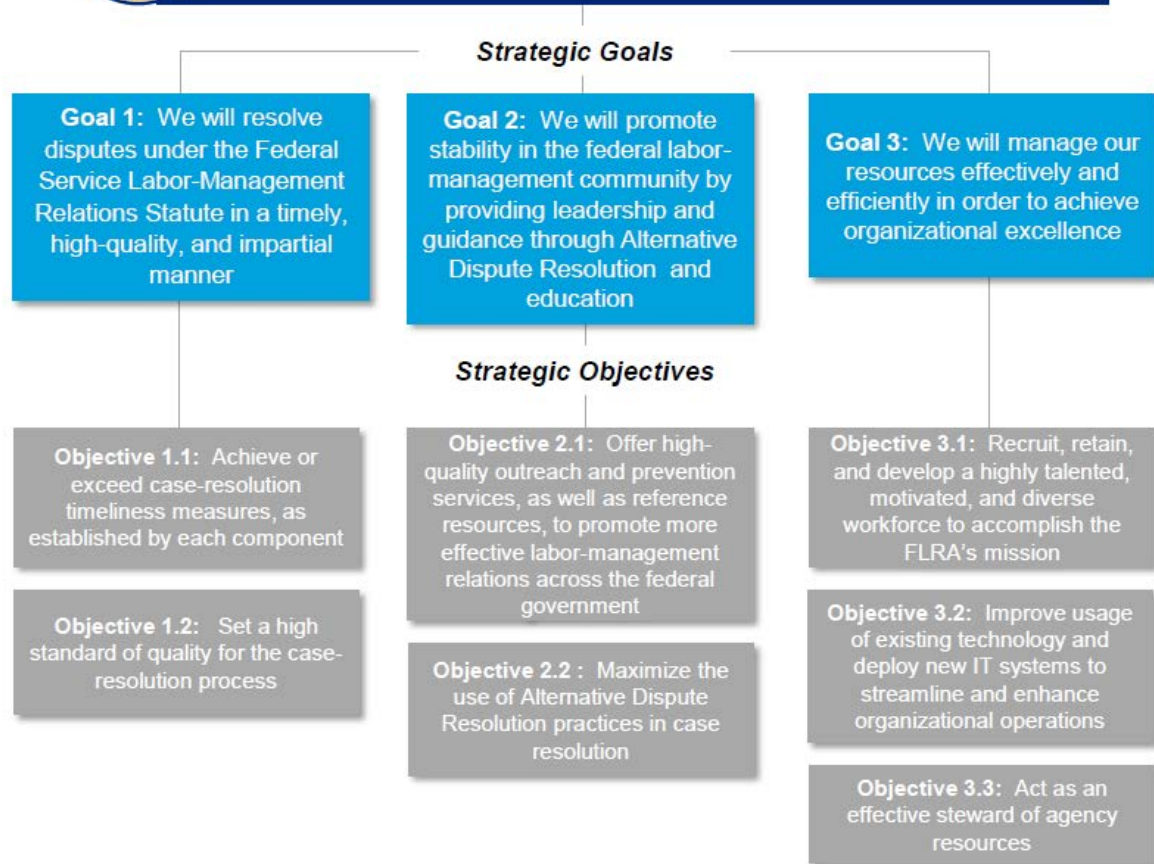
The FLRA's FY 2019 strategic performance-planning framework is currently based on the agency's FY 2015 - 2018 Strategic Plan, and it is supported by the agency's Annual Performance Plan, which establishes the agency's annual performance goals and measures. The Annual Performance Plan reflects the agency's commitment to establishing meaningful metrics that will assist in assessing performance outcomes, aligning resources, and effectively identifying staffing and training needs. Consistent with the Government Performance and Results Act (GPRA) Modernization Act of 2010, the FLRA has begun development of a new strategic plan – that will run at least through 2022. Until that new plan is finalized, the FLRA's FY 2015 - 2018 Strategic Plan will remain in effect.

Consistent with ongoing Government-wide efforts to leverage data to facilitate agencies' programmatic work, the FLRA continually and strategically monitors its progress in accomplishing the goals and measures set forth in the Annual Performance Plan. This ongoing, agency-wide review is conducted on a monthly basis with distribution of the Monthly Analysis of Performance and Status (MAPS) Report, which contains statistical case and performance data derived from the FLRA's Case Management System (CMS) and agency management. The agency examines the data contained in the MAPS Report in a variety of forums. At the component and office levels, there are also daily performance assessments using a variety of reports, including: case-filing reports, which track the number and age of cases; case-status reports, which track the status of all assigned *pending* cases within the Authority, the OGC, and the FSIP; and monthly disposition reports, which track the number, age, and resolution type of every *closed* case within the Authority and the OGC.

The analysis and assessment of these reports drive, among other things: decisions to target services (including training, facilitations, and on-site investigations) to certain parties or geographical locations; adjustments in workload through case transfers at the national, regional, and office levels; and reallocation of resources, including use of details, contract support, and temporary hires.



Mission: The FLRA promotes stable, constructive labor-management relations through the resolution and prevention of labor disputes in a manner that gives full effect to the collective-bargaining rights of employees, unions, and agencies.



The FLRA seeks to achieve its strategic goals primarily through the timely, high-quality, and impartial review and disposition of cases. The agency supplements these efforts with a focus on reducing litigation and its attendant costs by helping parties to resolve their own disputes through collaboration, ADR, education, and labor-management-cooperation activities. Further supporting these efforts is the FLRA's focus on internal improvements in IT and more effective and efficient use of human capital.

FY 2019 Performance Goals

1.1.1: Produce timely review and disposition of unfair-labor-practice cases.

1.2.1: Resolve overage unfair-labor-practice cases in a timely fashion.

1.1.2: Produce timely review and disposition of representation cases.

1.2.2: Resolve overage representation cases in a timely fashion.

1.1.3: Produce timely review and disposition of arbitration cases.

1.2.3: Resolve overage arbitration cases in a timely fashion.

1.1.4: Produce timely review and disposition of negotiability cases.

1.2.4: Resolve overage negotiability cases in a timely fashion.

1.1.5: Produce timely review and disposition of bargaining-impasse cases.

2.1.1: Provide targeted access to training, outreach, and facilitation activities within the labor-management community.

2.2.1: Successfully resolve a significant portion of FLRA cases through ADR.

3.1.1: Recruit, retain, and develop a highly talented, motivated, and diverse workforce to accomplish the FLRA's mission.

3.1.2: Improve use of existing technology and deploy new IT systems to streamline and enhance organizational operations.

Timeliness and Quality

Continued improvements in the timeliness of case disposition further the FLRA's critical role in contributing to orderly, effective, and efficient change within the Federal Government. In large part, the FLRA exists to promote effective labor-management relations that, in turn, permit improved employee performance and Government operations. Timely resolution – or avoidance – of FLRA cases is critical to this endeavor. And effective case resolution includes not only timeliness, but also: effective process execution; clear communication with the parties around case processes; and the issuance of well-written and understandable decisions that provide deliberate, impartial, and legally sound analyses and consideration of the issues in dispute.

