

September 29, 2000

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VICE PRESIDENT, SOUTHEAST AREA OPERATIONS

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DISTRICT MANAGER, SOUTH GEORGIA DISTRICT OFFICE

SUBJECT: Audit Report - Review of the Violence Prevention and Response  
Programs in the South Georgia District (Report Number LB-AR-00-005)

This report presents the results of our review of the violence prevention and response programs in the South Georgia District (Project Number 99EA007ER008). We engaged a contractor, Williams, Adley & Company, LLP, to assist us in conducting the audit. This audit report is one of a series of reports on violence prevention and response efforts within the Postal Service.

On the basis of our review, we concluded that required controls were not fully implemented to reduce the potential for violence in the South Georgia District and the district's ability to respond to crisis situations could be improved. Although the district generally complied with the Threat Assessment Team Guide when reacting to incidents of violence, and also generally complied with some of the policies and procedures in the Crisis Management Plan for Incidents of Violence in the Workplace, it did not comply with other violence prevention requirements. Although the vice president for the Southeast Area did not agree with our overall conclusions, we believe the district's planned or implemented actions are responsive to the recommendations and address the issues identified in this report. Therefore, we will not pursue resolution on this disagreement at this time. Management's comments and our evaluation of their comments are included in the report.

We appreciate the cooperation and courtesies provided by your staff during the review. If you have any questions, please contact Joyce Hansen, director, Labor Management-Rosslyn, or me at (703) 248-2300.

Debra D. Pettitt  
Acting Assistant Inspector General  
for Oversight and Business Evaluations

Attachment

cc: Patrick R. Donahoe  
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## EXECUTIVE SUMMARY

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### Introduction

This report presents the results of our review of violence prevention and response efforts within the South Georgia District, located in the Southeast Area. The South Georgia District was one of six districts randomly selected from the nine districts within the Southeast Area.

The Office of Inspector General (OIG) engaged a contractor, Williams, Adley, & Company, LLP, to conduct fieldwork and data analysis, prepare working papers, and draft reports. The OIG provided technical support, statistical projections, and quality assurance reviews. The OIG and the contractor prepared the final report.

Our objective was to determine whether the South Georgia District implemented Postal Service policies regarding violence prevention and response programs.

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### Results in Brief

On the basis of the review, we concluded that required controls were not fully implemented to reduce the potential for violence in the South Georgia District. The district generally complied with the Threat Assessment Team Guide when reacting to incidents of violence. The district:

- Communicated and enforced its zero tolerance policy.
- Established its Threat Assessment Team in October 1997.
- Engaged in case management by establishing risk abatement plans and following up on identified threats.
- Evaluated team performance through the use of post incident analyses and surveys.

The district also generally complied with some of the policies and procedures outlined in the Crisis Management Plan for Incidents of Violence in the Workplace when it established a Crisis Management Team and conducted initial crisis management training and crisis simulations.

However, the South Georgia District did not fully implement required proactive strategies designed to prevent violence from occurring, as required by the Threat Assessment Team

Guide. The district did not follow many of the policies and procedures because officials implemented only those portions of the guide that they believed were beneficial to the district. As a result, required controls were not fully implemented to reduce the potential for violence in the workplace. Our audit disclosed the South Georgia District did not:

- Conduct annual physical security reviews.
- Monitor and evaluate climate indicators.
- Provide the required two-day orientation training to threat assessment team members.
- Mandate violence awareness training.

In addition, the district did not ensure receipt of local, customized crisis management plans at all facilities in accordance with the Crisis Management Plan for Incidents of Violence in the Workplace. We used a statistical sample to project that as many as 341 (74 percent) of the 463 South Georgia District facilities did not have a copy of their local, customized plan on site. (See Appendices B and C.)

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**Summary of  
Recommendations**

We recommended the vice president, Southeast Area Operations, direct the South Georgia District manager to implement six recommendations designed to ensure controls are implemented to improve the effectiveness of the district's violence prevention and response programs.

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**Summary of  
Management's  
Comments**

The vice president Southeast Area Operations observed that the OIG report focused on the condition of the violence awareness programs in fiscal year (FY) 1997 and 1998. He stated that because the OIG based its August 2000 conclusions on data obtained before June 1999 (the majority of which is FY 1997 and FY 1998), the conclusions are somewhat misleading. The vice president emphasized that the Southeast Area remains committed to the continuous improvement of the violence prevention and response programs and that instructions would be issued to district managers to reinforce the need to implement the controls necessary to improve the effectiveness of the programs.

The South Georgia District manager responded to the recommendations and provided an action plan that the district had implemented to correct the deficiencies.

We have summarized management's comments in the report and included the full text of the comments in Appendix E.

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**Overall Evaluation of  
Management  
Comments**

While we disagree that the OIG report was misleading and focused on the condition of the violence awareness programs in FY 1997 and 1998, using data from those fiscal years was necessary because they were the latest complete fiscal years at the time of our visit. However, interviews with Postal Service officials regarding their implementation of proactive strategies occurred in September 1999.

Although the vice president for the Southeast Area did not agree with our overall conclusions, we believe the district's planned or implemented actions are responsive to the recommendations and address the issues identified in this report.

## INTRODUCTION

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### Background

The Postal Service recognizes the importance of ensuring the safety of its employees by creating and maintaining a work environment that is violence-free. This concept emphasizes using a viable workplace violence prevention program as a first step in helping to ensure a violence-free workplace. An effective program depends on a universal zero tolerance policy and a zero tolerance action plan that is consistently implemented for the management of threats, assaults, and other inappropriate workplace behavior.

The Postal Service established the following initiatives and strategies to prevent and minimize the potential risk for violence in the workplace:

- The Joint Statement on Violence and Behavior in the Workplace states the Postal Service's position that violent and inappropriate behavior will not be tolerated by anyone at any level of the Postal Service.
- The Threat Assessment Team Guide, Publication 108, and the Crisis Management Plan for Incidents of Violence in the Workplace, Publication 107,<sup>1</sup> require districts to develop appropriate threat assessment and crisis management teams, as well as team plans of operation.
- The Administrative Support Manual requires security control officers or their designees to conduct annual physical security reviews at all facilities.

### Objective, Scope, and Methodology

Our objective was to determine whether the South Georgia District implemented Postal Service policies regarding violence prevention and response programs.

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<sup>1</sup> The Crisis Management Plan for Incidents of Violence in the Workplace is under revision.

## AUDIT RESULTS

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### Potential for Violence in the District

On the basis of the review, we concluded that required controls were not fully implemented to reduce the potential for violence in the South Georgia District and the district's ability to respond to crisis situations could be improved. Although the district generally complied with the Threat Assessment Team Guide when reacting to incidents of violence and also generally complied with some of the policies and procedures in the Crisis Management Plan for Incidents of Violence in the Workplace, it did not comply with other violence prevention requirements.

Districts that do not comply with these requirements face an increased risk for violence in their facilities. Such violence increases stress, inflicts emotional wounds, and lowers employee morale. Organizationally, it diminishes credibility, decreases productivity, creates work-specific tension, and may lead to damage of property.

