



America the Beautiful

FEDERAL LABOR RELATIONS AUTHORITY
OFFICE OF INSPECTOR GENERAL

**42nd SEMIANNUAL REPORT
TO THE CONGRESS**

April 1, 2009
through
September 30, 2009

Date Issued: October 16, 2009

EXECUTIVE SUMMARY

This is the 42nd Semi-Annual report issued by the Office of the Inspector General (OIG) at the Federal Labor Relations Authority (FLRA). This report, submitted pursuant to the Inspector General Act of 1978, as amended and the Inspector General Reform Act of 2008, summarizes the major activities and accomplishments of the FLRA Inspector General for the period of April 1, 2009 to September 30, 2009.

During this reporting period, the FLRA Inspector General continued conducting internal reviews of FLRA programs to help the Chairman update the FLRA programs and administrative issues and focus on FLRA Union issues. The FLRA Inspector General conducted and issued a survey regarding FLRA managers and employee's concerns and positive opinions. Internal reviews of FLRA's Freedom of Information Act (FOIA) Responses, FLRA Purchase Cards and Human Capital Succession Planning were also conducted. Currently, an internal review on the FLRA's Case Intake & Publication Program and FLRA's Check out Process are being conducted. In addition, an audit on 2009 Information Security and FISMA and an audit on 2009 Financial Statement are being conducted. Unfortunately, it took the FLRA so long to create its 2008 Financial Statement Performance Accountability Report; the 2008 Financial Statement Audit was completed and issued on August 25, 2009.

The FLRA Inspector General also conducted 4 investigations and responded to 28 hotline complaints received during this reporting period. The FLRA Inspector General participated in two surveys, attended the Council of Integrity and Efficiency Inspector General Conference and monthly meetings, completed training in FOIA, Senior Executive Services, Contracting Officer Technical Representative and Information Security.

FEDERAL LABOR RELATIONS AUTHORITY

The FLRA is an independent agency responsible for directing the labor-management relations for 1.9 million non-postal Federal employees worldwide, nearly 1.1 million of who are exclusively represented in approximately 2,200 bargaining units. The FLRA is charged by the Federal Service Labor-Management Relations (The Statute), section 7105, with providing leadership in establishing policies and guidance relating to Federal sector labor-management relations, resolving disputes arising among Federal agencies and unions representing Federal employees, and ensuring compliance with the Statute.

The FLRA represents the Federal government's consolidated approach to labor-management relations. The FLRA is "three components in one," fulfilling legal statutory responsibilities through the Authority, the Office of General Counsel and the Federal Service Impasses Panel. The FLRA has 7 regional offices and one satellite office. The FLRA also provides staff support to two other organizations – the Foreign Service Impasses Disputes Panel and the Foreign Service Labor Relations Board.

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

The Authority adjudicates disputes arising under the Statute, deciding cases concerning the negotiability of collective bargaining agreement proposals, unfair labor practice (ULP) allegations, representation petitions, and exceptions to grievance arbitration awards. In addition, consistent with its statutory responsibility to provide leadership in establishing policies and guidance, the Authority assists Federal agencies and unions in understanding their rights and responsibilities under the Statute and resolving their disputes through interest-based problem-solving rather than adjudication.

In addition to the three Member Offices, the Authority component of the FLRA also houses the Office of the Administrative Law Judges, the Office of Policy, Project and Performance Management, the Office of the Solicitor, the Office of the Executive Director, the Office of the Inspector General and the Office of the General Counsel.

Office of the Administrative Law Judges: The FLRA's Administrative Law Judges (ALJ's) are appointed by the Authority to conduct due process hearings in accordance with the Administrative Procedures Act and issue recommended decisions in cases involving alleged unfair labor practices. ALJ's also conduct hearings and issue recommended decisions involving applications for attorney fees and files pursuant to the Back Pay Act or the Equal Access to Justice Act. In the course of their duties, ALJ's conduct pre-hearing conferences, issue subpoenas, rule on motions and evidentiary issues, and engage in settlement efforts. An ALJ decision may be affirmed, modified, or reversed, in whole or in part, by the Authority. If no exceptions are filed to an ALJ decision, the decision is adopted by the Authority and becomes final and binding upon the parties.

Office of Policy, Project & Performance Management: The Office of Policy, Project & Performance Management is responsible for agency-wide strategic policy and planning, including the role of Chief Human Capital Officer. The office also provides oversight with respect to FLRA performance management initiatives. The office drafts, reviews, and approves all agency-wide instructions and policies; oversees the Chairman's and the Administration's initiatives; and develops agency-wide initiatives, which upon the Chairman's final approval, are implemented through the Office of the Executive Director. The office also houses the agency's congressional affairs function and serves as the Chair's primary point of contact with the Solicitor, Executive Director, EEO Director, and Inspector General.

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

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

Office of the Inspector General: The Office of the Inspector General (OIG) is responsible for directing and carrying out audits, investigations, evaluations, inspections, surveys and other oversight activities related to the FLRA programs and operations. In addition, the Inspector General is authorized to create Inspector General policies and review new FLRA instructions to promote economic, efficient, and effective agency programs, which prevent fraud, waste, abuse and mismanagement. The Inspector General is responsible for keeping the Chair, FLRA and the Congress fully informed of problems and deficiencies, as well as the necessity for corrective actions. Public Law 100-504 and the Inspector General Act, as amended, mandate the requirements, objectivity and independence of Federal Agency Inspectors General. The **Office of Inspector General's 2008 budget is \$333,680.20** which includes salaries for the Inspector General and Administrative Assistant but is not sufficient for the Inspector General to perform the requirements and undergo senior level training related to and required for the Inspector General's job.

Office of the General Counsel: The Office of the General Counsel (OGC) is a component of the FLRA. The General Counsel, who is appointed by the President with the advice and consent of the Senate for a 5-year term, manages all OGC employees. The OGC includes seven regional offices located in Atlanta, Boston, Chicago, Dallas, Denver, San Francisco, and Washington, DC and one remote duty location in Diamond Bar, California. The OGC investigates all unfair labor practice charges filed either by an employee, a labor union or a federal agency and prosecutes all unfair labor practice

complaints before the Authority. The OGC is also responsible for receiving and processing representation petitions and providing education services to the parties. The General Counsel reviews all appeals and establishes case-handling policies and procedures for the OGC.

The Federal Service Impasses Panel: The Federal Service Impasses Panel (FSIP or the Panel) is composed of seven part-time Members who are appointed by the President to serve for a 5-year term. One Member is appointed by the President to serve as the Panel Chair. The Panel resolves bargaining impasses between Federal agencies and unions representing Federal employees arising from negotiations over conditions of employment under the Statute and the Federal Employees Flexible and Compressed Work Schedules Act. If bargaining between the parties, followed by mediation assistance, proves unsuccessful, the Panel has the authority to recommend procedures and to take whatever action it deems necessary to resolve the impasse.

The Foreign Service Labor Relations Board: The Foreign Service Labor Relations Board, (the Board) was created by the Foreign Service Act of 1980 to administer the Labor-Management Relations Program for Foreign Service employees in the U.S. Information Agency, the Agency for International Development, and the Departments of State, Agriculture and Commerce. The Board is composed of three Members, including the Chairman of the Authority who appoints the other two Members, who serve on a part-time basis. The Chairman of the Authority also serves as Chairman of the Board. The FLRA General Counsel acts as General Counsel for the Board, and the Authority staff provides necessary support to the Board.

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

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

FLRA MISSION STATEMENT

The Federal Labor Relations Authority exercises leadership under the Federal Service Labor-Management Relations Statute to promote stable, constructive labor relations that contributes to a more effective Government.

The mission of the FLRA is to carry out five primary statutory responsibilities as efficiently as possible and in a manner that gives full effect to the rights afforded employees and agencies under the Statute.

Under the Statute, the primary responsibilities of the FLRA include:

- Determining the appropriateness of units for labor organization representation;
- Adjudicating exceptions to arbitrator's awards;
- Resolving complaints of unfair labor practices; and
- Resolving impasses and issues relating to the duty to bargain.