Unless management and labor can collaboratively resolve their disputes and avoid litigation or – failing that – have their disagreements adjudicated expeditiously by the FLRA, mission performance will suffer. This is particularly relevant now as Federal agencies are making significant adjustments and changes in how they perform their missions in response to the budgetary and policy challenges that they are facing.

Alternative Dispute Resolution and Education

Throughout the years, the Authority, the OGC, and the FSIP have not only recognized the many benefits associated with using ADR to resolve workplace disputes, but they have also integrated ADR techniques into all aspects of case processing. Put simply, offering ADR services in every case results in faster, more effective outcomes for the parties and the FLRA. For this reason, the

agency continues to leverage existing staff and resources to increase its ADR reach. This includes partnering with other agencies and entities – such as the Federal Mediation and Conciliation Service (FMCS), the Federal Executive Boards, and the General Services Administration (GSA) – to train large numbers of practitioners.

In addition, the FLRA’s training initiatives are intended to make case processing more effective and efficient, and to better serve the FLRA’s customers by providing meaningful and clear guidance on statutory rights and responsibilities. Timely and efficient case processing is furthered by FLRA customers being knowledgeable about their rights and obligations under the Statute, as well as FLRA case law, regulations, and case-processing procedures. The FLRA delivers its educational materials through a variety of means, such as: in-person training sessions; comprehensive, web-based training modules; and case outlines, manuals, and subject-matter guides that are easily accessible on www.FLRA.gov. All of these materials have been developed to assist members of the Federal labor-management-relations community with issues and cases arising under the Statute. Using collaboration and ADR techniques – alone or in conjunction with other training, outreach, and facilitation services – to assist parties in minimizing or resolving labor-management disputes significantly reduces the need for litigation and its attendant costs, and it gets the parties back to work accomplishing their missions and delivering effective and efficient Government services.

Information Technology (IT)

Consistent with the FLRA’s Strategic Plan, IT and automation of agency processes continue to be key areas of focus for the agency. Both are fundamental for ensuring the cost effectiveness and efficiency of the FLRA, as measured by the agency’s ability to meet its annual performance goals. The agency continues to improve its overall effectiveness and efficiency, as well as the customer-service experience, by engaging in new and innovative ways to conduct business, such as through electronic case filing (eFiling). In addition, the agency has placed significant emphasis on IT modernization to ensure that its IT equipment and infrastructure enable it to maximize gains in efficiency that can be achieved through use of technology.

In FY 2017, the FLRA also continued to work towards its long-term goal of implementing end-to-end electronic case files throughout the FLRA and complying with the OMB-mandated target of having fully electronic files by 2019. Increasing eFiling is critical to achieving this goal. In this regard, the more case-related information that the FLRA receives electronically – rather than in hard copy – from the outset, the easier it is to convert that information into an electronic case file, without the need for FLRA staff to manually scan documents. In recognition of this, the agency continues to execute the multi-year, four-phase plan that it initially developed and launched in FY 2015 to accomplish the transition to fully electronic case files.

Phase 1 was completion of the initial implementation of an eFiling System – eFiling 1.0 – for all FLRA offices that accept case filings, and the refinement and improvement of that system – based on user experience and feedback – through implementation of eFiling 2.0 and 3.0 with a more user-friendly interface. The agency will implement eFiling 3.0, which is currently being tested, no later than the first quarter of FY 2018. Phase 2 is to provide a similar, more user-friendly and intuitive interface for the agency’s internal electronic Case Management System. Phase 2 also includes implementation of an agency-wide Document Management

System – an electronic, cloud-based “filing cabinet” that provides a framework for organizing digital and paper documents. The latter has already been completed, and the former should be implemented by the end of FY 2018. The Document Management System replaces all existing network drives and folders, and it allows for quick access to any document, file, or email through use of sophisticated search engines. It also provides the necessary storage capacity and technological platform for the eventual integration of all electronic case-processing systems so that the agency can realize its vision of having fully electronic case files. Phase 3 is the integration of the automated connection between the Case Management System, the eFiling System, and the Document Management System. This is currently underway, and project planning has begun. Phase 3 is scheduled to be completed by the 2nd quarter of FY 2019. And Phase 4 is the transition to 100 percent electronic case files throughout the agency, with a goal of September 30, 2019, for completion.

Implementation of fully electronic case files throughout the agency will allow the FLRA to operate more efficiently and more effectively by: allowing for implementation of additional external and internal case-processing improvements that will further maximize the use of technology; eliminating many of the labor-intensive, manual case processes that are currently in place; and increasing overall efficiency and effectiveness. These case-processing improvements include: electronic voting by the Authority Members, which the agency already implemented in FY 2017; reduction of U.S. Mail costs by implementing electronic service of case-related documents by the FLRA on the parties; reduction – or elimination – of Fed Ex costs for transferring paper case files between FLRA offices; implementation of a pilot program that would mandate FLRA parties to file all case-related documents electronically, and the eventual mandate of eFiling for all FLRA case filings. The greatest benefit will be that staff hours currently used to perform manual administrative tasks will be freed up to perform other mission-critical functions – or eliminated, if warranted.

In addition, the FLRA will continue making improvements through smaller-scale projects. For example, the agency plans to transition to a cloud email solution in FY 2018. This is another long-term, “cloud-first” strategy that the agency has been working towards to move all of its critical system to the cloud. Once email has been transitioned, all agency critical systems – Case Management, eFiling, Document Management, and email – will all be in the cloud, offering better redundancy and backups that can be leveraged to improve the overall agency Continuity of Operations Plan (COOP). The agency also continues to leverage the Video Teleconferencing (VTC) System that it implemented in FY 2015 to save reduce travel expenditures and offer alternative methods for achieving agency-wide training, outreach, and intervention goals. In FY 2017, the agency also completed its transition to business cable in all 6 of its Regional Office outside of Washington, D.C. In addition to increasing network connections for the FLRA’s Regional Offices by 50 to 80 percent, the agency was also able to reinvest the 5 to 10 percent annual savings in network services that it achieved to provide a back-up, secondary system for the Regional Office networks. All of these initiatives are key components in the agency’s efforts to achieve efficiencies through use of innovative technology.

Human Capital

In FY 2017, the FLRA continued its overall success as measured by the Federal Employee Viewpoint Survey (FEVS), leaving no doubt that the FLRA's investments in the recruitment, retention, and skills and leadership development of its employees continues to produce a highly engaged workforce that is dedicated to the accomplishment of its mission. The results of the 2017 survey reflect that the FLRA has 55 identified strengths (items with 65 percent or higher positive ratings) and no identified challenges (items with 35 percent or higher negative ratings). Compared to 2016, the FLRA increased its positive ratings for 15 questions, experienced no change in its positive ratings for 4 questions, and decreased its positive ratings for 52 questions. The agency outperformed the Government-wide average in 70 out of 71 questions. And the FLRA continues to rank in the top ten among small agencies (those with 100-999 employees) in two important indices – Employee Engagement and New IQ – with #6 and #5 rankings, respectively. With an Employee Engagement Index score of 77 percent and a New IQ Index score of 71 percent, the FLRA exceeds the Government-wide average for each index, as well as for every sub-category of each index. In addition, the FLRA's Global Satisfaction index score of 72 percent – well above the Government-wide average of 64 percent – is a positive indicator of employees' overall workplace satisfaction.