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### Implementation of Violence Prevention and Response Programs

The South Georgia District generally complied with the Threat Assessment Team Guide when reacting to incidents of violence. The district:

- Communicated and enforced its zero tolerance policy.
- Established its Threat Assessment Team in October 1997.
- Engaged in case management by establishing risk abatement plans and following up on identified threats.
- Evaluated team performance through the use of post-incident analyses and surveys.

The district also generally complied with some of the policies and procedures outlined in the Crisis Management Plan for Incidents of Violence in the Workplace when it established a Crisis Management Team and conducted initial crisis management training and crisis simulations.

However, the South Georgia District did not fully implement required proactive strategies designed to prevent violence from occurring, as required by the Threat Assessment Team Guide. The district did not follow many of the policies and

procedures because officials implemented only those portions of the guide that they believed were beneficial to the district. As a result, required controls were not fully implemented to reduce the potential for violence in the workplace. Our audit disclosed the South Georgia District did not:

- Conduct annual physical security reviews.
- Monitor and evaluate climate indicators.
- Provide the required two-day orientation training to threat assessment team members.
- Mandate violence awareness training.

In addition, the district did not ensure receipt of local, customized crisis management plans at all facilities in accordance with the Crisis Management Plan for Incidents of Violence in the Workplace. Officials at some of the district facilities stated they could not locate the plans. We used a statistical sample to project that as many as 328 (70 percent) of the 463 district facilities did not have a copy of their local, customized plan on site. (See Appendices B and C.)

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Physical Security  
Reviews

The district did not conduct annual physical security reviews at all facilities as mandated by the Postal Service Administrative Support Manual. District officials told us training on how to conduct the surveys had not been provided to officials at all the district's facilities.

The Postal Service Administrative Support Manual, Chapter 2, Section 27, requires the security control officer or designee to conduct annual physical security reviews at all Postal Service facilities to ensure that the appropriate attention is given to security issues.<sup>2</sup>

We used a statistical sample to project that the South Georgia District conducted no more than 76 (17 percent) of the 450 required annual physical security reviews in FY 1997. In FY 1998, the district conducted no more than

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<sup>2</sup> The chief postal inspector is designated as the security officer for the Postal Service. The security control officers located at each postal facility liaison with the Postal Inspection Service on all security matters.

128 (28 percent) of the 463 required annual physical security reviews. (See Appendices B and C.)

The lack of physical security reviews at Postal Service facilities may increase the risk of workplace violence or the loss or destruction of Postal Service property and the mail.

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Climate Indicators

We found that the South Georgia District did not monitor and evaluate climate indicators as required by the Threat Assessment Team Guide because, according to the Human Resources manager, the Threat Assessment Team only met when there was a threat case to discuss. Therefore, the district did not identify and follow up on events that could escalate the potential for violence. As a result, controls associated with identifying and assessing indicators were not used to reduce the potential for violence in the workplace.

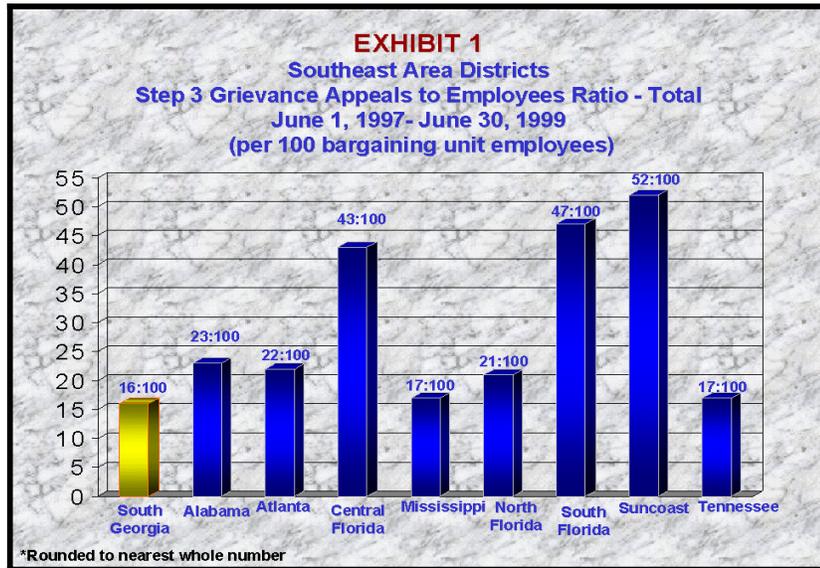
The guide outlines several climate indicators that are relevant for review when making such determinations. Among those indicators are grievances, Equal Employment Opportunity complaints, referrals to the Employee Assistance Program, and labor-management relationships.<sup>3</sup>

We reviewed several climate indicators that management could use as benchmarks to assess the workplace climate and identify locations that may require a climate assessment.

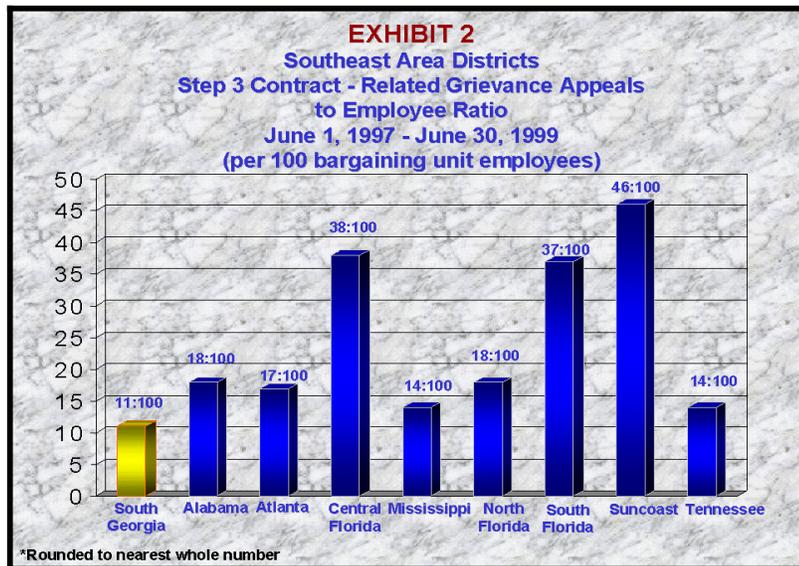
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<sup>3</sup> We considered the results of the Voice of the Employee surveys as an indicator of labor-management relationships.

**Grievances.** Exhibit 1 shows the South Georgia District had the lowest ratio (16:100) of step 3 grievance appeals to employees, for the period June 1, 1997, through June 30, 1999.<sup>4</sup>

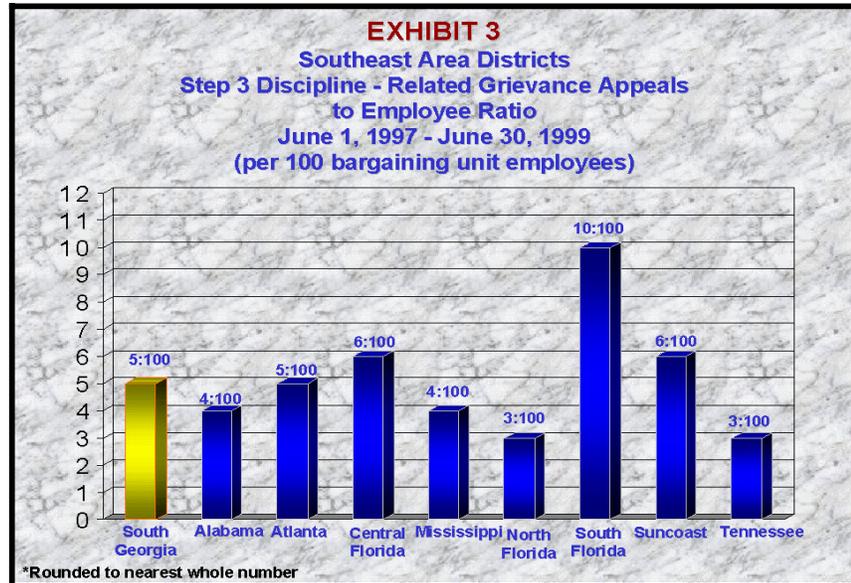


For the same period, Exhibit 2 shows the district had the lowest ratio (11:100) of step 3 contract-related grievance appeals to employees.

