

September 29, 2000

WILLIAM J. BROWN
VICE PRESIDENT, SOUTHEAST AREA OPERATIONS

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SOUTH FLORIDA DISTRICT MANAGER

SUBJECT: Audit Report - Review of the Violence Prevention and Response
Programs in the South Florida District (Report Number LB-AR-00-006)

This report presents the results of our review of the violence prevention and response programs in the South Florida District (Project Number 99EA007ER0007). We engaged a contractor, Williams, Adley & Company, LLP, to assist us in conducting this 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 Florida 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 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 these 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.

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for Oversight and Business Evaluations

Attachment

cc: Patrick R. Donahoe
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EXECUTIVE SUMMARY

Introduction

This report presents the results of our review of violence prevention and response programs within the South Florida District, located in the Southeast Area. The South Florida 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 Florida District implemented Postal Service policies regarding violence prevention and response programs.

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 Florida District or respond to crisis situations.

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

- Established the threat assessment team in fiscal year 1995 – two years prior to the issuance of violence prevention criteria.
- Incorporated team member participation into their job descriptions.
- Included the Postal Inspection Service as a core team member.
- Communicated and consistently enforced the zero tolerance policy.
- Engaged in case management.

The South Florida District also complied with most of the policies and procedures outlined in the Crisis Management Plan for Incidents of Violence in the Workplace.

However, the South Florida District did not fully implement required proactive strategies designed to prevent violence from occurring as required by the Threat Assessment Team Guide. District officials stated they followed what they believed the guide required and considered the deficiencies we identified as “minor.” As a result, required controls were not fully implemented to reduce the potential for violence in the workplace. Our audit disclosed that the South Florida District did not:

- Conduct annual physical security reviews.
- Monitor and evaluate climate indicators.
- Measure team performance.
- 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 36 (27 percent) of the 135 district facilities did not have a copy of their local customized plan on site. (See Appendices B and C.)

**Summary of
Recommendations**

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

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

**Summary of
Management’s
Comments**

The vice president, Southeast Area Operations stated that the OIG report was misleading and focused on the condition of the violence awareness programs in fiscal year (FY) 1997

and 1998. He stated that the OIG based its August 2000 conclusions on data obtained before June 1999. He further stated that the Southeast Area remained committed to the continuous improvement of the violence prevention and response programs and, therefore, 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 Florida District manager responded to the five recommendations with a list of what the district had accomplished from September 1999, through August 2000.

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

**Overall Evaluation of
Management's
Comments**

We disagree that the OIG report was misleading and focused on the condition of the violence awareness programs in FY 1997 and 1998. Some data was used for those fiscal years because they were the latest complete fiscal years at the time of our visit. Interviews with postal officials, however, 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

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 107,¹ require the 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 Florida District implemented Postal Service policies regarding violence prevention and response programs.

The Office of Inspector General (OIG) engaged a contractor 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. (See Appendix A for complete Objective, Scope, and Methodology details.)

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

AUDIT RESULTS

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 Florida 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 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.

Implementation of Violence Prevention and Response Programs

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

- Established the threat assessment team in fiscal year (FY) 1995 – two years prior to the issuance of violence prevention criteria.
- Incorporated team member participation into their job descriptions.
- Included the Postal Inspection Service as a core team member.
- Communicated and consistently enforced the zero tolerance policy.
- Engaged in case management.

The district also complied with most of the policies and procedures outlined in the Crisis Management Plan for Incidents of Violence in the Workplace.

However, the South Florida District did not fully implement proactive strategies designed to prevent violence from occurring as required by the Threat Assessment Team Guide. District officials stated they followed all of the policies and procedures they believed the guide required and considered the deficiencies we identified as "minor." As a result, required controls were not fully implemented to reduce the potential for violence in the workplace. Our audit disclosed the South Florida District did not:

- Conduct annual physical security reviews.
- Monitor and evaluate climate indicators.
- Measure team performance.
- 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 36 (27 percent) of the 135 district facilities did not have a copy of their local customized plan on site. (See Appendices B and C.)

Physical Security
Reviews

The district did not conduct annual physical security reviews in all facilities as mandated by the Postal Service Administrative Support Manual. The physical security reviews were not conducted because district officials stated that facility security control officers were not designated and trained until FY 1999.