As to the agency's 55 identified strengths, of particular note is that: 99 percent of FLRA respondents indicate that they are willing to put in extra effort to get a job done; 98 percent positively rate the overall quality of work done by their work unit; 97 percent report that they are held accountable for achieving results; 95 percent know how their work relates to the agency's goals and priorities; and 92 percent say that they are constantly looking for ways to do their jobs better. These results show that employees understand the FLRA's mission, understand their role in achieving it, and see themselves as an integral part of achieving agency-wide success.

Consistent with Executive Order 13781 and OMB M-17-22, which, among other things, provides agencies with guidance on developing reform plans that “align[] . . . the Federal budget and performance planning processes,” in FY 2017 the FLRA adjusted its annual performance year to align with the fiscal year. This alignment directly links every employee's individual performance to the FLRA's overall strategic and performance goals, as well as to the agency's annual budget and funding requests. It will provide a more accurate measurement of each employee's contribution towards achievement of agency-wide performance goals, greater accountability, and better data regarding resource needs.

The FLRA also engaged in an in-depth review of its personnel files. In this connection, it undertook a thorough review of every Electronic Official Personnel Folder (eOPF) to: ensure proper retirement coverage (CSRS or FERS); verify the accuracy of service computation dates for both leave and retirement purposes; and examine all folders for missing or undocumented prior service. It also conducted an agency-wide review of every agency position description (PD) to ensure that all PDs reflect actual duties and that accompanying cover sheets are accurate. This has been critical in conducting “need-to-fill” evaluations.

Further, in FY 2017, the agency continued to develop capacity for shared administrative staff across several offices by utilizing administrative staff within the Authority Component –

particularly those who are in “confidential” positions to agency leadership – to provide administrative assistance to the HR, Budget & Finance, and Equal Employment Opportunity (EEO) Offices, which perform sensitive work. Not only does this provide administrative staff with a developmental opportunity, but it also allows for greater flexibility, relieves high-graded managerial staff from having to perform lower-graded administrative tasks, and avoids the need to hire additional FTEs when workloads increase within the component. And, again in FY 2017, internal developmental details have accomplished two strategic objectives: (1) development of future leaders to facilitate succession planning; and (2) cross-training to allow for the reassignment of employees to positions that are more closely matched to their career interests – and to the agency’s needs.

In order to further fulfill the FLRA’s mission, the agency focuses on succession planning by identifying its future human-resources needs, potential organizational and skills gaps, and vulnerabilities, and then setting goals to address them. With respect to succession planning, in FY 2017, the FLRA continued a training initiative designed to assist senior, high-potential employees identify and strengthen critical leadership skills in preparation for eventually transitioning to formal leadership positions. To strengthen and support the FLRA’s new cadre of first-time managers and supervisors, the agency identified a series of trainings geared towards developing strategic thinking and other critical skills in preparation for effective leadership at the FLRA. And the FLRA continued to develop and provide high-level, mission-based training for its attorneys – nearly 20 percent of whom are new to the FLRA – that built upon their existing legal, technical, and ADR skills to improve and maximize performance. These training initiatives crossed components, bringing together future agency leaders from all offices to enhance their skills and encourage ongoing collaboration among peers.

The FLRA is committed to fostering a workplace where employees from all backgrounds are recruited, retained, and developed for successful performance and career progression. Since FY 2014, and continuing throughout FY 2017, the agency achieved greater diversity in its workforce by increasing strategic and targeted recruitment and posting job opportunities with career-planning and placement services, local colleges and universities, and professional affinity-group organizations. And the FLRA has consistently used data to help identify and eliminate barriers to recruiting and hiring the diverse talent that it needs. In this respect, the FLRA’s ongoing focus on increasing ethnic and gender diversity in its Senior Executive Service corps yielded small, but meaningful, gains in FY 2016 and FY 2017. The FLRA also continued to utilize both Student Pathways and summer-externship programs to accomplish mission-related initiatives throughout the agency. Finally, serving as one of three Small Agency Council (SAC) representatives on the Diversity and Inclusion in Government Council (DIG), the FLRA is participating in Government-wide discussions aimed to create and foster a Federal workforce that includes and engages Federal employees and reflects all segments of society.

***STRATEGIC GOAL 1: WE WILL RESOLVE DISPUTES UNDER THE
STATUTE IN A TIMELY, HIGH-QUALITY, AND IMPARTIAL MANNER***

**PERFORMANCE GOAL 1.1: PRODUCE TIMELY REVIEW AND
DISPOSITION OF UNFAIR-LABOR-PRACTICE CASES.**

The General Counsel has independent responsibility for the investigation, settlement, and prosecution of ULP charges. ULP cases originate with the filing of a charge in a Regional Office by an employee, a labor organization, or an agency. Once a charge has been filed, the Regional Office will investigate the charge to determine whether it has merit. If the Regional Director determines that the charge has merit, then he or she will, absent settlement, issue and prosecute a complaint before an ALJ. If the Regional Director determines that the charge lacks merit, then the charging party is entitled to a written explanation, and, if not satisfied, may appeal that decision to the General Counsel in Washington, D.C. If the General Counsel upholds the dismissal, then the case is closed. The Authority has appointed ALJs to hear ULP cases prosecuted by the General Counsel. The OALJ transmits recommended decisions of the ALJs to the Authority, which may affirm, modify, or reverse them in whole or in part on exceptions. If no exceptions are filed to an ALJ's decision, then the Authority adopts the decision without precedential significance.