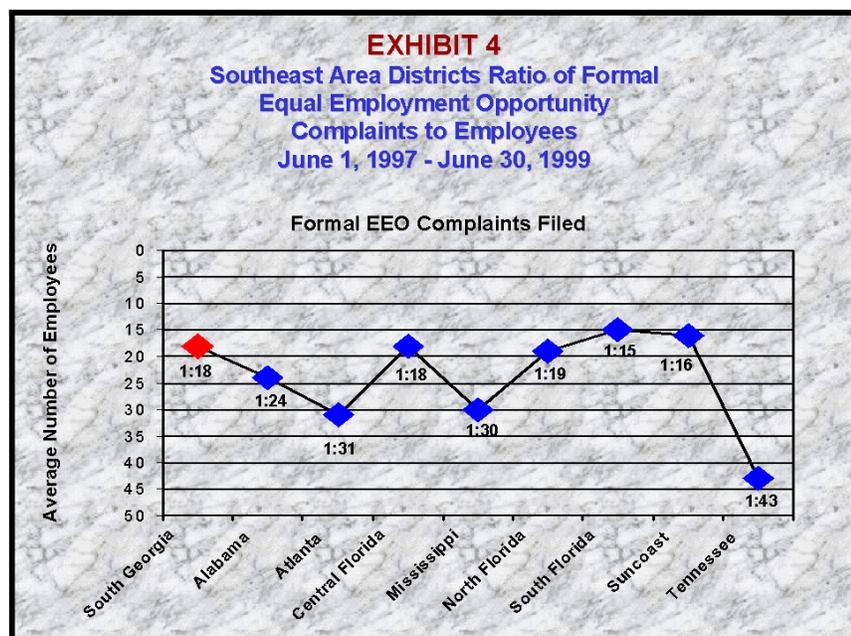


<sup>4</sup> In a report entitled, "U.S. Postal Service: Little Progress Made in Addressing Persistent Labor-Management Problems," October 1997, GAO/GGD-98-1; GAO reported that a ratio of 13:100 grievances to employees was a high ratio. Union and management officials did not dispute this claim.

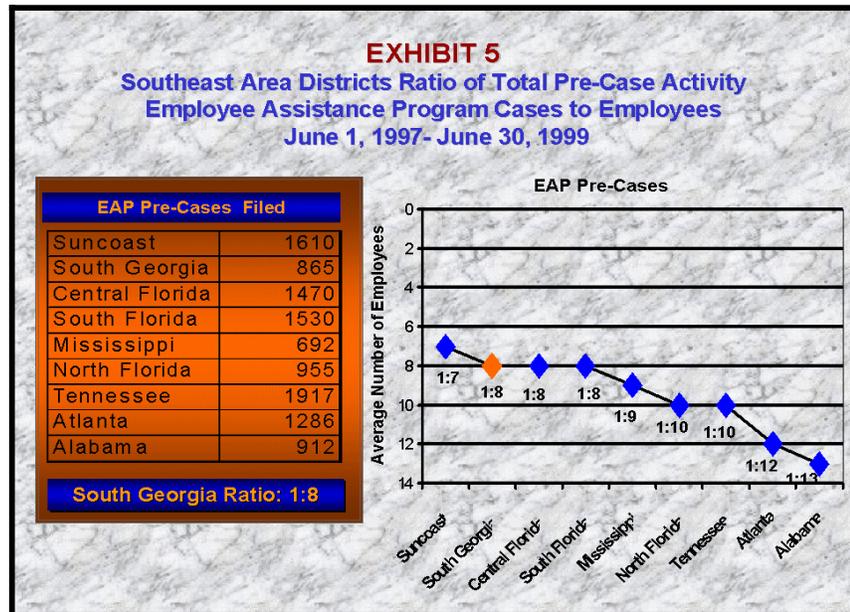
The district had one of the third lowest ratios (5:100) of step 3 discipline-related grievance appeals to employees, for the same period, as shown in Exhibit 3.



**Equal Employment Opportunity Complaints.** Exhibit 4 shows that during the period June 1, 1997, to June 30, 1999, the district shared the third highest ratio (1:18) of Equal Employment Opportunity formal complaints to employees, in the Southeast Area.

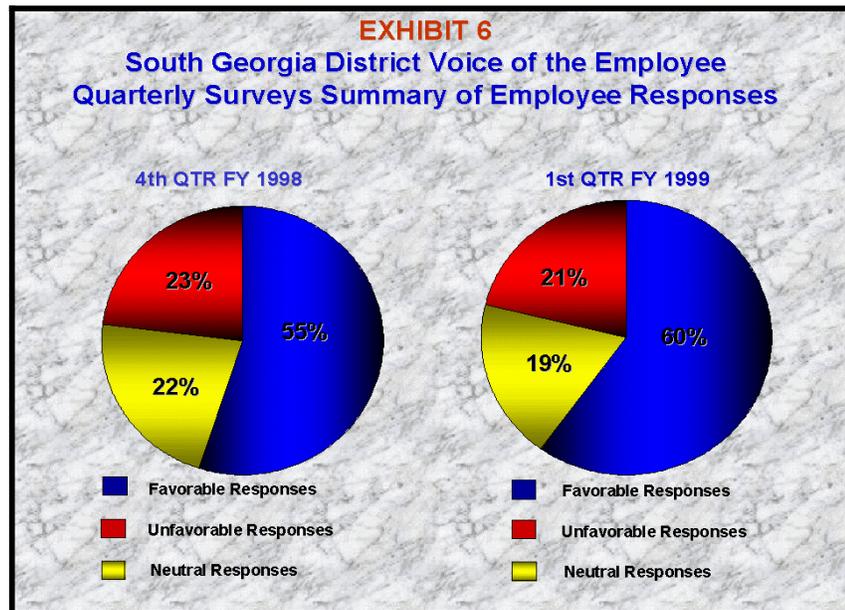


**Employee Assistance Program Cases.** For the same period, the district shared the second highest ratio (1:8) of total pre-case activity<sup>5</sup> Employee Assistance Program cases per employee as depicted in Exhibit 5.