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.²

We used a statistical sample to project that the district conducted no more than 10 (about 7 percent) of the

² 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.

135 required annual physical security reviews in FY 1997 and 1998. (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.

Climate Indicators

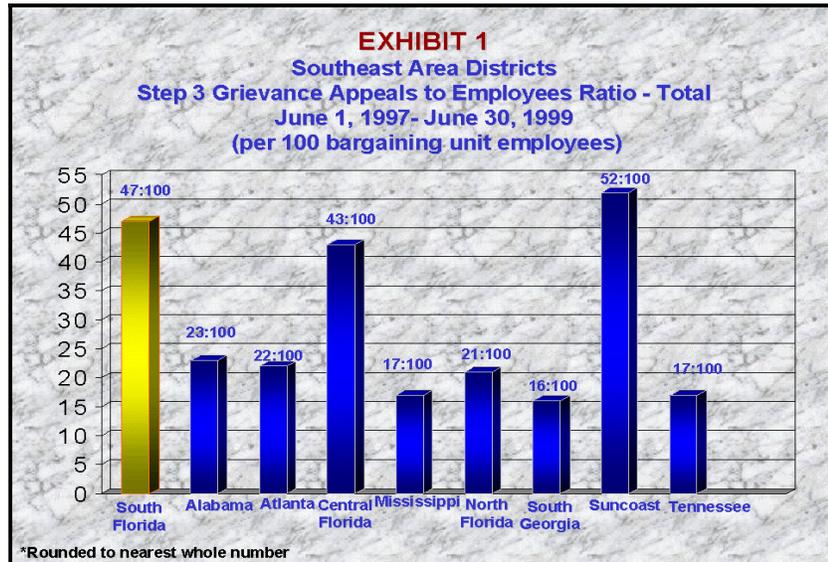
We found that the South Florida District did not monitor and evaluate climate indicators to identify sites that had the potential for violence, as required by the Threat Assessment Team Guide. The Employee and Workplace Intervention Analyst informed us that the threat assessment team recognized grievances and Equal Employment Opportunity complaints as climate indicators, but we found that they did not review them to identify the risk for violence in the workplace. 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, Employee Assistance Program contacts, and labor-management relationships.³

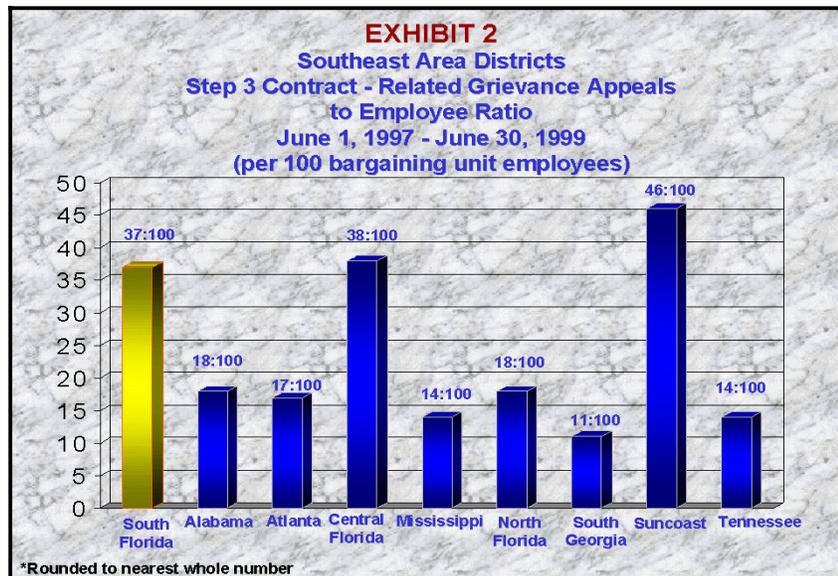
We reviewed several climate indicators that management could use as benchmarks to assess the workplace climate and identify locations that may require a climate assessment.

³ We considered the results of the Voice of the Employee survey as an indicator of labor-management relationships.