OGC	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	1,570	1,425	1,178	1,333	882	952
Charges filed	<u>4,696</u>	<u>4,418</u>	<u>4,345</u>	<u>3,655</u>	<u>4,000</u>	<u>4,000</u>
Total caseload	6,266	5,843	5,523	4,988	4,882	4,952
Charges withdrawn/settled	3,779	3,662	3,268	3,130	3,000	3,000
Charges dismissed	809	800	749	786	750	750
Complaints issued	<u>253</u>	<u>203</u>	<u>173</u>	<u>190</u>	<u>180</u>	<u>180</u>
Total cases closed	4,841	4,665	4,190	4,106	3,930	3,930
Cases pending, end of year	1,425	1,178	1,333	882	952	1,022
OALJ	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	120	105	62	60	57	57
Cases received from the OGC	<u>260</u>	<u>222</u>	<u>179</u>	<u>197</u>	<u>200</u>	<u>200</u>
Total caseload	380	327	241	257	257	257
Settlements before hearing	245	187	130	176	170	170
Cases closed by decision	<u>30</u>	<u>78</u>	<u>51</u>	<u>24</u>	<u>30</u>	<u>30</u>
Total cases closed	275	265	181	200	200	200
Cases pending, end of year	105	62	60	57	57	57

Authority	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	12	13	24	24	23	23
Exceptions filed	<u>27</u>	<u>62</u>	<u>45</u>	<u>23</u>	<u>25</u>	<u>25</u>
Total caseload	39	75	69	47	48	48
Cases closed procedurally	18	37	51	22	20	20
Cases closed based on merits	<u>8</u>	<u>14</u>	<u>14</u>	<u>2</u>	<u>5</u>	<u>5</u>
Total cases closed	26	51	51	24	25	25
Cases pending, end of year	13	24	24	23	23	23

Measure 1.1: The percentage of ULP charges resolved by the OGC by complaint, withdrawal, dismissal, or settlement within 120 days of filing of the charge.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
67%	72%	71%	73%	70%	70%

Measure 1.2: The percentage of decisions on an appeal of a Regional Director's dismissal of a ULP charge issued within 60 days of the date filed, and in no case more than 120 days.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
98%/100%	98%/100%	100%/100%	96%/100%	95%/100%	95%/100%

Measure 1.3: The percentage of ULP complaints issued by the General Counsel resolved or decided in the OALJ within 180 days of the complaint being issued.

Results	
FY 2014	FY 2015
91%	77%

Measure 1.3: The percentage of ULP complaints issued by the General Counsel decided in the OALJ within 180 days of the complaint being issued.*

Results		Targets		*New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
80%	93%	80%	90%	

Measure 1.4: The percentage of ULP cases decided within 180 days of assignment to an Authority Member.

Results			
FY 2013	FY 2014	FY 2015	FY 2016
100%	50%	57%	89%

Measure 1.4: The percentage of ULP cases decided within 150 days of assignment to an Authority Member.*

Results		Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019		
50%	75%	75%		

**PERFORMANCE GOAL 2.1: RESOLVE OVERAGE
UNFAIR-LABOR-PRACTICE CASES IN A TIMELY FASHION.**

As part of its 2015-2018 Strategic Plan, the FLRA developed new performance measures for FY 2016 and FY 2017 to ensure that cases in which the primary timeliness goal is not met are sufficiently targeted and do not go significantly overage.

Measure 2.1: The percentage of ULP charges resolved by the OGC by complaint, withdrawal, dismissal, or settlement within 240 days of filing of the charge.*

Results		Targets		*New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
95%	95%	95%	95%	

Measure 2.2: The percentage of ULP complaints issued by the General Counsel decided in the OALJ within 365 days of the complaint being issued.*

Results		Targets		*New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
89%	98%	98%	98%	

Measure 2.3: The percentage of ULP cases decided within 365 days of assignment to an Authority Member.*

Results		Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019		
100%	95%	95%		

PERFORMANCE GOAL 1.2: PRODUCE TIMELY REVIEW AND DISPOSITION OF REPRESENTATION CASES.

The Statute sets out a specific procedure for employees to petition to be represented by a labor union and to determine which employees will be included in a “bargaining unit” that a union represents. Implementing this procedure, the FLRA conducts secret-ballot elections for union representation and resolves a variety of issues related to questions of union representation of employees. These issues include, for example, whether particular employees are managers or “confidential” employees excluded from union representation, whether there has been election misconduct on the part of agencies or unions, and whether changes in union and agency organizations affect existing bargaining units. Representation cases are initiated when an individual, a labor organization, or an agency files a petition with a Regional Office. After a petition is filed, the Regional Director conducts an investigation to determine the appropriateness of a unit or other matter related to the petition. After concluding such investigation, the Regional Director may conduct a secret-ballot election or hold a hearing to resolve disputed factual matters. After a hearing, the Regional Director issues a Decision and Order, which is final unless an application for review is filed with the Authority.

OGC	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	89	65	70	112	58	38
Petitions filed	<u>235</u>	<u>225</u>	<u>265</u>	<u>208</u>	<u>210</u>	<u>210</u>
Total caseload	324	290	335	320	268	248
Petitions withdrawn	118	95	112	130	110	110
Cases closed based on merits	<u>141</u>	<u>125</u>	<u>111</u>	<u>132</u>	<u>120</u>	<u>120</u>
Total cases closed	259	220	223	262	230	230
Cases pending, end of year	65	70	112	58	38	18
Authority	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	9	7	2	0	6	6
Applications for review	<u>13</u>	<u>16</u>	<u>6</u>	<u>12</u>	<u>12</u>	<u>12</u>
Total caseload	22	23	8	12	18	18
Cases closed procedurally	2	2	0	1	1	1
Cases closed based on merits	<u>13</u>	<u>19</u>	<u>8</u>	<u>5</u>	<u>11</u>	<u>11</u>
Total cases closed	15	21	8	6	12	12
Cases pending, end of year	7	2	0	6	6	6

Measure 1.5: The percentage of representation cases resolved by the OGC through withdrawal, election, or issuance of a Decision and Order within 120 days of the filing of a petition.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
66%	72%	73%	68%	70%	70%

Measure 1.6: The percentage of representation cases in which the Authority issued a decision whether to grant review within 60 days of the filing of an application for review.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
100%	100%	100%	100%	100%	100%

PERFORMANCE GOAL 2.2: RESOLVE OVERAGE REPRESENTATION CASES IN A TIMELY FASHION.

As part of its 2015-2018 Strategic Plan, the FLRA developed new performance measures for FY 2016 and FY 2017 to ensure that cases in which the primary timeliness goal is not met are sufficiently targeted and do not go significantly overage.

Measure 2.3: The percentage of cases resolved by the OGC through withdrawal, election, or issuance of a Decision and Order within 365 days of the filing of a petition.*

Results		Targets		* New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
98%	95%	95%	95%	

Measure 2.4: The percentage of representation cases in which the Authority grants review, where the Authority will issue a decision on review, or reach other final resolution of the case, within 365 days of the filing of the application for review.*

Results	Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019	
100%	95%	95%	

PERFORMANCE GOAL 1.3: PRODUCE TIMELY REVIEW AND DISPOSITION OF *ARBITRATION* CASES.

Either party to grievance arbitration may file with the Authority an exception to (or an appeal of) an arbitrator’s award. The Authority will review an arbitrator’s award to which an exception has been filed to determine whether the award is deficient because it is contrary to any law, rule, or regulation, or on grounds similar to those applied by Federal courts in private-sector, labor-management relations.

Authority	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	123	90	50	40	71	80
Exceptions filed	89	99	86	103	94	94
Total caseload	212	189	136	143	165	144
Cases closed procedurally	16	15	21	16	17	17
Cases closed based on merits	106	124	75	56	68	68
Total cases closed	122	139	96	72	85	85
Cases pending, end of year	90	50	40	71	80	59

Measure 1.7: The percentage of arbitration cases decided within 180 days of assignment to an Authority Member.