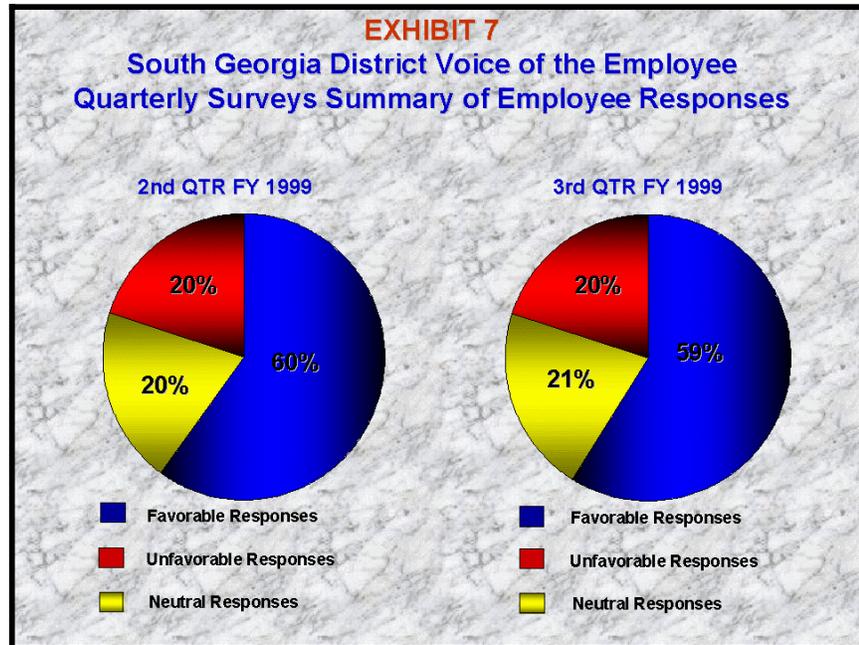


<sup>5</sup> The total pre-case activity contacts include all employees, family members, or supervisors who made contact with the Employee Assistance Program either by telephone or in-person to set up an appointment with an Employee Assistance Program counselor.

**Voice of the Employee Survey Results.** A majority of employees who responded to the Voice of the Employee survey<sup>6</sup> in the South Georgia District were generally satisfied with their work environment. As shown in Exhibits 6 and 7, the number of employees who responded favorably to their workplace environment ranged from 55 percent in quarter 4 of 1998, to about 60 percent in quarters 1, 2, and 3, of 1999. The number of employees who responded unfavorably to their workplace environment ranged from 23 percent in quarter 4, 1998, to about 20 percent in quarters 1, 2, and 3 of 1999. In addition, about 20 percent of the employees, who responded for the same quarters, remained neutral.



<sup>6</sup> The Voice of the Employee survey is a data collection instrument that the Postal Service has established to help improve workplace relationships and ensure that all employees are treated with fairness, feel safe in their workplace, have opportunities to participate and take pride in being postal employees.



While these indicators cannot be used as the sole basis for reaching conclusions concerning the district's workplace environment, the Threat Assessment Team can use them to assess the potential for violence in the district.

**Climate Assessments.** The South Georgia District conducted four climate assessments during our audit period. However, the climate assessments were not a result of the district's evaluation of any of the climate indicators discussed earlier. The Employee and Workplace Intervention Analyst told us the climate studies were conducted based on requests made by the district Human Resources manager resulting from employee complaints and/or congressional inquiries. Routine analysis of climate indicators may have identified the need for climate assessments at sites before problems occurred.

For example, a work climate study was conducted in January 1998 at a post office. The postmaster at the facility implemented a new plan to address delivery confirmation problems and excessive vehicle accidents. After employees received disciplinary action based on the new plan, they wrote letters to their congressmen making allegations of harassment and intimidation from supervisors. The Human Resources manager and postmaster requested a climate survey in response to the letters. The Employee and

Workplace Intervention Analyst conducted the climate assessment. However, an action plan was not developed to address the workplace climate issues and the district did not follow up to ensure that the complaints were satisfactorily resolved.

A work climate survey was conducted in January 1999 at a second post office. District officials requested a climate survey based on several anonymous letters complaining about misdeeds of the postmaster and other work climate problems. The Employee and Workplace Intervention Analyst conducted the survey, but did not interview all significant parties. As a result of the survey, the Employee and Workplace Intervention Analyst concluded there were few, if any, organizational problems at the post office. He recommended that the postmaster hold stand-up talks to address comments made by the employees during the survey.

The district could improve its process for evaluating the workplace climate by proactively identifying and monitoring sites or situations that have the potential for violence. Reviewing the indicators on a periodic basis could provide valuable information about conflict in district facilities.

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Threat Assessment  
Team Orientation

Only two of the six Threat Assessment Team core members received the 2-day orientation training required by the Threat Assessment Team Guide because district officials implemented only those portions of the guide, which they believed were beneficial to the district. As a result, the Threat Assessment Team may not have been adequately trained to establish an effective violence prevention program.

The Threat Assessment Team Guide requires that all core threat assessment team members and postal inspectors receive a 2-day orientation regarding the Postal Service approach to the threat assessment team process. This training is also to make each participant aware of the Postal Service commitment to a strategic plan for reducing violence in the workplace.

The Human Resources manager and the Employee and Workplace Intervention Analyst attended the 2-day orientation training and told us they received certificates

qualifying them to provide the training to others. The other core members of the team told us they received approximately one to two hours of orientation training from the Employee and Workplace Intervention Analyst.

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Violence Awareness  
Training

The district did not provide workplace violence awareness training for all craft employees, supervisors, and managers in accordance with the Threat Assessment Team Guide because district officials implemented only those portions of the guide which they believed were beneficial to the district. Employees who have not received violence awareness training may not be effective in preventing violence in the workplace.

The Threat Assessment Team Guide states that every Postal Service manager and supervisor should complete eight hours of workplace violence awareness training and four hours of follow up training. Training topics should include defusing a difficult situation and providing effective supervision. In September 1998, Postal Service management mandated one hour of violence awareness training for all craft employees, supervisors, and managers.

The South Georgia District's workplace violence awareness training consisted of:

- An eight-hour workplace violence awareness training course primarily for managers and supervisors.
- Introduction to workplace violence awareness for new employees.<sup>7</sup>
- Stand-up sessions conducted by the Employee and Workplace Intervention Analyst at postal facilities throughout the district.<sup>8</sup>
- Satellite television displays throughout the district concerning workplace violence which were available for viewing by all employees.

We used a statistical sample to project the number of managers, supervisors, and craft employees who had

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<sup>7</sup> We did not verify attendance at the new employee orientation training because it was not within the scope of our audit.

<sup>8</sup> We could not verify attendance at the stand up session training because a record of attendees was not kept.

attended violence awareness training from June 1, 1997, through June 30, 1999. We projected that up to 110 (14 percent), of the 760 managers and supervisors in the district did not receive any workplace violence training. We projected that no more than 43 (6 percent) of the 760 managers and supervisors received both the eight-hour workplace violence awareness training course and the four hours of follow up training. For the same period, we projected that up to 757 (99 percent) of the 760 managers and supervisors attended some violence awareness training, ranging from one to eight-hours, but did not meet the specific 12-hour criterion. (See Appendix D.)

The manager of Human Resources told us the district sent a one-hour violence awareness training video to all locations for viewing by all employees; however, attendance at these viewing sessions was not documented. We projected that no more than 313 (6 percent) of the 5,333 craft employees in the South Georgia District received the required one-hour violence awareness training course. (See Appendix D.)