Grievances. Exhibit 1 shows the South Florida District had the second highest ratio (47:100) in the Southeast Area of step 3 grievance appeals to employees for the period June 1, 1997, through June 30, 1999.⁴

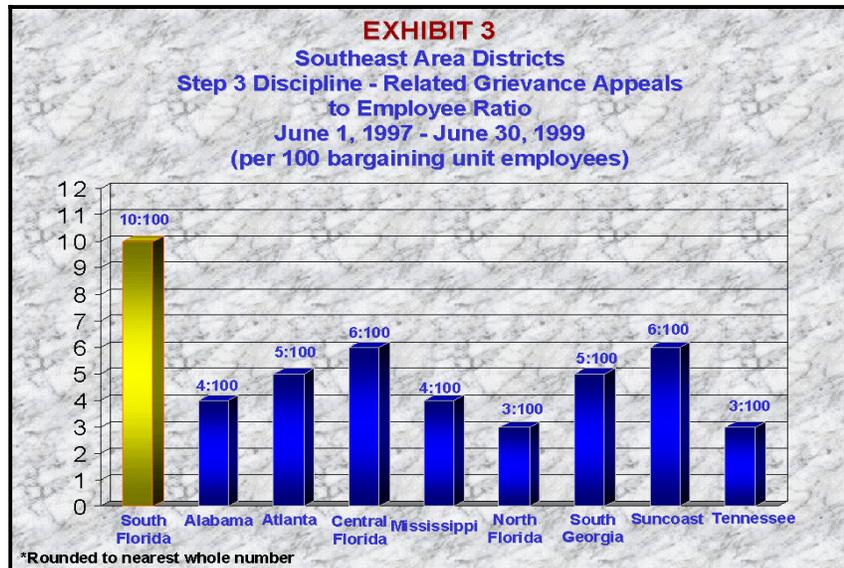


For the same period, Exhibit 2 shows that the district had the third highest ratio (37:100) of step 3 contract-related grievance appeals to employees.

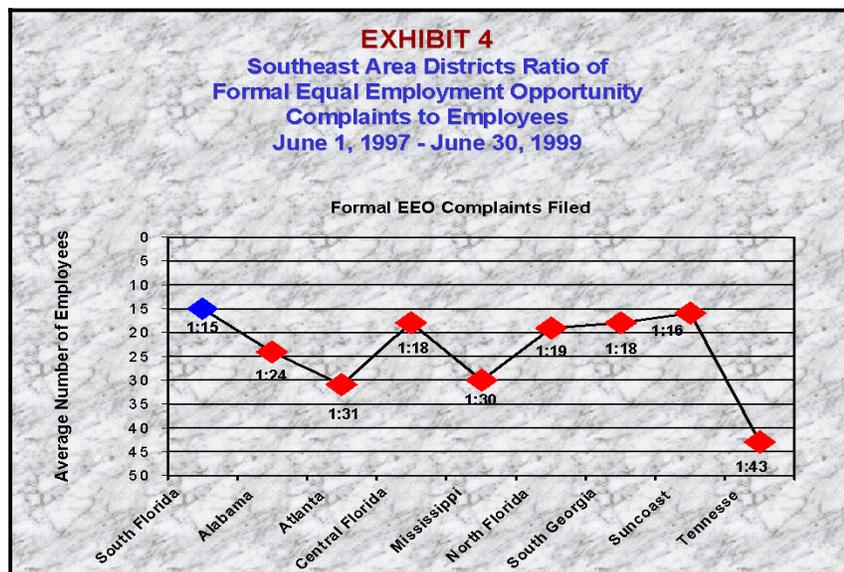


⁴ In a report entitled, "U.S. Postal Service: Little Progress Made in Addressing Persistent Labor-Management Problems," October 1997, GAO/GGD-98-1, GAO reported that a ratio of 13:100 grievances to employees was a high ratio. Union and management officials did not dispute this claim.