Results			
FY 2013	FY 2014	FY 2015	FY 2016
91%	34%	40%	79%

Measure 1.7: The percentage of arbitration cases decided within 150 days of assignment to an Authority Member.

Results	Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019	
79%	75%	75%	

PERFORMANCE GOAL 2.3: RESOLVE OVERAGE ARBITRATION CASES IN A TIMELY FASHION.

As part of its 2015-2018 Strategic Plan, the FLRA developed new performance measures for FY 2016 and FY 2017 to ensure that cases in which the primary timeliness goal is not met are sufficiently targeted and do not go significantly overage.

Measure 2.5: The percentage of arbitration cases decided within 365 days of assignment to an Authority Member *			
Results	Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019	
100%	95%	95%	

PERFORMANCE GOAL 1.4: PRODUCE TIMELY REVIEW AND DISPOSITION OF *NEGOTIABILITY* CASES.

A Federal agency bargaining with a union may claim that a particular union proposal cannot be bargained because it conflicts with Federal law, a Government-wide rule or regulation, or an agency regulation for which there is a compelling need. In both of these situations, a union may petition the Authority to resolve the negotiability dispute. In addition, agency heads may disapprove collective-bargaining agreements if those agreements are contrary to law, and a union may petition the Authority to resolve the negotiability dispute.

Authority	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	9	17	23	27	11	11
Petitions filed	<u>43</u>	<u>54</u>	<u>55</u>	<u>40</u>	<u>48</u>	<u>48</u>
Total caseload	52	71	78	67	59	59
Cases closed procedurally	29	40	47	52	40	40
Cases closed based on merits	<u>6</u>	<u>8</u>	<u>4</u>	<u>4</u>	<u>8</u>	<u>8</u>
Total cases closed	35	48	51	56	48	48
Cases pending, end of year	17	23	27	11	11	11

Measure 1.8: The percentage of negotiability cases decided within 180 days of assignment to an Authority Member.

Results			
FY 2013	FY 2014	FY 2015	FY 2016
80%	60%	50%	75%

Measure 1.8: The percentage of negotiability cases decided within 150 days of assignment to an Authority Member.*

Results	Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019	
75%	75%	75%	

PERFORMANCE GOAL 2.4: RESOLVE OVERAGE *NEGOTIABILITY CASES* IN A TIMELY FASHION.

As part of its 2015-2018 Strategic Plan, the FLRA developed new performance measures for FY 2016 and FY 2017 to ensure that cases in which the primary timeliness goal is not met are sufficiently targeted and do not go significantly overage.

Measure 2.6: The percentage of negotiability cases decided within 365 days of assignment to an Authority Member.*

Results	Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019	
100%	95%	95%	

PERFORMANCE GOAL 1.5: PRODUCE TIMELY REVIEW AND DISPOSITION OF *BARGAINING-IMPASSE* CASES.

In carrying out the right to bargain collectively, it is not uncommon for a union representative and a Federal agency to simply not agree on certain issues, and for the bargaining to reach an impasse. Several options are available by which the parties may attempt to resolve the impasse. The parties may: decide, on their own, to use certain techniques to resolve the impasse, but may proceed to private, binding arbitration only after the FSIP approves the procedure; seek the services and assistance of the FMCS; or seek the assistance of the FSIP in resolving the negotiation impasse, but only after the previous options have failed.

FSIP	2014	2015	2016	2017	2018 Est.	2019 Est.
Cases pending, start of year	40	28	33	41	14	7
Impasses filed	<u>134</u>	<u>139</u>	<u>142</u>	<u>98</u>	<u>128</u>	<u>128</u>
Total caseload	174	167	175	139	142	135
Cases closed	<u>146</u>	<u>134</u>	<u>134</u>	<u>125</u>	<u>135</u>	<u>135</u>
Cases pending, end of year	28	33	41	14	7	0

Measure 1.9: The percentage of bargaining-impasse cases in which jurisdiction is declined closed within 140 days of the date filed.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
89%	100%	100%	93%	80%	80%

Measure 1.10: The percentage of bargaining-impasse cases voluntarily settled after jurisdiction has been asserted within 160 days of the date filed.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
68%	100%	100%	93%	70%	70%

Measure 1.11: The percentage of bargaining-impasse cases resolved through a final action closed within 200 days of the date filed.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
61%	100%	100%	77%	70%	70%

***STRATEGIC GOAL 2: WE WILL PROMOTE STABILITY IN THE
FEDERAL LABOR-MANAGEMENT COMMUNITY BY PROVIDING
LEADERSHIP AND GUIDANCE THROUGH ADR AND EDUCATION***

Key to the FLRA’s ADR objectives is to offer high-quality outreach and preventive services, as well as resources, to promote more effective labor-management relations across the Federal Government. In furtherance of that objective, the FLRA has integrated voluntary ADR and consensus decision-making into virtually all of its processes, and it has significantly expanded its training, outreach, and facilitation activities. ADR is an informal, voluntary process that allows parties to discuss and develop their interests in order to resolve the underlying issues and problems in their relationships. This includes interest-based conflict resolution and intervention services in pending ULP cases, representation cases, arbitration cases, negotiability appeals, and bargaining-impasse disputes. The agency also provides facilitation and training to help labor and management develop collaborative relationships. Many of the FLRA’s training programs are now available as web-based training modules, bringing educational tools and resources directly to agency customers at their desks to further assist them in resolving labor-management disputes. The FLRA’s goals include delivering outreach, training, and facilitation services that significantly contribute to the mission of the FLRA, and ensuring that training participants evaluate FLRA training as highly effective.

PERFORMANCE GOAL 1.1: PROVIDE TARGETED ACCESS TO TRAINING, OUTREACH, AND FACILITATION ACTIVITIES WITHIN THE LABOR-MANAGEMENT COMMUNITY.

Measure 1.1: The number of training, outreach, and facilitation activities conducted.					
Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
225	306	280	273	275	275

Measure 1.2: The number of participants involved in training, outreach, and facilitation activities.					
Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
5,114	8,294	8,440	8,122	7,000	7,000

PERFORMANCE GOAL 2.1: SUCCESSFULLY RESOLVE A SIGNIFICANT PORTION OF FLRA CASES THROUGH ADR.

The FLRA has integrated voluntary ADR and consensus decision-making into virtually all of its case processes, and it has significantly expanded its training, outreach, and facilitation activities since FY 2011. ADR is an informal, voluntary process that allows parties to discuss and develop their interests in order to resolve the underlying issues and problems in their relationships. This includes interest-based conflict resolution and intervention services in pending ULP cases, representation cases, arbitration cases, negotiability appeals, and bargaining-impasse disputes.