The Postal Service has recognized violence awareness training for supervisors, managers, and craft employees as a vital component in preventing violence in the workplace. This training is mandatory because employees need effective tools to recognize the warning signs of violence and possibly defuse difficult situations.

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Crisis Management  
Plans Available at  
Facilities

The South Georgia District did not ensure receipt of local, customized crisis management plans at all district facilities in accordance with the Crisis Management Plan for Incidents of Violence in the Workplace. Officials at some of the district facilities stated they could not locate the plans.

We used a statistical sample to project that as many as 328 (70 percent) of the 463 facilities in the district did not have a copy of their local plan. (See Appendices B and C.)

Facilities that do not have crisis management plans on site may not have the necessary information to manage a crisis through to a successful conclusion.

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**Recommendations**

We recommend the vice president, Southeast Area Operations, direct the South Georgia District manager to implement controls to improve the effectiveness of the violence prevention and response programs. Specifically:

1. Provide the appropriate training to security control officers.
2. Conduct annual physical security reviews at all district facilities.
3. Monitor and evaluate climate indicators to identify conflict that could lead to violence in the workplace.
4. Provide the required 2-day orientation training to all core members of the Threat Assessment Team.
5. Mandate attendance at violence awareness training for all craft employees, supervisors, and managers.
6. Ensure receipt of local, customized crisis management plans at all facilities.

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**Summary of  
Management's  
Comments**

The vice president Southeast Area Operations observed that the OIG report focused on the condition of the violence awareness programs in FY 1997 and 1998. He stated that because the OIG based its August 2000 conclusions on data obtained before June 1999 (the majority of which is FY 1997 and FY 1998), the conclusions are somewhat misleading. He added that the report does not reference any information/data during the past year (data pre-dates June 1999). For example, the vice president pointed out that the Southeast Area mandated the necessary Violence Awareness Training in September 1999 for FY 2000 and that training has now been fully completed and documented. The vice president emphasized that the Southeast Area remains committed to the continuous improvement of the violence prevention and response programs and that instructions would be issued to district managers to reinforce the need to implement the controls necessary to improve the effectiveness of the programs.

The South Georgia District manager responded to the specific recommendations and stated that the District

Security Control Officer and Assistant Security Control Officer were given the appropriate training from April 27 – 30, 1999, and that fifty-two local Security Control Officers received training on June 10, 1999. He also noted that annual physical security reviews were being completed and as of August 3, 2000, these reviews were 75 percent complete. The district manager also indicated that the district is in the process of developing an automated method for evaluating climate indicators on a regular basis and that currently, the Employee Workplace Intervention Analyst and the Employee Assistance Program counselor meet monthly to evaluate offices with a high rate of employee assistance program referrals. In addition, he noted that procedures for conducting climate assessments have been changed to require the preparation of action plans by managers. The district is also scheduling and documenting the required two-day training for the core members of the threat assessment team.

The district manager noted that the district located training records and can now document that all craft employees received violence awareness training in 1998 and other required training has taken place or is planned. Further, the district manager stated that customized Crisis Management Plans would be completed and issued by September 29, 2000. He noted that the estimated completion date for documentation that all facilities have a local customized plan is October 31, 2000.

We have summarized management's comments in the report and included the full text of the comments in Appendix E.

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**Evaluation of  
Management's  
Comments**

While we disagree that the OIG report was misleading and focused on the condition of the violence awareness programs in FY 1997 and 1998, using data from those fiscal years was necessary because they were the latest complete fiscal years at the time of our visit. However, interviews with postal officials regarding their implementation of proactive strategies occurred in September 1999. We do acknowledge that some time lapsed between the completion of our fieldwork and release of our draft report to management due to the application of this review at 24 other districts. Yet, we believe the report presents a fair portrayal of the district's threat assessment program.

Although the vice president for the Southeast Area did not agree with our overall conclusions, we believe the district's planned or implemented actions are responsive to the recommendations and address the issues identified in this report.

## APPENDIX A. OBJECTIVE, SCOPE, AND METHODOLOGY

The Office of Inspector General (OIG) and the contractor reviewed applicable laws, policies, procedures, climate assessments, and other documents, such as the Postal Inspection Service's Assault and Threats Incident Reports and investigative worksheets. The OIG and contractor also reviewed United States General Accounting Office (GAO) reports related to labor-management issues.

The OIG and contractor interviewed Postal Service officials in the South Georgia District, Southeast Area, and headquarters to obtain information about the Postal Service workplace environment, and the procedures and policies implemented to ensure a safe and violence-free workplace.

To determine the district's compliance with policies and procedures, the OIG and contractor reviewed the district's Threat Assessment Team activities, zero tolerance policy, and crisis management plan. The OIG and contractor compared the activities, policies, and plans to the Postal Service requirements for violence prevention and response strategies. The district's initiatives for addressing workplace environmental climate issues, including training programs on violence prevention and response, were also reviewed.

The OIG and contractor reviewed climate indicators outlined in the Threat Assessment Team Guide that may help the Threat Assessment Team develop preventive measures to moderate risk and liability. Those climate indicators were the numbers of employee grievances, Equal Employment Opportunity complaints, and Employee Assistance Program cases for all districts in the Southeast Area, including the South Georgia District, for the period of June 1, 1997, through June 30, 1999.<sup>9</sup> For the same period, the OIG and contractor reviewed the workplace climate assessments for the South Georgia District. The OIG and contractor also reviewed results from the 1998 and 1999 Voice of the Employee surveys conducted in the South Georgia District. We reviewed this data as indicators of conflict that could lead to violence in the South Georgia District. The OIG and contractor compared some of the indicators in the South Georgia District to the same indicators in other districts within the Southeast Area.<sup>10</sup>

For fiscal years (FY) 1997 and 1998, the OIG projected the number of facilities where district officials conducted annual physical security reviews, and maintained crisis management plans on site.<sup>11</sup> We used statistical sampling methodologies to determine these numbers. (See Appendix B.)

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<sup>9</sup> The OIG selected this audit period because Postal Service published the Threat Assessment Team Guide and Crisis Management Plan for Incidents of Violence in the Workplace in May 1997.

<sup>10</sup> The OIG obtained this data from the Postal Service databases but did not verify the accuracy of the data.

<sup>11</sup> The OIG obtained this data from the Postal Service database. We did not verify the accuracy of the data, however, the audit team made every effort to include only sites that fell under Postal Service violence prevention and threat assessment guidelines. The team effort, therefore, included removing locations such as contractor-only facilities, parking lots, land, and antenna sites from the data provided, to arrive at the facility population size.

For the period June 1, 1997, through June 30, 1999, the OIG projected the number of craft employees, supervisors, and managers who received the required number of hours of workplace violence awareness training. We used statistical sampling methodologies to project these numbers.<sup>12</sup> (See Appendix D.)

The OIG and the contractor conducted the audit from September 1999, through September 2000, in accordance with generally accepted government auditing standards and included such tests of internal controls as considered necessary under the circumstances. The OIG and contractor discussed the conclusions and observations with appropriate management officials and included their comments where appropriate.

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<sup>12</sup> See footnote number 10.