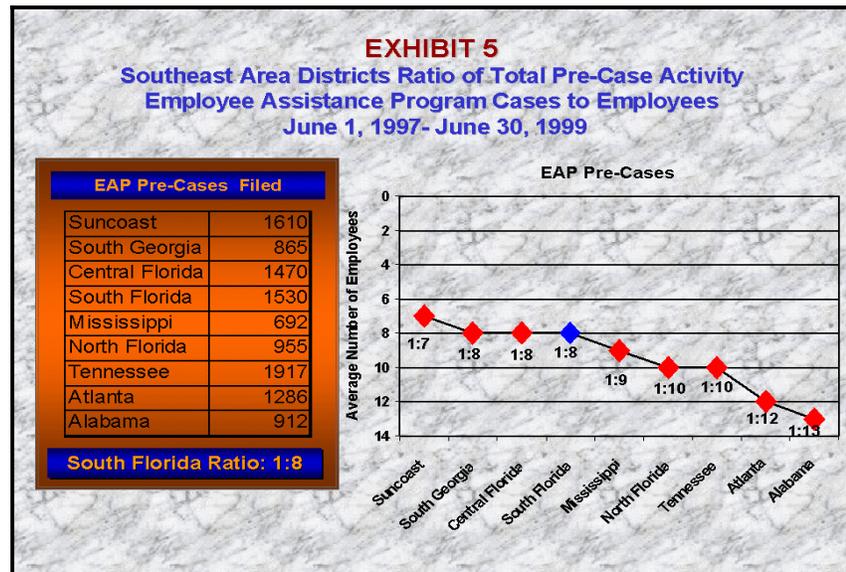
The district had the highest ratio (10:100) of step 3 discipline-related grievance appeals to employees, for the same period, as shown in Exhibit 3.



Equal Employment Opportunity Complaints. Exhibit 4 shows that during the period June 1, 1997, to June 30, 1999, the district had the highest ratio (1:15) of Equal Employment Opportunity formal complaints to employees in the Southeast Area.

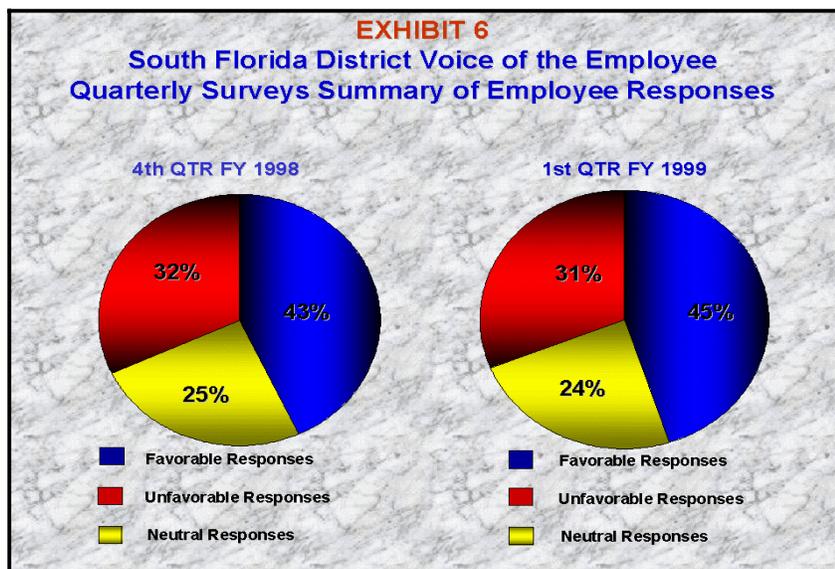


Employee Assistance Program Cases. For the same period, the district had one of the second highest ratios (1:8) of total pre-case activity⁵ Employee Assistance Program cases per employee as depicted in Exhibit 5.

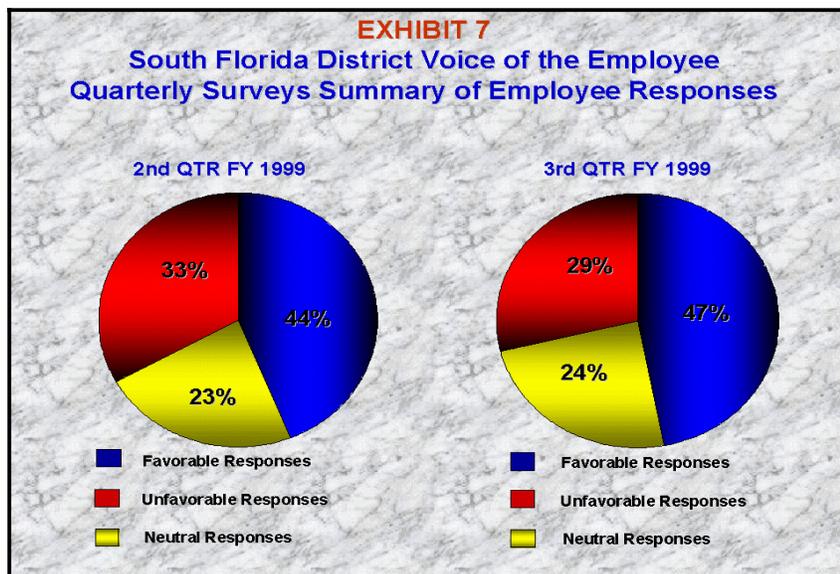


⁵ The total pre-case activity contacts include all employees, supervisors, and family members who made contact with the Employee Assistance Program, either through telephone or in person to set up appointments with an Employee Assistance Program counselor.