Measure 2.1: The percentage of appropriate ULP cases in the OGC in which ADR services are offered. *

Results	Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019	
100%	90%	90%	

Measure 2.2: The percentage of ULP cases in the OGC in which an offer of ADR services is accepted that are partially or totally resolved.**

****Renumbered measure beginning in FY 2017; previously Measure 2.1**

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
98%	96%	97%	100%	95%	95%

Measure 2.3: The percentage of appropriate ULP cases in the OALJ in which Settlement-Judge Services are offered.*

Results	Targets		*New measure beginning in FY 2017
FY 2017	FY 2018	FY 2019	
100%	90%	90%	

Measure 2.4: The percentage of ULP cases in the OALJ in which an offer of Settlement-Judge services is accepted by the parties that are partially or totally resolved.

****Renumbered measure beginning in FY 2017; previously Measure 2.2**

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
96%	87%	74%	93%	85%	90%

Measure 2.5: The percentage of REP cases in the OGC in which an offer of ADR services is accepted by the parties that are partially or totally resolved.

****Renumbered measure beginning in FY 2017; previously Measure 2.3**

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2018
100%	96%	100%	100%	95%	95%

Measure 2.6: The percentage of appropriate arbitration cases in the Authority in which ADR services are offered.*

Results		Targets		*New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
100%	100%	100%	100%	

Measure 2.7: The percentage of arbitration cases in the Authority in which an offer of ADR services is accepted by the parties that are partially or totally resolved.

Results				Targets	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
80%	43%	79%	80%	50%	50%

Measure 2.8: The percentage of appropriate negotiability cases in the Authority in which ADR services are offered.*

Results		Targets		*New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
100%	100%	100%	100%	

Measure 2.9: The percentage of proposals or provisions – in negotiability cases in which an offer of ADR services is accepted by the parties – that are partially or totally resolved.

Results		
FY 2013	FY 2014	FY 2015
100%	100%	100%

Measure 2.9: The percentage of negotiability cases in the Authority in which ADR services are provided that are partially or totally resolved.*

Results		Targets		*New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
100%	100%	90%	90%	

Measure 2.10: The percentage of bargaining-impasse cases in the FSIP in which an offer of ADR services is accepted by the parties that are partially or totally resolved.

Results		
FY 2014	FY 2015	
27%	39%	

Measure 2.10: The percentage of bargaining-impasse cases in the FSIP in which parties' disputes are totally resolved voluntarily.*

Results		Targets		* New measure beginning in FY 2016
FY 2016	FY 2017	FY 2018	FY 2019	
27%	30%	30%	30%	

***STRATEGIC GOAL 3: WE WILL MANAGE OUR RESOURCES
EFFECTIVELY AND EFFICIENTLY IN ORDER TO ACHIEVE
ORGANIZATIONAL EXCELLENCE***

The FLRA’s ability to fulfill its core mission under the Statute depends on excellent management of the organization and its resources. The organizational-excellence goal emphasizes how the agency’s employees, IT infrastructure, and allocation of resources are central to achieving all of the strategic goals and objectives outlined in the strategic plan.

The landscape of the Federal workplace and workforce continues to evolve, as do the needs of the parties that the FLRA serves. Approximately 40 percent of the FLRA’s workforce has been with the agency for five years or less, and many of the agency’s most experienced employees are currently eligible to retire. In light of these facts, it is crucial for the FLRA to simultaneously focus on developing the workforce of the future, while retaining valuable institutional knowledge.

The agency is prepared to meet ever-changing business demands through the innovative use of IT to best manage the workload and interact with parties. The FLRA continues to be an effective steward of taxpayer dollars, with a renewed focus on maximizing the use of data to inform decision making. The agency’s future operational approaches are designed to foster nimble and seamless deployment of resources coupled with cost-avoidance strategies to support productive labor-management relations across the Federal Government. And, consistent with the PMA, the FLRA has a comprehensive, forward-looking plan to increase quality and value in its administrative functions, continue efforts to enhance productivity and achieve cost savings, unlock the full potential of its workforce, and build the FLRA’s workplace and workforce for the future.

PERFORMANCE GOAL 1.1: RECRUIT, RETAIN, AND DEVELOP A HIGHLY TALENTED, MOTIVATED, AND DIVERSE WORKFORCE TO ACCOMPLISH THE FLRA’S MISSION.

Over the last eight and a half years, the FLRA has demonstrated significant and marked improvement in its performance and service delivery, and it has continued to rank among the top ten small agencies in the *Best Places to Work in the Federal Government* rankings. These results demonstrate the agency’s commitment to empowering and developing a highly engaged and effective workforce. The success of FLRA employees is instrumental to its success as an agency. It is within this spirit that the FLRA actively manages its human-capital programs.

Measure 1.1: Program managers ensure that the right employees are in the right place to achieve results.

FY 2014	Results	Focused on succession planning by increasing targeted attorney recruitment. Renewed agreement with the University of Maryland for discounted tuition for agency employees. Increased agency resources through recruitment, staffing, and placement. Utilized the Student Pathways and Summer Externship programs
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		<p>to increase resources for casework and administrative initiatives throughout the agency. Realigned functions within the agency's Office of the Executive Director to allow for improved efficiencies and customer service to agency employees. Worked extensively with managers to hold employees accountable for performance and development. Updated Attorney Recruitment Policy in order to allow managers greater hiring flexibility of the agency's mission-critical occupation and to streamline the recruitment process. In collaboration with the Partnership for Public Service's Excellence in Government Fellows program, developed and piloted an Employee Onboarding Handbook to improve the onboarding process and increase employee engagement.</p>
<p>FY 2015</p>	<p>Results</p>	<p>Implemented a fully automated and integrated electronic system for personnel actions. Developed a more robust onboarding process through increased use of technology and piloted implementation of an Employee Onboarding Handbook. Updated certain human-resources policies and procedures. Continued to build internal capacity for handling the major human-resources functional areas. Position descriptions continued to be updated and now allow for greater growth and advancement opportunities within the agency, and employees readily volunteered for collateral-duty assignments, new initiatives, and projects. The agency also renewed its agreement with a local university to offer discounted tuition to FLRA employees for self-directed study. Improved office customer service by improving the quality of advice provided to managers and employees. Worked with managers to educate them about and increase diversity and inclusion when seeking new agency talent. The agency achieved greater diversity in its workforce in FY 2015 by increasing strategic and targeted recruitment and posting job opportunities with career-planning and placement services, local colleges and universities, and professional affinity-group organizations. With respect to succession planning, the FLRA continued to offer cross-component developmental details and its training initiative designed to assist higher-graded employees identify and strengthen critical leadership skills in preparation for eventually transitioning to formal leadership positions. To strengthen and support the FLRA's new cadre of first-time managers and supervisors, the agency identified a series of trainings geared towards developing strategic thinking and other critical skills in preparation for executive leadership at the FLRA. These training initiatives crossed components, bringing together future agency leaders from all offices to enhance their skills and encourage collaboration among peers.</p>

Measure 1.1: Demonstrate strong recruitment and retention practices.