FLRA FOCUS DURING THE PAST 6 MONTHS

During the last 6 months, FLRA management has been focused on restoring the agency. Although the FLRA does not have a sufficient budget to bring the agency back to 142 employees, some attorneys and administrative employees have been hired. The FLRA needs to increase its resource allocations as well as its budget to make sure it retains a good workforce and continues to improve the agency. OMB has been very involved with the FLRA in helping it to update its mission, administrative programs and increased budget.

FLRA management has conducted monthly meetings with management and is now issuing reports and newsletters which were removed by the last administration. Management has also reestablished a Technical Council to assist the FLRA and Chief Information Officer by working on the FLRA's website and developing a case management system.

FLRA management has also focused on interacting with FLRA employees, providing them training, upgrading necessary positions and acknowledging their responsibilities. Virtually all FLRA employees are very pleased that the FLRA is now a good Federal agency to work for again.

OFFICE OF INSPECTOR GENERAL

The FLRA Inspector General still only has one employee who is an administrative assistant. FLRA management has now allocated the Inspector General a sufficient budget to contract out for the Financial Statement Audit and FISMA Evaluation. The FLRA Inspector General:

Conducts and supervises investigations, inspections, internal reviews, audits, surveys and evaluations of the programs and operations of the FLRA;

Provides leadership and coordination, and recommends actions to management, which:

1. Promote economy, efficiency, and effectiveness in agency programs and operations;
2. Prevent and detect fraud, waste, abuse, and mismanagement of Government resources, and
3. Inform the Chairman and Congress regarding problems and deficiencies, and the progress of corrective actions.

OFFICE OF INSPECTOR GENERAL MISSION STATEMENT

The mission of the FLRA Office of Inspector General is to provide FLRA leadership, with an independent and objective assessment of the organization's efficiency and effectiveness. This is accomplished through proactive oversight activities of FLRA operational processes. The Inspector General provides necessary oversight and serves as a catalyst for improving and maximizing the efficiency and integrity of FLRA programs and operations. The goal of the Inspector General's work is to maximize the effectiveness of FLRA programs by evaluating performance and identifying ways to make these programs more efficient and effective. In addition, the FLRA Inspector General strives to prevent and detect fraud, waste, abuse, and mismanagement of the FLRA's resources and operations, which could adversely impact the organization's integrity and ability to perform its mission in a timely, customer responsive manner.

The primary objectives of the Office of Inspector General are as follows:

- To evaluate the efficiency and effectiveness of FLRA programs and resource management and identify best practices, as well as causative factors, impeding the accomplishment of the FLRA mission;
- To assist the Chairman and FLRA management in carrying out their responsibilities by providing them with objectives and timely information on the conduct of FLRA operations, together with the Inspector General's independent analysis, conclusions, and recommendations;
- To use evaluations, internal reviews, and more traditional assessment tools of audits, inspections, and investigations, to maximize oversight and strengthen system and process controls; and
- To support the Administration and Congress in maximizing Government integrity and efficiency and minimizing the occurrence of fraud, waste, abuse, and mismanagement.

AUDIT/INTERNAL REVIEW/ INSPECTION ACTIVITIES

During this reporting period the FLRA Office of the Inspector General performed the following audits and reviews in compliance with Government auditing standards:

2008 Financial Statement Audit

Closed

Although the contracted auditors conducted this audit properly and on time, the FLRA did not create and issue the Performance Accountability Report (PAR) until July, 2009 and the audit was not able to be issued until August 25, 2009. Because the 2008 Strategic Plan only had one strategic goal, the FLRA's Statement of Net Cost accumulated all agency costs together and reported the cost in total. The FLRA does not provide a subsidiary ledger report to support general ledger balances of accounts payable. Policies and procedures for reviewing/reconciling general ledger account Balances need to be strengthened to improve their effectiveness. Although the FLRA does not normally provide payments to commercial entities, it still needs to implement the requirements of the Improper Payments Information Act and estimate the amount of improper payments.

This 2008 audit did not identify any financial statement material risks but the major problem was that it took the FLRA's budget staff an extreme amount of time to create and issue the PAR Report. Several matters that were weaknesses in internal controls and operating efficiencies were identified by this audit. The FLRA does not have adequate controls established to ensure that obligating documents are recorded on time to the general ledger. The process of communicating approved procurement actions to the National Business Center to ensure obligations need to be more efficient. At the end of FY 2008, the FLRA's previous Performance Plan, Strategy Plan and Performance Accountability Report were not placed by previous management on the FLRA website to be available to the public.

2009 Financial Statement Audit

Open

During this reporting period, the 2009 financial statement audit was started and conducted by Harper, Rains, Knight & Company. So far, no material weaknesses or fraud issues have appeared and the FLRA is very focused on issuing the 2009 Performance Advisory Report on time for the auditors and Office of Management and Budget.

2009 Evaluation of FLRA's FISMA Compliance

An independent evaluation of the quality and compliance of the FLRA's security program with applicable Federal computer security laws and regulations as required by the Federal Information Security Management Act (FISMA). This evaluation affirmed that the FLRA has not established adequate security controls in many areas. The weaknesses identified by the evaluation were attributed to the lack of FLRA Information Technology security policies and procedures, the lack of managing access controls, the

lack of proper training and awareness which informs users of the need to protect system management, operations and technical controls, and the lack of proper contingency planning and internal controls. Other issues that need to be addressed include developing an access control program, an awareness and training program, an audit and accountability program, an information technology security program, a configuration management program, an electronic authentication program, an incident response and maintenance program, a media protection program, physical and environmental protection, a personnel security program, a risk assessment program, system and communication protection program, and information integrity program.

As with other programs diminished during the last administration, information technology was not addressed properly. Management has now hired a Chief Information Officer who is focused on improving and updating the FLRA's information technology and security program.

FLRA Inspector General Internal Review of FLRA's Purchase Card Use ***Closed***

FLRA's purchase card holders include 2 Administrative Services Division employees, one Information Research Management employee and one employee in each of the 8 FLRA Regional Offices. FLRA's Administrative Services Office of Management and Budget does not have any records regarding purchase card beyond 2003 so we don't know when or if this program was implemented when the Federal government purchase program actually started in 1982.

The decision on who in the FLRA would have purchase cards was made by the former administrations Executive Director. FLRA Headquarter components (except Information Resource Management and Administrative Law Judges) do not have purchase cards and must go through the Administrative Services Division to obtain supplies. Both the Office of Administrative Law Judge and Washington Regional Office's FY 2009 purchase budgets were reduced by current management.

The FLRA obtained its purchase cards from Citibank. Currently there is no instruction or policy on purchasing even though such policy was drafted in 2003, updated by a contractor in 2007 but never implemented by previous management.

The Approval Officers are responsible for questioning any improper purchases but there have not been indications of improper purchasing at all over the last 6 years. Nevertheless, the FLRA must update this program, implement current policy, provide proper training and consider issuing purchase cards to all Headquarter components.

FLRA Inspector General Internal Review of FLRA's Adherence to the Freedom of Information Act (FOIA) Closed

This Inspector General Internal Review of FOIA related to FLRA's handling of FOIA requests and appeals in FY 2008 and FY 2009. The Office of the Solicitor (the Chief FOIA Officer is the Solicitor), the FLRA Authority, Office of General Council and Regional Offices, the Federal Impasse Panel and Office of Inspector General handle all FOIA requests for the FLRA. The FLRA follows the FOIA Act and provides requested FLRA records except those that are protected from disclosure by the FOIA Act.

In FY 2008, some of the FLRA FOIA components handled requests a little longer than the required 20 business days. The extensive exception was the Office of Solicitor which handles Headquarter FOIA requests and had difficulty obtaining required information from prior management. Fortunately, since the beginning of FY 2009 and under the new administration, FLRA FOIA respondents have handled all FOIA requests and appeals on time. Although the FOIA request processing costs for FLRA personnel handling was almost \$13,000.00, only one amount of about \$239.00 was charged. So far in FY 2009, since all requests have been responded to quickly with requested information, no charges have been made.

The FLRA FOIA Officer has updated the FLRA FOIA Instruction and put it on line for external FLRA FOIA requesters to review and provide comments. The 2008 FOIA Annual Report which is listed in the FLRA's reading room and maintained on the FLRA home page internet as well as the internet of the Department of Justice. Although the FLRA's electronic system is not yet completed, the FLRA is now providing an extensive amount of FOIA information on its homepage for current and future requesters who have the right to request/access government information.