Voice of the Employee Survey Results. A majority of employees who responded to the Voice of the Employee survey⁶ in the South Florida District were 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 about 43 for quarter 4 of 1998, to about 45 percent for quarters 1, 2, and 3 of 1999. The number of employees who responded unfavorably to their workplace environment, ranged from about 32 percent for quarter 4 of 1998, to about 31 percent in quarters 1, 2, and 3 of 1999. In addition, about 24 percent of the employees who responded for the same quarters gave neutral responses.



⁶ 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 districts workplace environment, the Threat Assessment Team can use them to assess the potential for violence in the district.

Climate Assessments. The South Florida 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. Specifically, Postal headquarters identified the entire South Florida District and two district facilities as troubled work sites. In addition, district management and one of the unions identified the district as having work environment problems. Routine analysis of climate indicators may have identified the need for climate assessments at these sites before problems occurred.

For example, the first climate assessment was conducted district-wide based on a request by headquarters. An external consulting firm performed the assessment in November 1998 to review problems that hampered morale and productivity. The second district-wide assessment was performed in December 1998 by a union and district management task force. This assessment was conducted to identify problems between union and management, and between delivery supervisors and managers.

The issues raised in both assessments included: (1) unwarranted discipline; (2) noncompliance with the collective bargaining agreements; (3) employees not being treated with dignity and respect; and (4) an “inflexible view of postal management.”

As a result of both district climate assessments, the district developed an action plan, which included communication training for managers and supervisors; focus and work groups to increase communication between management, unions and employees; and development of performance incentives.

In addition to the district-wide assessments, two facility climate assessments were performed at the request of Postal Service headquarters. The district’s Employee and Workplace Intervention Analyst performed the assessments at two troubled work sites, which revealed the work environments to be hostile and tense. Recommendations were made to adjust management style and improve communication.

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 the level of conflict in district facilities.

Measurement of Threat
Assessment Team
Performance

The South Florida District’s Threat Assessment Team did not establish performance measures as required by the Threat Assessment Team Guide. The Human Resources manager told us that the team measured their activities by the resolution of cases, level of information communicated to team members, and the activity of the team. Without performance measures, the team could not objectively measure the effect violence prevention activities had on the workplace climate and operations.

Performance measures help reduce the risk of violence in the workplace because they provide objective information to management on baseline performance and measure the effect of the violence prevention program. Objective data

can be obtained through the use of surveys, the numbers and types of threats and assaults, the tracking system, and post-incident analysis of each violent incident.

Violence Awareness
Training

The district did not provide workplace violence awareness training for all district managers, supervisors, and craft employees in accordance with the Threat Assessment Team Guide. The training manager stated that she was not aware of the training requirements. 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 program 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 Florida District's workplace violence awareness training consisted of:

- An eight-hour workplace violence awareness training course primarily for managers and supervisors.
- An eight hour sexual harassment and reasonable accommodation course.
- A two-and-a-half-hour sexual harassment awareness course for performance cluster members.
- A four-hour stress management course.
- A four-hour diversity awareness training course.
- A four-hour leadership and diversity part II course.
- A four-hour "Understand Me, Manage Me Better" course.

- Stand-up talks,⁷ videos, and television displays on workplace violence primarily for craft employees.

We used a statistical sample to project the number of managers, supervisors, and craft employees who had attended violence awareness training from June 1, 1997, through June 30, 1999. We projected that up to 129 (17 percent) of the 754 managers and supervisors in the district had no workplace violence awareness training. We projected that up to 635 (84 percent) of the 754 managers and supervisors received both the eight-hour workplace violence awareness training and the four-hour follow up. For the same period, we projected that up to 203 (27 percent) of the 754 managers and supervisors received some workplace violence awareness training, ranging from 6 hours to 16 hours, but did not meet the specific 12-hour criterion. (See Appendix D.)