## APPENDIX B

# STATISTICAL SAMPLING AND PROJECTIONS FOR PHYSICAL SECURITY REVIEWS AND THE EXISTENCE OF CRISIS MANAGEMENT PLANS FOR FACILITIES IN THE SOUTH GEORGIA DISTRICT FISCAL YEARS 1997 AND 1998

### Purpose of the Sampling

One of the objectives of this audit was to assess the South Georgia District's implementation of Postal Service policy regarding physical security reviews and crisis management plans. In support of this objective, the audit team employed a simple random attribute sample design that allows statistical projection of responses from individual facilities within the South Georgia District.

### Definition of the Audit Universe

The audit universe consisted of 463 facilities, such as post offices, stations, branches, postal stores, and processing and distribution centers. The South Georgia District management was the source of the universe data. The audit team made every effort to clean the database to include only sites that fell under Postal Service violence prevention and threat assessment guidelines. The team effort, therefore, included removing locations such as contractor-only facilities, parking lots, land, and antenna sites from the data provided, to arrive at the above-stated 463-facility population size.

### Sample Design and Modifications

The audit used a simple random sample design. We randomly sampled 35 facilities for review. This sample size was planned to select facilities at the second stage of a two-stage design and was, therefore, not designed to provide a predetermined level of precision for an individual district projection. In changing to district-level projections, the audit team agreed to accept whatever level of precision derived from the existing sample size. Three separate attributes were included for the facility analysis.

### Statistical Projections of the Sample Data

#### **Attribute 1: Physical Security Reviews Conducted In FY 1997**

The sample of facilities for 1997 included one site that did not exist at that time. Because no specific data was available to determine exactly how many other such facilities might be in the database, we had to make an estimate of the size of the applicable subpopulation. Using  $((N-n)/N)$  as an unbiased estimator for  $((N1-n1)/N1)$ ,

where  $N_1$  is unknown, we arrived at an estimated subpopulation size of 450 for this attribute (Elementary Survey Sampling, Scheaffer, Mendenhall, and Ott, c.1990, chapter 11.3).

Because of the low number of “positive” responses in the sample, this results set was analyzed using the hypergeometric adaptation of the binomial attribute table for controls testing, found in the GAO’s Financial Audit Manual (the “FAM”). Because the population size is small ( $N=450$ ), the tabulated values (for 95 percent reliability) are adjusted by the hypergeometric finite population correction,  $((N-n)/(N-1))^{0.5}$ .

Based on a projection of the sample results, we are 95 percent confident that no more than 76 (17 percent) of the South Georgia District facilities conducted a physical security review in FY 1997. The unbiased point estimate is 26 facilities. (Estimated universe: 450)

### **Attribute 2: Physical Security Reviews Conducted In FY 1998**

This attribute is projected to the full universe of 463 facilities; no inapplicable cases were found in the sampled facilities. The sample data were analyzed based on the estimation of a population proportion for a simple random sample as described in Elementary Survey Sampling, Scheaffer, Mendenhall, and Ott, c.1990.

Based on a projection of the sample results, we are 95 percent confident that no more than 128 (28 percent) of the South Georgia District facilities conducted a physical security review in FY 1998. The unbiased point estimate is 79 facilities. (Universe: 463)

### **Attribute 3: Crisis Management Plans on Site**

This attribute is projected to the full universe of 463 facilities; no inapplicable cases were found in the sampled facilities. The sample data were analyzed based on the estimation of a population proportion for a simple random sample as described in Elementary Survey Sampling, Scheaffer, Mendenhall, and Ott, c.1990.

Based on a projection of the sample results, we are 95 percent confident that as many as 328 (70 percent) of the South Georgia District facilities did not have a copy of the district crisis management plan. The unbiased point estimate is 278 facilities without the crisis management plan. (Universe: 463.)

**APPENDIX C**

**SAMPLE OF CRISIS MANAGEMENT PLANS ON SITE AND PHYSICAL  
SECURITY REVIEWS CONDUCTED  
AT SOUTH GEORGIA DISTRICT FACILITIES  
FISCAL YEARS 1997 and 1998**

ITEM NO.	TYPE OF FACILITY	LOCATION	ZIP CODE	CRISIS MANAGEMENT PLANS ON SITE	PHYSICAL SECURITY REVIEWS CONDUCTED	
					FY 97	FY 98
1	Main Post Office	Rebecca	30450	NO	NO	NO
2	Main Post Office	Pavo	31778	YES	NO	YES
3	Main Post Office	Rincon	31326	YES	NO	YES
4	Martinez Branch	Augusta	30907	YES	NO	NO
5	Main Post Office	Swainsboro	30401	YES	NO	NO
6	Main Post Office	Buena Vista	31803	NO	YES	YES
7	Main Post Office	Plains	31780	YES	YES	YES
8	Main Post Office	Baxley	31513	NO	*N/A	NO
9	Main Post Office	Arabi	31712	YES	NO	NO
10	Main Post Office Modular Site	Jewell	31045	NO	NO	NO
11	Main Post Office	Arlington Place Macon	31213	YES	NO	NO
12	Main Post Office	Portal	30450	NO	NO	NO
13	Main Post Office	Milledgeville	31061	NO	NO	NO
14	Main Post Office	Edison	31746	YES	NO	NO
15	Main Post Office	Sylvania	30467	NO	NO	NO
16	Main Post Office	Shiloh	31826	NO	NO	NO
17	Main Post Office Modular Site	Rockledge	30450	YES	NO	NO
18	Main Post Office	Parksville	29844	NO	NO	NO
19	Main Post Office	Allentown	31003	YES	NO	NO
20	Main Post Office	Olar	29843	YES	NO	NO
21	Main Post Office Modular Site	Islandton	29929	NO	NO	NO
22	Main Post Office	Musella	31066	YES	NO	NO
23	Main Post Office	McCormick	29835	NO	NO	NO
24	Main Post Office	Miley	29933	NO	NO	NO
25	Main Post Office	Appling	31712	NO	NO	NO
26	Main Post Office	Barney	31625	NO	NO	NO
27	Main Post Office	Hephzibah	30815	YES	NO	NO
28	Main Post Office	Ashburn	31714	NO	NO	NO
29	Main Post Office	Coolidge	31738	YES	NO	NO
30	Main Post Office	Stapleton	30823	NO	NO	NO
31	Main Post Office	Allenhurst	31301	NO	NO	NO

ITEM NO.	TYPE OF FACILITY	LOCATION	ZIP CODE	CRISIS MANAGEMENT PLANS ON SITE	PHYSICAL SECURITY REVIEWS CONDUCTED	
					FY 97	FY 98
32	Main Post Office	Albany	31702	YES	NO	NO
33	Main Post Office	Parrott	31777	NO	NO	NO
34	Main Post Office	Soperton	30457	YES	NO	NO
35	Main Post Office	Alston	30412	NO	NO	NO

\* Facility Opened in October 1998

## APPENDIX D

# STATISTICAL SAMPLING AND PROJECTIONS FOR EMPLOYEES TRAINED IN WORKPLACE VIOLENCE AWARENESS IN THE SOUTH GEORGIA DISTRICT JUNE 1, 1997, TO JUNE 30, 1999

### Purpose of the Sampling

One of the objectives of this audit was to assess the South Georgia District's implementation of Postal Service policy to train supervisors/managers and craft employees in conflict resolution and workplace violence awareness. In support of this objective, the audit team conducted statistical samples of personnel from each of the two groups. A simple random attribute sample design was used in both cases.