Inspector General Internal Review of Strategic Management of Human Capital Succession Planning Closed

FLRA's current Chairman has been focusing on the needs for senior level management in order to place a greater emphasis on human capital management and make sure that the FLRA has the proper positions, grades and the right skills. Although the FLRA has not yet identified critical skills and competencies, it will do so when it undertakes succession planning. The FLRA is currently updating the FLRA Strategic Plan and will be issuing it in 2010. The FLRA has 12 out of 21 managers who are eligible for retirement and has about 14 GS-15 employees who could qualify for SES vacancies. FLRA needs to focus on leadership development for GS-13 and 14 employees over the next few years to support their possible upgrades. The FLRA is currently hiring additional employees for mission critical positions which were diminished in the previous administration. In order to adopt the best succession planning for FLRA leaders and key employees, the FLRA senior management and leaders must get together and discuss this succession planning to prepare the right workforce with skills, knowledge and capabilities that FLRAS needs to conduct its mission effectively.

FLRA Inspector General Survey of Management and Employee Challenges

Closed

During this reporting period, on June 10, 2009, the FLRA Inspector General completed a Survey of FLRA Management and Employee Challenges to help FLRA management rebuild the FLRA. During the last administration, the FLRA failed to enter into the 21st century and the FLRA was micromanaged by the senior executives. Since the current Chairman is focused on updating the FLRA, the Inspector General conducted a survey with FLRA managers and employees to identify current concerns and positive accomplishments to help management reinstate the FLRA.

The fact that the 3rd Member, General Counsel and FSIP Panel were not appointed and working at the FLRA until August 17, 2009, caused an excessive increase of work on hold and caused some employees to get stressed. The reduction of staff, budget, travel for handling unfair labor practice charges, reduction of Regional Directors and Headquarter manager's authority, elimination of the FLRA Union's involvement in management options, lack of administrative program staffs, reduction of positions, employee orientation and training, eliminating of FLRA instructions and policy in the previous administration all became challenges of the new administration.

This survey affirmed that almost all FLRA managers and employees felt that current management has extensively focused on positively addressing the FLRA's diminished issues and are focused on improving the FLRA. This survey resulted in a high level of findings and recommendations which management is addressing.

FLRA Inspector General Internal Review of Case Intake and Publications

Open

During this reporting period, the FLRA Inspector General started an internal review of the FLRA's Case Intake and Publications (CIP) Office and is almost finished with this. The FLRA CIP (which was formally called the Case Control Office) has the mission to receive, manage and process arbitration, negotiability, unfair labor practice charges, representation, and miscellaneous cases for the FLRA Members of the Authority and has a similar mission as a clerk of the court. The CIP is the first FLRA office to receive Authority cases and is the last FLRA office to process and dispose FLRA Authority cases. The CIP is the point of contact with customers as well as public or private sector walk in who wish to review FLRA cases. The CIP is handled by the Chief Officer and he has 5 staff members who handle case processing and maintains cases on the internet.

FLRA Inspector General Internal Review of Checkout Process

Open

During this reporting period, the FLRA Inspector General began an Internal Review of FLRA's checkout process focusing on what FLRA requires employees to do when they formally leave the agency. This internal review is still being conducted.

FLRA Inspector General Survey of Testimonial Subpoena Authority for Inspectors General

During this reporting period, the FLRA Inspector General participated in the Council of the Inspectors General on Integrity and Efficiency Survey on the Proposed Testimonial Subpoena Authority for Inspectors General.

FLRA Inspector General Survey of DJHPM for Department of State

During this reporting period, the FLRA Inspector General conducted a survey created by the Department of State for DJHPM auditors.

FLRA Inspector General Survey of FLRA's Strategic Plan

During this reporting period, the FLRA Inspector General completed an FLRA management survey for all FLRA employees regarding the FLRA's Strategic Plan.

FLRA Inspector General Investigations and Hotlines

During this reporting period, the FLRA Inspector General received 4 requests for investigation, 3 of which were related to other Federal Agencies and properly forwarded to them. The FLRA Inspector General conducted one Administrative Investigation and handled 28 Hotline calls. Many of these hotline complaints were related to other Federal Agencies and not the FLRA. Apparently, the FLRA Inspector General's hotline number is very accessible to external individuals who immediately call even though their matters are not related to labor management administrative issues. Of course, the FLRA Inspector General forwards these types of hotline calls to the proper Federal Agency's Office of Inspector General the details of both the Investigations and hotlines charts are at end of this report.

ADDITIONAL ACTIVITIES

Council of Inspector General Integrity and Efficiency

The FLRA Inspector General attends the Counsel of Inspector General Integrity and Efficiency monthly meetings on a regular basis to ensure that the FLRA Inspector General is current and aware of requirements, operations and issues related to Inspectors General. During this reporting period, the FLRA Inspector General also attended the annual Counsel of Inspector General Integrity and Efficiency Conference held in Richmond Virginia.

AGENCY ISSUES:

During this reporting period, the FLRA Inspector General participated in FLRA Management and Employee Meetings and always kept the Chairman aware of Inspector General Actions.

During this reporting period, the FLRA Inspector General reviewed newly created FLRA instructions including Security Policy Handbook.

During this reporting period, FLRA management updated the FLRA library, placed an extensive amount of material on the FLRA internet, began to issue newsletters and constantly provided appropriate FLRA information to management and employees

During this reporting period, the FLRA Inspector General attended several FLRA training programs.

Training

During this Reporting Period, the FLRA Inspector General attended Government Executive conferences which did not require financial expenditures for the FLRA Inspector General. Ethics training was provided on-line by the FLRA Ethics Officer, as well as Information System Security Awareness Training. The FLRA Inspector General also attended the CIGIE OMB 2009 Financial Statement Audit Training during this period and attended FOIA, Senior Executive and COTR training. The FLRA Inspector General also attended FLRA training for the Federal Service Impasse Panel and Merit Systems Protection Board.

Security Issues

During this reporting period, the FLRA did not have any security issues reported.

Inspector General Hotline

Although the Hotline is available on the FLRA Inspector General internet, all of the 28 Hotline contacts were by telephone and most of them related to other Federal agencies to which they were referred to by the FLRA Inspector General. Some of these individuals stated they didn't have the telephone numbers for the proper Inspector General and some stated that although they called and left a message, they never received a response.

Inspector General Investigations

During this reporting period, the FLRA Inspector General received 4 investigations, 3 of which were totally related to other Federal Agencies and properly forwarded to the

appropriate Agency. The FLRA Inspector General conducted one FLRA related investigation during this reporting period.

Inspector General Corrective Actions

During this reporting period the former and current FLRA Chairman and management have focused extensively on addressing the Inspector General's findings and recommendations from 1998 to the 2009. All Inspectors' General Corrective Actions were addressed and 33 were closed during this reporting period. Management also provided estimated completion dates for those findings and recommendations that are still open. This was the proper thing to do. A list of these actions is provided on the next page.

**1998 through 2009 Status of Inspector General
Findings and Recommendations**

Report No. Issued Date	Recommendation	Target Completion	Response
Section II	<p>II/1: Ensure that the maintenance of records documenting agency actions, policies and procedures are current and distributed to staff.</p> <p>II/2: Review working case files retention</p> <p>(b) Meet with office Directors to develop retention schedules for all records not in current schedule and get for changes to current schedule.</p> <p>(c) Develop retention schedules for new records and make changes to current schedules.</p> <p>(d) Submit new schedule for Archivist's approval</p> <p>(e) Include approved schedule in updated instruction 1323.1.</p> <p>II/3: Require offices to separate temporary and permanent case files.</p> <p>II/4: Ensure that photographs that are a part of a permanent case file conform to 36 CFR Section 1232.</p> <p>II/5: Establish a Vital Records Program.</p> <p>II/6: Identify vital FLRA records and enact measures to protect and update them, and ensure their availability during emergencies.</p> <p>II/7: Consider the offsite maintenance/storage of copies of vital records.</p>	The IG received Mgt. response to IG findings and recommendations 3/30/09	Open -Section II and III Estimate completion for addressing administrative matters concerning Agency records FY 2010.
Section III	<p>III/1. Identify which FLRA records are not covered by records schedule or the General Record Schedules.</p> <p>III/2: Develop and submit to NARA proposed records schedules for unscheduled records.</p> <p>III/3: Formalize the creation maintenance/disposition of administrative records to the same extent as program records.</p> <p>III/4: Offer records mgt. Guidance to staff on electronic Records Mgt. And FOIA procedures (including E-FOIA amendments).</p>	The IG received Mgt. response to IG findings and recommendations 3/30/09	
Mgt. Letter 4/19/98 Instructions/MOU Update	1. Update all FLRA delegation of authority, memoranda of understanding, and instructions to reflect current mission.	The IG received Mgt. response to IG findings and recommendations 3/30/09	Open 1. and 2. Estimate completion for addressing Agency Instructions and Policies FY 2010.