***New measure beginning in FY 2016**

<p>FY 2016</p>	<p>Results</p>	<p>Strengthened the agency’s diversity and inclusion recruitment efforts, establishing and implementing a process for sharing job announcements with relevant affinity groups. The FLRA is continuing to enhance its strategic and targeted recruitment and posting job opportunities with career-planning and placement services, local colleges and universities, and professional affinity-group organizations. The FLRA is also using data to help identify and eliminate barriers to recruiting and hiring the diverse talent that it needs.</p> <p>The FLRA is working to strengthen its operational offices, seeking feedback through semi-annual and point-of-service surveys. Efforts are underway to revise and implement a robust agency-wide onboarding program, which will include briefings and continuing educational opportunities for employees to strengthen their knowledge of the FLRA.</p> <p>The FLRA strengthened its recognition and promotion of cultural-based celebrations, establishing an employee-driven initiative to develop and promote events and activities. The FLRA targeted efforts to educate managers about, and increase diversity and inclusion when, seeking new agency talent, and it continued efforts to train agency staff at all levels on key diversity and inclusion issues. And manager performance plans have been revised to include diversity-and- inclusion-focused metrics. Much of the FLRA’s success is reflected in its #1 small-agency ranking in terms of the “New IQ” Index, which provides insights into employee perceptions of the inclusiveness of the agency by looking at twenty questions that measure the five “Habits of Inclusion” – Fair, Open, Cooperative, Supportive, and Empowering. The FLRA is the top-ranking small-agency for <i>each</i> of the five habits of inclusion, with scores averaging 15 percent – and as much as 21 percent – higher than the average scores for all small agencies. And in the 2015 <i>Best Places to Work in the Federal Government</i> rankings, the FLRA was ranked #2 out of 28 small agencies in its support for diversity.</p>
<p>FY 2017</p>	<p>Results</p>	<p>Continued to develop capacity for shared administrative staff across several offices by utilizing administrative staff within the Authority Component – particularly those who are in “confidential” positions to agency leadership – to provide administrative assistance to the HR, Budget & Finance, and Equal Employment Opportunity (EEO) Offices, which perform</p>

		<p>sensitive work. Not only does this provide administrative staff with a developmental opportunity, but it also allows for greater flexibility, relieves high-graded managerial staff from having to perform lower-graded administrative tasks, and avoids the need to hire additional FTEs when workloads increase within the component.</p> <p>Aligned the agency-wide Performance Year (previously July 1 - June 30) with the Fiscal Year. This alignment directly links every employee's individual performance to the FLRA's overall strategic and performance goals, as well as to the agency's annual budget and funding requests. It will provide a more accurate measurement of each employee's contribution towards achievement of agency-wide performance goals, greater accountability, and better data regarding resource needs.</p> <p>Conducted an agency-wide review of all agency electronic Official Personnel Folders (eOPFs) to: ensure proper retirement coverage (CSRS or FERS); verify the accuracy of service computation dates (SCDs) for both leave and retirement purposes; and examine all folders for missing or undocumented prior service.</p> <p>Conducted an agency-wide review of every agency position description (PD) to ensure that all PDs reflect actual duties and that accompanying cover sheets are accurate, and revised PDs that needed revision or that were very dated, which has been particularly critical in conducting "need-to-fill" evaluations and drafting recent vacancy announcements.</p>
<p>FY 2018</p>	<p>Target</p>	<p>Complete implementation of all necessary changes/corrections identified during the agency-wide eOPF and PD reviews.</p> <p>Develop/revise and implement standard operating procedures that will help to maintain accurate personnel records going forward.</p> <p>Continue to conduct "need-to-fill" evaluations before filling any vacant positions.</p> <p>Implement workforce reshaping, consistent with Executive Order 13781 and M-17-22.</p> <p>Continue to use data to identify and eliminate barriers to recruiting and hiring the diverse talent that the FLRA needs.</p>

FY 2019	Target	<p>Adhere to and update, as needed, standard operating procedures that will help to maintain accurate records going forward.</p> <p>Continue to conduct “need-to-fill” evaluations before filling any vacant positions.</p> <p>Continue to implement workforce reshaping, consistent with Executive Order 13781 and M-17-22.</p> <p>Continue to use data to identify and eliminate barriers to recruiting and hiring the diverse talent that the FLRA needs.</p>
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Measure 1.2: Maintain and grow agency expertise through employee development.

***New measure beginning in FY 2016**

FY 2016	Results	<p>Successfully implemented numerous cross-component developmental opportunities for employees, including workgroups to encourage innovation, the development and delivery of training, and more than ten detail opportunities at all levels and offices within the agency.</p> <p>Continued its robust training initiative focusing on leadership and skills development. It addressed temporary mission needs, maximizing Student Pathways and student-internship programs, and utilizing developmental details within its existing workforce. All new managers and supervisors were provided with leadership-training opportunities, and the FLRA’s executive-training plans are ongoing and are aimed at developing executive-level talent among the FLRA’s existing workforce.</p> <p>Continued its overall success and improvement as measured by the FEVS, leaving no doubt that the FLRA continues to have a highly engaged workforce that is dedicated to the accomplishment of its mission. The results of the survey reflect the agency’s continuous growth in overall employee satisfaction, as demonstrated by the FLRA ranking as the #1 small agency in two important indices – Employee Engagement and New IQ – and the increase in 2016 positive ratings in 19 items from 2015. In addition, the FLRA has 66 identified strengths (items with 65 percent or higher positive ratings) and no identified challenges (items with 35 percent or higher negative ratings). And the agency’s scores are above the Government-wide average in 69 out of 71 questions. Of particular note is that: 97 percent of FLRA respondents report that they are held accountable for achieving</p>
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		<p>results; 96 percent positively rate the overall quality of the work done by their work unit; 96 percent indicate that they are willing to put in extra effort to get a job done; 94 percent know how their work relates to the agency’s goals and priorities; 94 percent think that the people they work with cooperate to get the job done; 94 percent believe that the agency is successful at accomplishing its mission; 93 percent find that the workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals; 92 percent indicate that their supervisors regularly communicate with them about their performance; and 91 percent state that employees in their work unit share job knowledge with each other. Moreover, the agency maintained its sustained growth of positive responses to the question “supervisors in my work unit support employee development” – increasing by nearly 9.5 percent over 2015.</p>
<p>FY 2017</p>	<p>Results</p>	<p>Continued to develop capacity for shared administrative staff across several offices by utilizing administrative staff within the Authority Component – particularly those who are in “confidential” positions to agency leadership – to provide administrative assistance to the HR, Budget & Finance, and Equal Employment Opportunity (EEO) Offices, which perform sensitive work. Not only does this provide administrative staff with a developmental opportunity, but it also allows for greater flexibility, relieves high-graded managerial staff from having to perform lower-graded administrative tasks, and avoids the need to hire additional FTEs when workloads increase within the component.</p> <p>Most managers assessed all of their employees on their developmental needs and provided at least one targeted developmental opportunity to each. Training budgets for every office were reduced by 25 percent in FY 2017, so there was a reduced ability to procure outside training. This resulted in managers finding in-house opportunities to help develop their employees through details (e.g., Acting Chief Information Officer), work groups (e.g., eFiling), and special projects (e.g., revising FLRA policies).</p> <p>In the 2017 FEVS, 78 percent of FLRA employees responded positively to the OPM FEVS question “supervisors in my work unit support employee development” (Q. 47). Although this represents a 6 percent decrease from 2016, it is nonetheless 5 percent above the small-agency score of 73 percent, and 10 percent above the Government-wide score of 68 percent.</p> <p>In FY 2017, the FLRA continued its overall success as measured</p>