### Definition of the Audit Universe

For the craft employee assessment, the audit universe consisted of 5,333 craft employees in the South Georgia District. For the supervisory-level assessment, the audit universe was a total of 760 supervisors and managers in the district.

All training information came from the Postal Service personnel database in Minneapolis, Minnesota.

### Sample Design and Modifications

The audit used a simple random sample design. We randomly sampled 50 craft employees and 50 managers and supervisors for review. This sample size was planned to select employees at the second stage of a two-stage design and was, therefore, not designed to provide a predetermined level of precision for an individual district projection. In changing to district-level projections, the audit team agreed to accept whatever level of precision derived from the existing sample size. Three separate attributes were included for the supervisory-level training analysis.

### Statistical Projections of the Sample Data

In general, the sample data were analyzed based on the estimation of a population proportion for a simple random sample as described in Elementary Survey Sampling, Scheaffer, Mendenhall, and Ott, c.1990.

In some cases, a low number of "positive" responses in the sample required analysis using the hypergeometric adaptation of the binomial attribute table for controls testing, found in the GAO's Financial Audit Manual (the "FAM"). The tabulated values (for 95 percent reliability) are adjusted by the hypergeometric finite population correction,  $((N-n)/(N-1))^{0.5}$ .

Results are presented for a one-sided confidence interval as well as the point estimate. For the collection of supervisory attributes, the sum of the point estimates will equal the total population. A sum of the upper bounds is meaningless because any increases in one category would be offset by reductions in another.

### **Craft Employee Training Projection**

Based on a projection of the sample results, we are 95 percent confident that no more than 313 (6 percent) of the 5,333 craft employees in the South Georgia District received training in workplace violence awareness. The unbiased point estimate is that zero employees met the training criterion.

### **Supervisors and Managers: Training Projection**

Based on a projection of the sample results, we are 95 percent confident up to 110 (14 percent) of the 760 South Georgia District supervisors and managers received no workplace violence awareness training. The unbiased point estimate is 6 percent, or 46 supervisors and managers, who received no subject-matter training.

Based on a projection of the sample results, we are 95 percent confident that up to 757 (99 percent) of the 760 South Georgia District supervisors and managers received some subject-matter training, possibly as part of other supervisory courses. The unbiased point estimate is 94 percent, or 714 supervisors and managers.

Based on a projection of the sample results, we are 95 percent confident that no more than 43 (6 percent) of the 760 South Georgia District supervisors and managers met or exceeded the 12-hour subject-matter training criterion. The unbiased point estimate is that zero supervisors and managers met the 12-hour criterion.

## APPENDIX E. MANAGEMENT'S COMMENTS

09/21/00 11:18 FAX 214 775 9216

USPS-OIG DALLAS

SEP. 21. 2000 11:18AM SOUTHEAST AREA OFFICE

NO. 650 P. 2

WILLIAM J. BROWN  
VICE PRESIDENT, AREA OPERATIONS  
SOUTHEAST AREA



September 18, 2000

MEMORANDUM FOR: Ms. Debra D. Pettit  
Acting Assistant Inspector General  
For Oversight and Business Evaluation  
Office of Inspector General  
1735 N. Lynn Street  
Arlington, VA 22209-2020

SUBJECT: Audit Reports-Review of Violence Prevention and Response  
Programs in the South Georgia District, North Florida District,  
Atlanta District, South Florida District, and Mississippi District  
(Report # LB-AR-00-DRAFT)

This is a response to the five draft reports concerning the Reviews of the Violence Prevention and Response Programs in the Districts listed above, dated August 18, 2000, and received in the Southeast Area Office on August 28, 2000.

Each relevant District Manager will appropriately provide the specific management response to the District recommendations under separate cover. This response will address the recommendations in all five reports that the Area Vice President directs the above five District Managers to implement controls to improve the effectiveness of the violence prevention and response programs.

Again, I will reiterate the observation that the draft report focused on the condition of the Violence Awareness Programs in FY 97 and FY 98. To draw conclusions in August 2000, based on data that pre-dates June 1999 (the majority of which is FY 97 and FY 98), is somewhat misleading. For instance, the Southeast Area mandated the necessary Violence Awareness Training in September 1999 for FY 2000; that training has now been fully completed (records available in the National Training Database (NTD)). Also, the Southeast Area issued instructions in March 1999 for completion of the required security reviews in accordance with the ASM (completion records available from Area SCO). However, the report does not reference any information/data during the past year (data pre-dates June 1999).

The Southeast Area, however, remains committed to the continuous improvement of the Violence Prevention and Response Programs. Therefore, instructions will be issued to District Managers to reinforce the need to implement the controls necessary to improve the effectiveness of the Violence Prevention and Response Programs (copy attached).

255 N. ...  
...  
...

Review of the Violence Prevention and Response  
Programs in the South Georgia District

LB-AR-00-005

09/21/00 11:19 FAX 214 775 9216

USPS-OIG DALLAS

SEP.21.2000 11:19AM SOUTHEAST AREA OFFICE

NO.650

P.3

Page 2

If you require any additional information, please contact Karen Borowski, Manager, Human Resources, at 901-747-7200.



William J. Brown

Attachment

cc: District Managers: Atlanta, North Florida, South Florida, Mississippi, South Georgia  
Yvonne Maguire, Vice President, Employee Resource Management, HQs  
Suzanne Milton, Manager, Workplace Environment Improvement, HQs

Review of the Violence Prevention and Response  
Programs in the South Georgia District

LB-AR-00-005

09/21/00 11:18 FAX 214 775 9216

USPS-OIG DALLAS

SEP. 21. 2000 11:19AM SOUTHEAST AREA OFFICE

NO. 650 P. 4

WILLIAM J. BROWN  
VICE PRESIDENT, AREA OPERATIONS  
SOUTHEAST AREA



September 18, 2000

MEMORANDUM FOR: District Managers  
SUBJECT: Violence Prevention and Response Programs

Recent audits by the Office of the Inspector General have revealed the need to improve our Violence Prevention and Response Programs. In an effort toward continuous improvement in this critical area, please take the necessary action to assure the following controls are in place in your cluster to improve our program effectiveness:

- Verify that the FY 2000 mandated Violence Awareness Training has occurred.
- Assure the required two-day orientation training is provided to all Threat Assessment Team (TAT) members.
- Verify that the necessary annual Security Reviews are conducted in accordance with the provisions of the ASM.
- Effectively utilize relevant climate indicators as a means of assessing and reducing the potential for violence.
- Establish a monitoring mechanism to ensure receipt of local customized crisis management plans at all facilities.
- Assure implementation of the necessary TAT performance measures as described in Chapter 5, Publication 108, Threat Assessment Guide.
- Assure that TATs engage in appropriate case management in accordance with Chapter 4 of Publication 108, Threat Assessment Guide.

If we are to provide the "safest possible work environment" for all of our employees, it is imperative that we continuously monitor, evaluate, and improve our processes and procedures in the area of violence prevention and security. The Southeast Area remains committed to a proactive approach of violence prevention and effective emergency response programs.