	2. Distribute updated policy to all managers and make them available to all employees in one central folder on the FLRA website along with updated index.		
9/28/99 OPM Review of FLRA Human Resources Program	1. Establish an accountability system to assess mgt. utilization of human resources. 2. Study quality of performance feedback and provide strategies for ensuring sufficient quality performance feedback is provided to employees	The IG received Mgt. response to IG findings and recommendations 3/30/09	Open 1. and 2. Estimate completion for addressing Human Resources issues FY 2010.
Audit of the FLRA FY 98 Financial Statements and Central Services Fund (Report No. 99-01)-September 1999).	2. Review, update and revise as necessary, FLRA Regulations 2301.1 Financial Mgt. System to reflect contemporary policy, including a requirement for a documented yearly review of financial mgt. statements by the Executive Director and audits of financial statements by independent source on a yearly basis	The IG received Mgt. response to IG findings and recommendations 3/30/09	Open 2. Estimate completion for addressing Financial Management issues FY 2010.
Internal Review of FLRA External Affairs May 2000	1. Create centralized Administrative Tracking System. 2. Develop/implement FLRA External Affairs Policy. 3. Create Agency Policy Compliance with the Paperwork Reduction Act.	The IG received Mgt. response to IG findings and recommendations 3/30/09	Open 1. - 3. Estimate completion for addressing matters related to External Affairs FY 2010.
Internal Review of FLRA's Travel Program 9/18/01	15. The FLRA should enhance the Accounting Manual with the detail of specific procedures for the department staff 16. FLRA should develop written budget information and execution policy that outlines the process; states procedures utilized and clarify FLRA approaches and methodology. 17. Significant changes or direction from the initial budget submission should be communicated to cost center managers in a timely manner.	The IG received Mgt. response to IG findings and recommendations 3/30/09	Closed 15. thru 18. Every FLRA office was provided with 2009 budget information and was involved in the development of their 2010 budgets and 2011 budget requests. In addition, all managers received copies of the 2010 budget submission and budget information is communicated to all cost center managers.

<p>Follow-up on FY/2000 FLRA IG Review of FLRA Human Capital</p>	<p>18. FLRA components and subcomponents should develop data to support effective and justifiable resource allocations.</p> <p>19. The FLRA should consider separating the information Technology budget from the Agency Central Services Fund and place it under the responsibility of the Chief information Officer.</p> <p>10. Add an additional FTE to the Collaborative Alternative Dispute Resolution Office to enable the Authority process of resolution to expand.</p> <p>2. Establish an integrated senior leadership/mgt. team to address human capital issues and provide justified recommendations to the Chairman.</p> <p>3. Reinstate monthly mgt. meetings during which current mgt. issues are discussed and each manager is required to brief all managers on major activities.</p> <p>4. FLRA components should be briefed on behavior and engage in personality testing. (Myers Briggs Type indicator and/or Strong Interest Inventory). This could be done in – house or at an offsite meeting.</p> <p>5. The Agency needs to compile more human capital statistics to make proper human capital decisions. The following data should be considered to be collected by HRD:</p> <ul style="list-style-type: none"> - Workforce data, - Skills inventory, - Dates and dispersal of performance appraisal, - Yearly vacancies and time period required to fill them. - Yearly data on number and cost of bonuses, awards and other incentives, - Yearly statistics on grievances, - EEO complaints and costs in dollars, - Costs of promotions and within grade increases, and amount per employee spent for training and its percentage of the operating budget. 	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p> <p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Closed 19. The IRMD budget is under the responsibility of the CIO and is separate from ASD.</p> <p>10. Management will take the recommendation under advisement, but may not adopt.</p> <p>Open 2, 4,, 5., 6., and 8. Estimated completion for addressing Human Capital issues FY 2010.</p> <p>Closed 3. Regular managers meetings have been established.</p>
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<p>Internal Review of FLRA's Occupational Safety and Health August 2003</p>	<p>6. Update the FLRA Strategic Plan and have management revise component action plans and employee work and performance plans with focus on agency-wide results.</p> <p>8. FLRA/HRD should perform an Agency-wide employee skills inventory. It definitely would provide a baseline for skill needs, employee training and future hiring.</p> <p>1. Add contemporary safety, health, and security information including the Emergency Plan and a current list of FLRA policy to the website as well as the Orientation Package given to new employees.</p> <p>2. Increase Agency-wide training for FLRA safety and health programs. Ensure that all supervisors are knowledgeable, aware of OSHA requirements and provide contemporary information to their staffs. Include volunteer training to CPR and increase safety evacuation information to include maps of areas to ensure employee safety.</p> <p>3. Director of Administrative Service Division should:</p> <p>(a) Work with building owners and maintenance personnel to ensure that parking garage exterior doors remained locked and secured. (b) Install door locks on all interior doors.</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p> <p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 1. and 2. Estimated completion for OSHA related matters FY 2010.</p> <p>Open 3. Management will take the recommendations under advisement, but may not adopt.</p>
<p>FY 2004 Audit of FLRA Security Programs</p>	<p>1(2) FLRA CIO should:</p> <p>(a) Fully develop disaster recovery, IT contingency or operations plan:</p> <p>(b) Provide training to enable personnel to effectively implement all plans and require periodic training; and,</p> <p>(c) After each plan is implemented, conduct and document testing to ensure that each plan is responsive, and periodically reevaluate plans and keep plans current.</p> <p>3(5). FLRA should ensure that a management official authorizes in</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 1.-14. Estimated completion regarding all IT Security matters FY 2010.</p>