		<p>by the Federal Employee Viewpoint Survey (FEVS), leaving no doubt that the FLRA’s investments in the recruitment, retention, and skills and leadership development of its employees continues to produce a highly engaged workforce that is dedicated to the accomplishment of its mission. The results of the 2017 survey reflect that the FLRA has 55 identified strengths (items with 65 percent or higher positive ratings) and no identified challenges (items with 35 percent or higher negative ratings). Compared to 2016, the FLRA increased its positive ratings for 15 questions, experienced no change in its positive ratings for 4 questions, and decreased its positive ratings for 52 questions. The agency outperformed the Government-wide average in 70 out of 71 questions. And the FLRA continues to rank in the top ten among small agencies (those with 100-999 employees) in two important indices – Employee Engagement and New IQ – with #6 and #5 rankings, respectively. With an Employee Engagement Index score of 77 percent and a New IQ Index score of 71 percent, the FLRA exceeds the Government-wide average for each index, as well as for every sub-category of each index. In addition, the FLRA’s Global Satisfaction index score of 72 percent – well above the Government-wide average of 64 percent – is a positive indicator of employees’ overall workplace satisfaction.</p> <p>As to the agency’s 55 identified strengths, of particular note is that: 99 percent of FLRA respondents indicate that they are willing to put in extra effort to get a job done; 98 percent positively rate the overall quality of work done by their work unit; 97 percent report that they are held accountable for achieving results; 95 percent know how their work relates to the agency’s goals and priorities; and 92 percent say that they are constantly looking for ways to do their jobs better. These results show that employees understand the FLRA’s mission, understand their role in achieving it, and see themselves as an integral part of achieving agency-wide success.</p> <p>In addition to its top-ten rankings in the Employee Engagement and New IQ Indexes and increased ratings in 15 questions, FLRA employees also identified areas for improvement. These areas include opportunities for advancement, meaningful recognition of differences in performance, encouragement of creativity and innovation, availability of resources to get their jobs done, and communication from management about what’s going on in the agency.</p>
FY 2018	Target	Building on the agency’s evolving succession plan – which is designed to lessen the impact of institutional-knowledge loss as employees retire or leave and to maximize current talent

		<p>utilization by closing leadership staffing and competency gaps/deficiencies – develop a formal agency developmental-detail program, establishing cross-component detail opportunities to provide employees with training and developmental experiences that will enhance their skills and increase their understanding of the agency’s mission and operations across program lines, as well as the relevance of their work to the mission and programs of the FLRA.</p> <p>Managers will assess annually 100 percent of employees on their developmental needs and provide at least one targeted developmental opportunity to each of their staff members per year.</p> <p>Maintain sustained growth of positive responses to the OPM FEVS question “supervisors in my work unit support employee development.”</p>
<p>FY 2019</p>	<p>Target</p>	<p>Implement a formal cross-component detail program.</p> <p>Managers will assess annually 100 percent of employees on their developmental needs and provide at least one targeted developmental opportunity to each of their staff members per year.</p> <p>Maintain sustained growth of positive responses to the OPM FEVS question “supervisors in my work unit support employee development.”</p>

PERFORMANCE GOAL 2.1: IMPROVE USE OF EXISTING TECHNOLOGY AND DEPLOY NEW IT SYSTEMS TO STREAMLINE AND ENHANCE ORGANIZATIONAL OPERATIONS.

The FLRA began accepting eFilings in FY 2013, and, as of FY 2015, eFiling is available for all FLRA offices that receive case filings. The FLRA is continuing to work towards implementing the agency’s long-term goal of sharing end-to-end electronic case files throughout the FLRA, as well as the OMB-mandated target of having fully electronic files by 2019. Increasing eFiling is critical to achieving this goal. In this regard, the more case-related information that the FLRA receives electronically – rather than in hard copy – from the outset, the easier it is to convert that information into an electronic case file, without the need for FLRA staff to manually scan documents. In recognition of this, in FY 2015, the agency developed and launched a plan to accomplish the transition to fully electronic case files in 4 agile phases over 4 years.

Measure 2.1: Expand the use of eFiling.

Results	
FY 2014	12% of cases eFiled.
FY 2015	17% of cases eFiled.
FY 2016	22% of cases eFiled.
FY 2017	35% of cases eFiled.
Targets	
FY 2018	75% of cases eFiled.
FY 2019	75% of cases eFiled.

Measure 2.2: Electronic end-to-end case processing.

Results	
FY 2014	Migrated the CADRO to an end-to-end electronic case file.
FY 2015	Made eFiling available for OALJ cases, resulting in eFiling being available for all offices that accept case filings. As a result, completed full integration of the CMS and eFiling systems, enabling end-to-end electronic case processing throughout the agency.
FY 2016	With the full completion of the eFiling objective, the CMS has the structure in place to receive and store electronically filed cases. The applications have been merged, creating bridges between the two systems, to support end-to-end electronic case-processing capability. The FLRA neared completion of improving the eFiling user interface, which builds upon the existing system, making the eFiling system more user-friendly and intuitive. And efforts are underway to implement a Document Management System. This effort will span into FY 2017, and it is a critical step in accomplishing the FLRA’s multi-year electronic-case-file plan.
FY 2017	<p>Incorporating internal and external customer feedback, adopting “agile” development efforts, and utilizing open-source code, completed development of a brand new, user-friendly eFiling application with a Ruby on Rails user interface and a Postgres backend database that is housed in Amazon Web Services – a cloud-based solution. Final testing and additional enhancements that were not anticipated until later in FY 2018 are currently being completed, and eFiling 3.0 will launch to the public in the 1st quarter of FY 2018. It is anticipated to dramatically increase the number of FLRA cases filed electronically.</p> <p>Laid the foundation for modernizing the infrastructure for the agency’s electronic CMS and eFiling by transitioning to a new backend product – Postgres database housed in Amazon Web Services – that will allow for a more user friendly and complete integration of the CMS, the eFiling system, and the DMS.</p> <p>Deployed an agency-wide, cloud-based DMS, which replaced the existing</p>

	network shares with an integrated document and email communications system that will facilitate document sharing and electronic case-processing initiatives.
Targets	
FY 2018	Integrate the CMS and eFiling systems with the agency Document Management System, enabling end-to-end electronic case processing throughout the agency.
FY 2019	Implement end-to-end electronic case files throughout the agency.

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