  
William J. Brown

cc: Yvonne Maguire, Vice President, Employee Resource Management, HQs  
Suzanne Milton, Manager, Workplace Environment Improvement  
Managers, Human Resources (Districts)

255 N. MAIN ST. S. BLDG.  
MEMPHIS TN 38106-0000  
901-744-7333  
Fax 901-744-1491

DISTRICT MANAGER



September 14, 2000

DEBRA D. PETTITT  
ACTG ASSISTANT INSPECTOR GENERAL  
FOR OVERSIGHT AND BUSINESS EVALUATIONS  
OFFICE OF INSPECTOR GENERAL

SUBJECT: Review of the Violence Prevention and Response Programs in the South  
Georgia District (Audit Report Number LM-AR-00-Draft)

This responds to your August 18<sup>th</sup> letter concerning the above-referenced audit report. In accordance with the instructions outlined therein, the South Georgia District (SGD) responds to your findings and recommendations as follows:

1. **PROVIDE THE APPROPRIATE TRAINING TO SECURITY CONTROL OFFICERS**
  - A. The District Security Control Officer (SCO) and Assistant SCO were given the appropriate Inspection Service training from April 27 - 30, 1999. Certificates of completion attached as Exhibit 1A.
  - B. Fifty-two (52) local SCOs received 8 hrs. of training, Course # 12251-00 from Postal Inspector Sims on June 10, 1999. Training summary report attached as Exhibit 1B.
2. **CONDUCT ANNUAL PHYSICAL SECURITY REVIEWS AT ALL DISTRICT FACILITIES.**

Facility security surveys were sent to all postal facilities from Headquarters on June 19, 2000 with instructions to return to Raleigh, NC (Exhibit 2A). Exhibit 2B is a list of all facilities. The "X" on the left side reflects that the survey was completed and data input in Raleigh. As of August 3, 2000, the SGD had approximately 75% of the surveys completed. A reminder letter was forwarded to the remaining 25% on August 3, 2000 (Exhibit 2C). The SGD is currently close to 100% in compliance. However, the computer system for input in Raleigh has crashed and is expected to be down until October. When the system is rebuilt, the District SCO will follow up to ensure 100% of security reviews completed and data input. The estimated completion date is October 30, 2000.

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**3. MONITOR AND EVALUATE CLIMATE INDICATORS TO IDENTIFY CONFLICT THAT COULD LEAD TO VIOLENCE IN THE WORKPLACE**

- A. The SGD is in the process of developing a computer program that will allow us to monitor and assess climate indicators for each office.
- B. Currently, the Employee Workplace Intervention Analyst (EWIA) and Employee Assistance Program (EAP) Counselor meet monthly to evaluate offices that have a high rate of EAP calls due to stress.
- C. The procedure for conducting climate assessments has been changed. In all locations where a climate assessment has to be completed, the manager is now required to prepare an action plan to be submitted to their manager for approval. Follow-up is then required and a sequel climate assessment directed.

The high referral rate to EAP is depicted as a negative indicator. Since its inception, a high referral rate to EAP indicates a quality, confidential, and effective program. It is also an indicator that we have effectively made our employees aware of this service. Except in the case of many referrals from one location for job related problems, the high usage rate of the EAP is viewed as a positive indication of our efforts.

**4. PROVIDE THE REQUIRED TWO DAY ORIENTATION TRAINING TO ALL CORE MEMBERS OF THE THREAT ASSESSMENT TEAM (TAT).**

We are in the process of scheduling and documenting the required two day training for all core members of TAT. The estimated scheduled date for completion is October 31, 2000.

**5. MANDATE ATTENDANCE AT VIOLENCE AWARENESS TRAINING FOR ALL CRAFT EMPLOYEES, SUPERVISORS, AND MANAGERS**

- A. The audit indicates that the SGD was unable to document the 1 hr. violence awareness training required for all craft employees. Records have been located and we can now document that all craft employees received 1 hr. of violence awareness training in 1998. Each installation head submitted a sheet verifying all craft and EAS employees in their installation watched the 1 hr. video, "Workplace Violence Awareness," Course # 21558-92, sent to them with letter of instructions dated June 2, 1998 (Exhibit 5A). Certification of training for each office is too voluminous to attach, but is available upon request (approx. 400 pages - one per installation).

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- B. Craft employees in the SGD received 1 hr. of Workplace Violence Awareness training, Course # 21558-03 in March 2000. This was included in the 4-hr. Workplace Environment Improvement requirement reflected on Tracking Summary Report (Exhibit 5B) with 100% completion response from all facilities. The 4 hr. WEI requirement consisted of: 1 hr. - Building a Better Workplace; 1 hr. - Workplace Environment on Sexual Harassment Prevention; 1 hr. - Sexual Harassment Awareness and Prevention; and 1 hr. - Workplace Violence Awareness, for Craft Employees and New Employees. Certification of training for each office was too voluminous to attach but is available upon request (approx. 400 pages - one per installation).
  - C. All EAS supervisors (16 and above) and all Postmasters were provided 4 hrs. of Workplace Violence Awareness training in FY 1996, Course # 21558-00 (documented by Exhibit 5C). In FY 2000, all EAS employees were provided 12 hrs. WEI which consisted of: 8 hrs. Workplace Violence Awareness, Course # 21558-00 (documented by Exhibit 5D); 3 hrs. - Sexual Harassment, Course # 21271-02 (documented by Exhibit 5E) ; and 1 hr. - Building a Better Workplace, Course # 11251-05 (documented by 5F). Individualized reports are available upon request (approx. 75 pages per report).
  - D. New initial-level supervisors in the largest five (5) offices in the District are promoted after completion of the Associate Supervisor Program. As a part of this program, they are provided 8 hrs. of Workplace Violence Awareness training, Course # 21558-00. All other newly appointed EAS employees are scheduled for this training before the end of the FY in which they are appointed.
  - E. Newly appointed craft employees are provided 1 hr. of Violence Awareness Training at new employee orientation.
  - F. The EIWA will provide 8 hrs. of training, Employee Relations Improvement, to all current EAS employees as well as all newly promoted EAS employees during FY 2001. It is anticipated that at the end of the FY, we will have provided this to 100% of EAS employees on the rolls at that time.
6. **ENSURE RECEIPT OF LOCAL, CUSTOMIZED CRISIS MANAGEMENT PLAN.**
- On September 8, 2000 we sent a letter to each office (Exhibit 6A) with instructions and an attached template to be used to create a local, customized Crisis Management Plan. We have given a deadline of September 29, 2000 to have the plans completed and a portion thereof returned to the Crisis Team Manager. We will follow-up to ensure receipt from each office. The letter also stressed the need

- 4 -

to keep plans current and available. The estimated completion date for documentation that all facilities have a local customized plan is October 31, 2000.

We appreciate the recommendations provided by the Office of Inspector General. We will implement the controls outlined above and welcome any input your office has on the action plans provided. ***The South Georgia District is firmly COMMITTED to making this District one of the finest and safest places to work in the Postal Service.***

If additional information is needed, please contact Charles Mathews, Manager, Human Resources at 478-752-8469.

  
Kenneth J. Braun  
South Georgia District

Attachments

C: William J. Brown, Actg. Vice President, SE Area  
Karen Borowski, Area Manager, Human Resources  
Charles L. Mathews, Manager, Human Resources  
Thomas L. Davenport, Manager, Administrative Services/SCO