	<p>writing the use of each general support system based on an acceptance of risks identified with the system certification process as described by NIST.</p> <p>4(6) FLRA should ensure that staff members adhere to documented policies and procedures for performing backups of network file and mail servers.</p> <p>(6)8. FLRA CIO should develop a complete Security Program Plan, arrange for appropriate personnel to review it, revise the plan accordingly and obtain approval cognizant executive management.</p> <p>(7)9. FLRA CIO should develop, document and implement an incident response plan consistent with NIST and OMB criteria.</p> <p>8(10). FLRA should:</p> <p>(a) Take immediate action to ensure timely development and implementation of policies and procedures necessary to establish and support FLRA's information security program, and;</p> <p>(b) Develop and implement policies and procedures to track evaluate, and monitor FLRA's information and information systems security program in accordance with OMB Circular A-130, Appendix III; and</p> <p>(c) Ensure proper and timely reporting to OMB and Congress.</p> <p>10(12). FLRA CIO should:</p> <p>(a) Develop and implement a formal SDLC methodology based on NIST guidance and ensure the policy addresses the following elements:</p> <ul style="list-style-type: none"> - Sensitivity of data to be processed in the system, - Resources required for adequately securing the system, - Input form the equivalent of an Investment Review Board, - Authorization for software modification documentation and maintenance, 	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	
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<p>2005 Financial Statement April 14, 2005</p>	<ul style="list-style-type: none"> - Budget request to include security resources for the system, - Security controls consistent with and integral to senior management's standards, and - Security requirements to be included in solicitation documentation. <p>(b) Develop and implement a formal change control policy outlining the procedures needed to ensure that system configuration changes are properly documented, authorized, approved, and tested before being moved into production or implemented.</p> <p>12(14) FLRA CIO should:</p> <p>(a) Develop policies and procedures requiring periodic review of user access controlled, and;</p> <p>(b) Analyze generic accounts currently active on the network operating system to ensure that they are appropriate and that account access are controlled and monitored.</p> <p>14(16) FLRA should obtain the proper testing material and scan all FLRA laptops/computers throughout the Agency to see if they contain improper websites.</p> <p>1. Executive Mgt. should start the agency towards FISMA compliance by providing support for correcting the out-of-compliance situation. This support should consist of memoranda, policy and documented directions, but also of financial and budgetary resource allocation for the goods, services, and personnel needs of the agency to correct the situation. This support, along with the undertaking of corrective actions by the Chief information Officers and other FLRA Staff, should be focused on implementing the provided to the FLRA from the fiscal year 2004 FISMA Audit Report.</p> <p>2. Executive management should establish who is to perform Chief</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p> <p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p> <p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 1. and 2. FISMA compliance is on-going and estimate closure FY 2010.</p>
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<p>2006 Financial Statement Audit April 4, 2006</p>	<p>Financial Officer duties and responsibilities for the agency. This individual should have the appropriate knowledge and skills needed for fulfilling all the necessary duties and responsibilities.</p> <p>As an interim measure, other FLRA employees should be given the appropriate training and guidance to establish adequate support for the continued functions. This would ensure that is a sufficient "backup knowledge base" in other employees in the event of a loss of a single critical employee.</p> <p>13. The FLRA should ensure that the PAR is delivered by the regulatory due date.</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 13. Estimated completion November 2009.</p>
<p>2006 Financial Statement Audit April 4, 2006</p>	<p>4. Management ensure that FISMA is complied with and that each year an independent evaluation of information security program and practices of FLRA is done to determine the effectiveness of such programs and practices with the deficiencies report with the deficiencies reported under those evaluations being properly addressed and resolved.</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 4. and 6. FISMA compliance is on-going and estimated closure FY 2010.</p>
<p>2006 Financial Statement Audit April 4, 2006</p>	<p>6. Mgt. has failed to respond to weaknesses in control environments of previous financial statement audits and extensive amount of FLRA Inspector General findings and recommendations stated to independent and objective oversight activities. Mgt. needs to evaluate and audit, investigation and oversight report findings and recommendations and provide responses and resolution to all issues addressed in these reports.</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 4. and 6. FISMA compliance is on-going and estimated closure FY 2010.</p>
<p>2007 Internal Review of FLRA Administrative Policy February 2007</p>	<p>3. Mgt. must issue PAR reports to Financial Statement auditors and must be completed in order to render an audit opinion.</p> <p>1(a) The FLRA Executive Director should immediately create a new instruction for creating FLRA administrative instructions. (b) The FLRA Executive Director should immediately review the</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 3. Estimated completion FY 2010.</p> <p>Open 1-3. Administrative Policies are being addresses and updated -- estimated closure FY 2010.</p>

<p>2008 Internal Review of FLRA Administrative Programs</p>	<p>cancelled policies and have necessary replacement policies issued as quickly as possible. (c) The FLRA Executive Director should address the review, update, and/or revision of all FLRA administrative instructions issued over 5-7 years ago, especially those related to Human Resources, Security Contracting, Procurement and Financial Statement/Budgeting and Accounting.</p> <p>2. The FLRA Executive Director should immediately review all current instructions without Executive Directors signature and sign or attach a signature to all instructions implemented during the last 7 years that have not been removed.</p> <p>3. The FLRA Executive Director should review the 6 listed instructions that are on the FLRA website and cancellations list. If they are acceptable as current policy, remove them from cancellations list. If they should be cancelled, remove them from the FLRA instruction website.</p> <p>1. FLRA Strategic Plan focuses on mission requirements. Mgt should include in FLRA's Strategic Plan, administrative programs such as Budget and Performance Integration, Competitive Sourcing, Electronic Government, Human Capital and Financial Performance, Contracting, Emergency Relief, Medical Insurance and Labor Management.</p> <p>2. Management should address the following issues relating to</p> <p>Administrative Programs to support improvement, create proper internal controls and eliminate:</p> <ul style="list-style-type: none"> - What is the purpose of the Administrative Programs; - How are we set-up to achieve this purposes; - What we plan to do with the Administrative Program in the future; - What is the quality and results expected in our plan; - What is defined as success of improvement, and; - How accountable do we consider our achievements. 	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 1. FLRA is currently revising its Strategic Plan and the IG is involved in that process. Matter is currently being addressed.</p> <p>Open 2. Matters related to Administrative Programs are being reviewed and estimated completion FY 2010.</p>
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<p>2008 FLRA/IG FISMA Evaluation dated: 9/26/08</p>	<p>3. Management should create an IRM strategic plan to include what needs to be and will be addressed over the next few years and it should contain E-Government and FISMA requirements. As a result of this 2007 FISMA evaluation and Management Survey, the FLRA Inspector General recommends that the following issues be addressed. They have not yet been responded to.</p> <p>4. A Feedback mechanism needs to be established so that FLRA employees can provide their computer information technology and security concerns directly to information Resource Management and receive timely responses to their concerns personally.</p> <p>5. FLRA should address compliance with the Government Paperwork Elimination Act so that FLRA's document management infrastructure would support electronic filing of charges and secure recommendation.</p> <p>10. FLRA management needs to provide more clarity about what constitutes performance management and involve employees in defining successful performance.</p> <p>11. Performance plans need to be created and implemented for all FLRA employees.</p> <p>14. The FLRA Strategic Plan needs to be updated to include administrative programs, as well as, mission related program.</p> <p>15. FLRA instructions and policies that are more than 7 years old should be updated and implemented as soon as possible.</p> <p>1. The FLRA CIO should provide information technology security reporting to the Head of the Agency on a quarterly basis that reflects the requirements of FISMA.</p>	<p>The IG received Mgt. response to IG findings and recommendations 3/30/09.</p> <p>.</p> <p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p> <p>The IG received Mgt. response to IG findings and recommendations 3/30/09</p>	<p>Open 3. Estimated completion FY 2010.</p> <p>Closed 4. Employees can contact the IRMD email or help desk phone number and will receive direct timely responses.</p> <p>Open 5. The FLRA is currently developing a case management infrastructure that supports electronic files and filing. Estimated completion FY 2010.</p> <p>Open 10. and 11. Estimated completion for addressing Performance Management issues FY 2010.</p> <p>Open 14. IG participated in current strategic planning efforts in October 2009 and will be a part of finalizing the strategic plan. Estimated completion FY 2010.</p> <p>Open 15. Estimated completion FY 2010</p> <p>1. Closed 10-13-09</p>
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<p>Financial Statement Audit Management Letter September 30, 2008 and 2007(dated July 9, 2009)</p>	<p>2. The CIO should provide information technology security training to all FLRA employees at least on a yearly basis.</p> <p>3. The FLRA CIO (or NBC) should hire a vendor to create an FLRA Contingency Plan in 2009 which should be used to address plans, procedures and technology systems, operations and data on a yearly basis.</p> <p>4. The FLRA CIO should begin in 2009 to create and/or update and implement FLRA Information Technology Instructions and add information Technology to its Strategic Plan.</p> <p>5. Although current management has started to focus on and improve the FLRA's Information Resource Technology System, weaknesses and identified risks should be prioritized and addressed during 2009 in compliance with OMB POA&M criteria.</p> <p>6. Spam's need to be eliminated more extensively.</p> <p>7. An FLRA Contingency Plan has still not been created but should be addressed in 2009.</p> <p>1. We recommend the FLRA examine the procurement process between the FLRA and NBC and ensure the proper policies and procedures are in place to ensure obligations are recorded into the agency accounting records in an accurate and timely manner. In addition, the FLRA should ensure that the policies and procedures include adequate internal control and monitoring.</p> <p>2. We recommend the FLRA ensure that the agency's Performance Plan, Strategy Plans, and Performance Accountability Report are readily available to the public by having the documents accessible through the agency's web site.</p> <p>3. We recommend the FLRA ensure that the agency's Performance Accountability Report be complete in</p>		<p>2. Closed 10-13-09</p> <p>Open 3-5 Estimated completion FY 2010.</p> <p>6 Closed 10-13-09</p> <p>Open 7 - Estimated completion FY 2010</p> <p>Open 1-7. Matters related to Financial Statements are being addressed and estimated completion FY 2010</p>
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<p>FLRA/IG Internal Review of Information Resource Technology Contractors Dated: 1/26/09</p>	<p>final form and submitted by the due date as required in the OMB Circular A-136.</p> <p>4. Although we understand that it is management's discretion to define the program structure, we suggest management consider enhancing the agency's level of detail for the Statement of Net Cost so as to provide more information concerning the agency's mission, strategic goals, functions, activities, services, projects, processes, or other meaningful grouping.</p> <p>5. We recommend that the FLRA obtain a subsidiary ledger report to support the general ledger balance of accounts payable.</p> <p>6. The policies and procedures for reviewing and reconciling general ledger account balances to their subsidiary supporting detail should be strengthened to improve the effectiveness of ensuring both proper statement of general ledger balances and proper detailed support of those balances.</p> <p>7. Although the FLRA does very little payments to commercial entities, the FLRA needs to implement the requirements of IPFA and estimate improper payments.</p> <p>1. The current FLRA /IRM employees need specific training relating to the programs currently being addressed by the Contractors and Management.</p> <p>2. The CIO should determine whether the FLRA should "build, rent or buy" Information Technology requirements.</p> <p>3. Currently the Global Tech Inc. contractors are needed by the FLRA next year; the FLRA should hire one or two experienced information technology employees in addition to the current FLRA Technology employees in addition to the CIO. This will eliminate the necessity to hire contractors to research and consult in the information Technology program in the future.</p>		<p>1 - 2. Closed 10-13-09</p> <p>3. Management will take the recommendations under advisement, but may not adopt.</p>
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<p>FLRA/IG Internal Review of the Administrative Law Judges Office March 3, 2009.</p>	<p>4. FLRA Mgt. should re-create a FLRA Technology Committee including Headquarters and Regional Office employees to discuss FLRA Information Technology.</p> <p>1. The Chairman FLRA should place the ALJ's in an Office Suite which has doors to keep the Judges confidential and independent where other employees can not walk through and around to enter other FLRA locations or install locked doors in front and on either side of the current office.</p> <p>Although ALJ office is listed with other listings in the outside hallway, there is no ALJ listing on the main door. A listing should be placed by its main door. This should also be done for all other FLRA Offices (even if it is created by the FLRA rather than purchased).</p> <p>2. The FLRA should create a specific Judge Hearing Room which is large enough for the Judges to hold their WDC hearings with parties and witnesses and is available only for the ALJ when needed. No outside accommodations.</p> <p>3. The FLRA should restore the Library and appoint a Librarian (when the budget increases) to keep it up-to-date.</p> <p>4. A scanner should be provided to the ALJ Office and installed so that their materials does not go out of the office and can't be obtained by other FLRA employees.</p> <p>5. The Legal Technician should inform the Chief Judge when she is requested information for the Deputy Solicitor of the Office of Solicitor for the U.S. Court.</p>	<p>Management Response received 10-8-09</p>	<p>4. Closed 10-13-09</p> <p>1 - 3. Management will take the recommendations under advisement, but may not adopt.</p> <p>4 - 5. Closed 10-13-09</p>
<p>FLRA/IG Internal Review of the Federal Service Impasses Panel dated: March 17, 2009</p>	<p>1. During the next administration, FSIP management should reinstate the authority of the FSIP Executive Director, Chief Legal Advisor, and Panel Members so that FSIP Panel decisions are handled properly and quickly.</p> <p>2. If FSIP cases increase during this administration, FLRA mgt. should</p>	<p>Management Response received 10-8-09</p>	<p>Open 1 through 2. Management will take the recommendations under advisement, but may not adopt.</p>

<p>FLRA/IG Survey on FLRA Management and Employee 2009 Concerns dated: June 10, 2009</p>	<p>consider increasing the staff to address the FSIP impasses in the proper time.</p> <p>1. Mgt. needs to check all employees' office furniture, chairs and file cabinets to make sure they are working properly, have enough work space and have working telephones, (printers, fax and scanners), computers, medical provisions, and the proper amount of equipment to conduct their jobs.</p> <p>2. Increase the FLRA mission related (Authority, Office of General Counsel, FSIP, and Collaboration and Alternative Dispute Resolution Office) administrative offices and Office of Inspector General's staffs of FLRA, as soon as mission related and financially possible.</p> <p>3. Increase budgets in 2010 and 2011 so that FLRA mission related employees and IG can travel and interact with parties in person and attorney positions can be updated when necessary to represent the actual level of work they are conducting.</p> <p>4. Continue mgt. interaction with the FLRA Union and address its concerns regarding the Agency Union and employees, as soon as possible.</p> <p>5. Increase necessary administrative staff to reduce or eliminate the current extensive need for contractors for Human Resources, Financial/Budget and Information Technology.</p> <p>6. FLRA needs to address and update its computer system for employees. Regional Offices should maintain their own servers to eliminate problems which began when servers were removed during the last administration. Complete representation databases are necessary so that all of the representation work can be shared by the regions. Proper teleworking and policy needs to be established so that employees who work from home are working properly. Updated software</p>	<p>The IG received Mgt. response to IG findings and recommendations 7/22/09</p> <p>The IG received Mgt. response to IG findings and recommendations 7-22-09</p> <p>The IG received Mgt. response to IG findings and recommendations 7/22/09</p>	<p>1 - 3 . Closed 10-13-09</p> <p>4. Closed 7-23-09</p> <p>Open 5 - 7. Management will take the recommendations under advisement, but may not adopt.</p>
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	<p>will be needed to conduct electronic case management. Also, FLRA employees who travel to conduct investigations should have smaller, lighter laptops, travel printers for affidavits and communication devices to reach supervisors and/or parties while traveling.</p> <p>7. Deputy Regional Directors should be provided for the Boston, Denver, Chicago, and Atlanta Regional Offices. Deputy Directors are needed to properly review the work of the office and provide assistance for their work which includes proofreading and editing documents. Upgrade the Regional Directors who were hired as GS-15 to the SES level.</p> <p>8. Modify the current electronic travel system by providing a travel judges and attorneys contact on-line if there are problems (which often are), while the individual is traveling.</p> <p>9. HR should establish policy/procedures which require the same amount of performance interaction and submission paperwork for FLRA employees from their supervisors for every year. All employees should be required to sign their performance appraisals, as well as the supervisor.</p> <p>10. Require FLRA management to meet no later than monthly with their employees to keep them completely informed. They should also obtain their employees' comments for issues related to the FLRA and provide their comments to senior management and the Chair, FLRA.</p> <p>11. FLRA management should permit all FLRA employees, not just some, to work from home at least once (or several times) every pay period if they request to do so and if they have the proper internet to access FLRA.</p> <p>12. FLRA should provide all new supervisors training relating to leadership, performance management, all administrative and FLRA statute requirements as well as properly handling and interacting with their employees.</p>	<p>The IG received Mgt. response to IG findings and recommendations 8/22/09</p> <p>The IG received Mgt. response to IG findings and recommendations 7/22/09</p> <p>The IG received Mgt. response to IG findings and recommendations 7/22/09</p> <p>The IG received Mgt. response to IG findings and recommendations 7/22/09</p>	<p>8. Closed 7-23-09</p> <p>9. Closed 10-13-09</p> <p>10. Closed 7/23/09</p> <p>11 - 14. Closed 10-13-09</p>
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<p>FLRA/IG Internal Review of FLRA Purchase Cards July 13, 2009</p>	<p>13. Although Headquarters phone systems have been updated, but the FLRA needs to address the phone systems in the Regional offices which are causing almost daily problems in performing work. Provide the Staff with cell phone minutes to compensate for the use of personal equipment resulting from the lack of proper phone service.</p> <p>14. FLRA Federal badges need to be updated and provided to all FLRA employees.</p> <p>15. FLRA should provide more free training to parties on the statute and labor related topics. During the next year, the Chair should hold an FLRA Conference in Washington, DC for all employees to provide communication, administrative information, policy information and training sessions regarding new FLRA programs. Orientations for new employees should be conducted once or twice a year.</p> <p>16. When the FLRA General Counsel is appointed by the President, he/she should discuss Office of General Counsel issues regarding representation cases and unfair labor practice charge case submissions and Office of General Council regulations that need to be updated and addressed with Regional Director, as well as the Chair, FLRA.</p> <p>17. Management needs to focus on career advancement for FLRA administrative employees.</p> <p>18. FLRA employee contact information should be placed back on the public website names, titles, phone numbers, extensions and e-mails to help customers contact the appropriate FLRA people.</p> <p>19. The FLRA should create a certified program for pay increases for SES successful employees.</p> <p>1. The FLRA Authority, FSIP, Human Resources Division, Budget and Finance Division and Office of Inspector General do not have purchase cards to use and must go through the Administrative Services Division to obtain supplies and purchases.</p>	<p>The IG received Mgt. response to IG findings and recommendations 7/22/09</p>	<p>Closed - 15. The FLRA is providing training to parties on the Statute and related labor topics. The OGC has a posted training schedule on the FLRA website. In addition, we are providing training to FLRA employees. Closed 10-15-09</p> <p>16 - 18. Closed 10-13-09</p> <p>19. Open – Estimated to be completed in 2010.</p> <p>Open 1 - 2. Management will take the recommendations under advisement, but may not adopt.</p>
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<p>FLRA/IG Internal Review of FLRA's Adherence to the Freedom of Information Act (FOIA) 7/22/09</p>	<p>2. The ASD should update/revise the 2007 Purchase Card instruction and submit it to the current Executive Director for approval.</p> <p>3. FLRA management should immediately provide the Washington Regional Office necessary 2009 Purchase Card finances.</p> <p>1. The FLRA should plan to hire an employee (full or part time) to manage the FLRA Library and update its FLRA records properly to provide easy access to FLRA records as well as making them available on the electronic website.</p> <p>2. FLRA management needs to focus on immediately improving FLRA Regional Office computers as well as providing new scan machines for Regional Offices to handle FOIA (and other cases) properly.</p> <p>3. The Chief FOIA Officer should revise the FLRA's Frequently asked FOIA Questions on Page 2 to include the Office of the Inspector General as the Office that receives FOIA requests for access to records of the IG.</p>	<p>The IG received Mgt. response to IG findings and recommendations 9/9/09</p>	<p>3. Closed 10-13-09</p> <p>Open 1. Management will take the recommendations under advisement, but may not adopt.</p> <p>2. Closed 10-13-09</p> <p>3. Closed 10-13-09</p>
<p>FLRA/IG Internal Review of Human Capital Succession Planning 8/21/09</p>	<p>1. The FLRA should develop and implement succession planning and design an Executive and Senior leadership program to identify critical skills and competencies which are needed to achieve current and future programmatic goals. Succession planning should also be included in FLRA's future budget information.</p> <p>2. FLRA Human Resources must plan and provide necessary training for new supervisors and active supervisors with less than 2 years of supervisory experience to address diversity, leadership, capacity and retention.</p> <p>3. FLRA's Office of Policy and Performance Management needs to update all Human Capital policy and procedures to address the current administration. This includes the Senior Leadership Development Plan.</p>	<p>The IG received Mgt. response to IG findings and recommendations 9/9/09</p>	<p>Open 1. This is being addressed in strategic planning. Estimated closure 2010.</p> <p>2. Closed 10-13-09</p> <p>Open 3 - 4. On-going strategic planning is occurring in which these issues are being addressed. Estimated closure 2010.</p>

	<p>4. In order to hire proper and experienced FLRA senior managers immediately so that the FLRA mission is not gaped again – FLRA Senior Management and top management leadership should hold periodic meetings to discuss succession planning and human capital issues for the FLRA. Identifying skills levels, past job experience and current training could help Agency leaders to decide on future assignments and filling senior level vacancies within the Agency.</p>		
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2009 Office Inspector General Hotline

Case No.	Subject	Date Received	Status
2009-H-01	A U.S. Army employee (not military) in the MPB in Utah wanted to file an ULP against Union AFGE 2185 and tried several time to call the FLRA Denver Regional Office but could not reach anyone on the phone. He also tried to fax but was not successful.	10-3-08	Referred to Denver Regional Office Closed 10-3-08
2009-H-02	VA Medical Center employee complained that his management improperly handled his ability to drive his federal car. He previously filed a complaint with EEO and felt they did not investigate the issue properly.	3-6-09	Referred complainant to the Department of Defense Inspector General. Closed 3-6-09
2009-H-03	San Francisco Department of Veterans Hospital employee was not given a promotion or notified that his position would be changed and would not be addressed by the Union	3-13-09	Referred to the FLRA San Francisco Regional Director Closed 3-13-09
2009-H-04	Private sector Reading Specialist alleged that Unions were not representing employees properly.	3-13-09	Referred to the IG National Labor Relations Board. Closed 3-13-09

2009-H-05	Kansas City, Missouri Federal Employee has tried to call the Denver Regional Office to file an ULP charge several times over the last few weeks and has had no response.	3-20-09	Inspector General called the Denver Regional Director and provided the information. The Denver Regional Director called the complainant immediately. Closed 3-20-09
2009-H-06	Private sector employee from Barberton, Ohio stated that management was withholding her pay and didn't have any reason to do so.	3-22-09	Referred to the Department of Labor Inspector General Closed 3-22-09
2009-H-07	Contractor from U.S. Postal Service concerned from U.S. Postal Service concerned that payments to drivers in Denver Colorado and North Dakota have been taken away and the contractors are not receiving the payments.	3-23-09	Referred complainant to the Department of Labor Inspector General Closed 3-23-09
2009-H-08	President of AFGE stated he was trying to get the status of several unfair labor practice charges filed with the FLRA Washington Regional Office and left several calls and e-mails with the Director and Deputy Director and received no response.	3-25-09	The Inspector General discussed this issue with the Director of the FLRA Washington Office who stated he talks with the President, AFGE every week and called him back immediately on 3-25-09 Closed 3-25-09

2009-H-09	Private Sector employee from Las Vegas, Colorado stated he was provided a job by Andres Transportation in Utah, traveled there then was place don hold, not paid for 4 days and not given money to go back home which he had no money for transportation home.	4-23-09	Referred to the Department of Labor Inspector General Closed 4-23-09
2009-H-10	Private sector employee from Franklin, NC worked for a company which was ending and he and his boss were hired by a new company. The complainant stated that he was not paid for the last week on his job even though supervisor received payment.	4-28-09	Referred to the Department of Labor Office of Inspector General. Closed 4-28-09
2009-H-11	Veterans Hospital employee alleged improper handling by his manager who hired two employees to replace him who had no training which he had for 7 months.	4-28-09	Referred to the Department of Defense Inspector General Closed 4-28-09
2009-H-12	Private sector employee working for a Diabetic Health Center told her employee that she would be resigning next week and was told she would not get paid from today onto next week.	4-28-09	Referred to the Department of Labor Office of Inspector General. Closed 4-28-09
2009-H-13	U.S. Army employee from North Carolina was diagnosed with high blood pressure, put on medication and told to do exercise from 8-10 am every morning. His supervisor told him that it was not a good time for the Agency and that he should go in earlier. He requested guidance for this situation	4-30-09	Referred to the Department of Defense Inspector General. Closed 4-30-09

2009-H-14	Burger King employee terminated her job and filled out all required paperwork but did not receive her payment management for her two weeks of employment.	5-4-09	Referred to the Department of Labor Office of Inspector General Closed 5-4-09
2009-H-15	NY Daily News Union representative is having problems interacting with Management throughout the past year after the Union lost its previous President.	5-5-09	Referred to the National Labor Relations Board Inspector General Closed 5-5-09
2009-H-16	Private Sector Worker from Fairfax, VA, stated she worked in a position since Sept 2008 was told by her supervisor that she was doing a great job which was increased. She stated recently her supervisor stated she was not working well and she should resign	5-6-09	Referred to the Department of Labor Office of Inspector General Closed 5-6-09
2009-H-17	A Postal Service employee who had Federal Union responsibilities with USPS stated his Union was having problems with USPS management.	5-6-09	Referred to the US Postal Service Office of Inspector General Closed 5-6-09
2009-H-18	Private Sector employee who worked in Suffolk VA for 3 ears had to resign because she was divorced and had to go back to live with her family. She stated she had vacation pay which management refused to provide since she was leaving.	5-15-09	Referred to the Department of Labor Office of Inspector General. Closed 5-15-09
2009-H-19	U.S. Army employee filed a complaint with the FLRA for assistance in determining if the U.S. Government is responsible for the fair treatment of his employment.	5-18-09	Referred to the Department of Defense Inspector General Closed 5-18-09

2009-H-20	Department of Navy, Jacksonville, Florida, Union member employee stated that management promoted an employee who was not qualified and did not announce the job to any other employees.	5-19-09	Referred to the FLRA Atlanta Regional Office. Closed 19,2009
2009-H-21	Private sector non union Florida employee was employed for 3 months was not told by her boss that anything was wrong, and she was terminated from her position. Immediately another individual was hired for her position.	5-20-09	Referred to Department of Labor Office of Inspector General Closed 5-20-09
2009-H-22	Private sector non union Watford, Michigan stated his former employee refused to provide him his proper pay base.	5-29-09	Referred to Department of Labor Office of Inspector General. Closed 5-29-09
2009-H-23	U.S. Military Female returned from Korea and gave birth to a baby girl in the Ft. Hood, Texas Military Hospital. The complainant stated that no one in the hospital took care of the baby and the baby died.	6-5-09	Referred to the Department of Defense Inspector General. Closed 6-5-09
2009-H-24	Retired private sector Railroad Marino employee who was also a Union Member has not received retirement checks	6-5-09	Referred to the National Labor Relations Board Inspector General Closed 6-9-09
2009-H-25	Private Sector Contractor stated several problems that occurred while working for a private sector company. .	6-12-09	Referred to the Department of Labor Inspector General Closed 6-12-09

2009-H-26	Private Sector employee resigned from work did not get paid for his last week, filed a claim against the Company and has not heard back from management.	6-18-09	Referred to Department of Labor Office of Inspector General Closed 6-18-09
2009-H-27	An FLRA employee complained that old files with information that was disabling by prior administration management would be provided to new management by the acting officer.	6-19-09	The FLRA Inspector General looked into this matter and referred it to the Chairman, FLRA> Closed 6-24-09
2009-H-28	Civilian Military Technician stated she was under severe practices and needed to consult with proper management to receive proper information	8-3-09	The FLRA Inspector General referred this to the Department of Defense Inspector General. Closed 8-3-2009
2009-H-29	Florida State Attorney General Office Employee stated the office was violating his rights to receive money for compensation on time.	8-6-09	The FLRA Inspector received a requested response September 11, 2009. Referred to Department of Social Security on September 18, 2009.
2009-H-30	Federal employee had some complaints about issues subject to payments limitations. He had contacted the FLRA San Francisco Regional Office and was told his issue was more than 6 months old and could not be handled.	8-18-09	The FLRA Inspector referred this issue to the FLRA General Counsel Closed 8-18-09
2009-H-31	Postal Service employee had a heart attack and asked his manager for advanced leave. His manager stated he asked for too much and he would eliminate him from his job	8-20-09	The FLRA Inspector General referred this issue to the U.S. Postal Service Inspector General. Closed 8-20-09

2009-H-32	Defense Finance Account Services employee stated that the Military Pay Section Hiring Official hired and increased the grades of individuals who were not qualified (including the complainant).	9-8-09	The FLRA Inspector General referred this complaint to the Department of Defense Inspector General Close 9-8-09
2009-H-33	Former Department of Defense U.S. Marine employee had wrong doing done by management and would not be represented by his Union in Georgia.	9-14-09	Referred to FLRA Atlanta Regional Office Director Closed 9-14-09
2009-H-34	An AFB civilian employee stated that he was being violated by the AFB in Georgia. He had not made any contact with his union or Department of Defense.	9-15-09	Referred to Department of Defense Inspector General. Closed 9-15-09
2009-H-35	A private sector employee from Voorhees, New Jersey stated he was a victim of attempted murder and police intimidation which the FBI was trying to cover up	9-17-09	Referred to the Department of Justice Inspector General. Closed 9-17-09
2009-H-36	A North Carolina Federal employee provided the FLRA Inspector General an unfair labor practice charge appeal of case previously filed and handled by the Washington Regional Office.	9-21-09	The FLRA Inspector General provided this unfair labor practice charge appeal to the FLRA Office of General Counsel Closed 9-21-09

<u>TABLE I</u>		
INSPECTOR GENERAL AUDIT REPORTS WITH QUESTIONED COSTS		
	NUMBER OF REPORTS	DOLLAR VALUE
A. For which no management decision has been made by the commencement of the reporting period.	No Questioned Costs submitted during this reporting period	
B. Which were issued during the reporting period?	2008 Financial Statement Audit Not completed as of September 30, 2008 The Agency PAR report and The Financial Statement Audit has not yet been issued.	
C. For which a management decision was made during the reporting period.		
(i) Dollar value of disallowed costs.		
(ii) Dollar value of costs not disallowed.	.	
D. For which no management decision has been made by the end of the reporting period.	No Questioned Costs	

<u>TABLE II</u>		
INSPECTOR GENERAL AUDIT REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE		
	NUMBER OF REPORTS	DOLLAR VALUE
A. For which no management decision has been made by the commencement of the reporting period.	The Current Chair has approved the Inspector General's 2010 Financial Statement Audit and Information Technology and FISMA Audit	
B. Which were completed during the reporting period?	2008 Financial Statement Audit Completed.	\$40,336.36
C. For which a management decision was made during the reporting period.	2009 Financial Statement Audit and FISMA Audit not yet completed. Same as Above	
(i) Dollar value of recommendations that were agreed to by management.	Current Chair agreed for 2 audits for the Inspector General	\$85,000.00
(ii) Dollar value of costs that were not agreed to by management.	.	

<p><i>D. For which no management decision has been made by the end of the reporting period.</i></p>	<p><i>2008/2009 Financial Statement Audit Findings/Recommendations are being addressed by current management</i></p>
<p><i>E. Significant Problems and Deficiencies</i> <i>F. Refusals to Provide Information</i> <i>G. Audit, Inspections and Internal Review Reports issued.</i> <i>H. Management decisions which the IG does not agree with.</i></p>	<p><i>Some findings and recommendations were stated with "Management will take the recommendations under advisement but may not adopt."</i></p>
<p><i>I. Reports issued during this reporting period for which no management decisions have been made.</i></p>	<p><i>All OIG Reports have been responded to by Management with decisions.</i></p>

FEDERAL LABOR RELATIONS AUTHORITY
Office of the Inspector General
Oversight Activities Summary
April 1, 2009 –September 30, 2009

SUBJECT	STATUS
<i>Administrative Investigations</i>	4 1 open
<i>Inspector General Hotline Calls:</i>	28 Closed
<i>FOIA Requests</i>	0

FEDERAL LABOR RELATIONS AUTHORITY
Office of the Inspector General
CORRECTIVE ACTION SUMMARY
April 1, 2009 –September 30, 2009

<i>Total Corrective Actions</i>	112
<i>New Corrective Actions</i>	54
<i>Open Corrective Actions</i>	79
<i>Total Actions Closed This Period</i>	33
<i>Total to be Carried Over</i>	79

Definitions

Actions

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

Funds Be Put To Better Use

The amount of savings estimated by the Inspector General that could be obtained by implementing report recommendations relating to more efficiency and effectiveness of programs and operations.

Management Decision

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

Management Letter

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

Questioned Costs

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

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

REPORT FRAUD, WASTE, ABUSE, AND MISMANAGEMENT

TO

THE FEDERAL LABOR RELATIONS AUTHORITY

OFFICE OF THE INSPECTOR GENERAL

HOTLINE

1-800-331-3572 (24 hr. service)

202-218-7744

or write to

FLRA

Office of Inspector General

1400 K Street, NW

Suite 250

Washington, D.C. 20424