We projected that no more than 640 (6 percent) of the 10,872 craft employees in the South Florida District received the required one-hour 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.

Crisis Management
Plans Available At
Facilities

The district did not ensure the 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 told us they thought they had a plan but could not locate it.

We used a statistical sample to project that as many as 36 (27 percent) of the 135 facilities in the South Florida District did not have a copy of the district's crisis management plan. (See Appendices B and C.)

⁷ We could not verify attendance at the stand-up talks because the district did not maintain a record of attendees.

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.

Recommendations

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

1. Conduct annual physical security reviews at all district facilities.
2. Monitor and evaluate climate indicators to identify conflict that could lead to violence in the workplace.
3. Establish performance measures to gauge team performance.
4. Mandate attendance at violence awareness training for all supervisors, managers, and craft employees.
5. Ensure receipt of local, customized crisis management plans at all district facilities.

**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 Florida District manager responded with a list of what has been accomplished in FY 2000, during the “one-year lapse between the audit and the report.” He stated that the South Florida District has conducted security reviews at all units and completed the mandatory violence awareness training in FY 2000. He noted that prior to the audit the district began to monitor equal employment opportunity complaints and grievance activity as well as the other climate indicators. He observed that this effort was part of the South Florida Action Plan to improve the workplace environment dated June 1999. He further states that copies of the Crisis Management Plan and Threat Assessment Plan were distributed to all stations, branches, and plants prior to the 1999 audit. He also stated that in the new fiscal year a survey would be used as a tool to measure threat assessment team performance.

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

**Evaluation of
Management
Comment’s**

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 Operations 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 Florida 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 Florida District, for the period of June 1, 1997, through June 30, 1999.⁸ For the same period, the OIG and contractor reviewed the workplace climate assessments for the South Florida District. The OIG and contractor also reviewed results from the 1998 and 1999 Voice of the Employee surveys conducted in the South Florida District. We reviewed this data as indicators of conflict that could lead to violence in the South Florida District. The OIG and contractor compared some of the indicators in the South Florida District to the same indicators in other districts within the Southeast Area.⁹

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.¹⁰ We used statistical sampling methodologies to determine these numbers. (See Appendices B and C.)

⁸ 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.

⁹ The OIG obtained this data from the Postal Service databases but did not verify the accuracy of the data.

¹⁰ 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.¹¹ (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.

¹¹ See footnote number 9.

APPENDIX B

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

Purpose of the Sampling

One of the objectives of this audit was to assess the South Florida 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 Florida District.

Definition of the Audit Universe

The audit universe consisted of 135 facilities, such as post offices, stations, branches, postal stores, and processing and distribution centers. The South Florida District management was the source of the universe data. 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 above-stated 135-facility population size.

Sample Design and Modifications

The audit used a simple random sample design. We randomly selected 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. Appendix C is a list of the 35 facilities that were randomly selected to determine which facilities had physical security reviews conducted and had crisis management plans on hand.

Statistical Projections of the Sample Data

All attributes are projected to the universe of 135 facilities. There were no differences reported in the data universe for FY 1997 versus FY 1998.

Attribute 1: Physical Security Reviews Conducted In FY 1997

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 General Accounting Office’s (GAO) Financial Audit Manual (the “FAM”). Because the population size is small, 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 10 (7.4 percent) of the South Florida District facilities conducted a physical security review in FY 1997. The unbiased point estimate is zero facilities. (Universe: 135)

Attribute 2: Physical Security Reviews Conducted In FY 1998

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, 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 10 (7.4 percent) of the South Florida District facilities conducted a physical security review in FY 1998. The unbiased point estimate is zero facilities. (Universe: 135)

Attribute 3: Crisis Management Plans On Site

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 36 (27 percent) of the 135 South Florida District facilities did not have a copy of the district crisis management plan. The unbiased point estimate is 23 or 17 percent of the 135 facilities without the crisis management plan. (Universe: 135)

APPENDIX C

**SAMPLE OF CRISIS MANAGEMENT PLANS ON SITE AND PHYSICAL
SECURITY REVIEWS CONDUCTED AT
SOUTH FLORIDA 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	Postal Store	Ft Lauderdale – Sabal Palm	33319	YES	NO	NO
2	Post Office	Key West – Flager	33040	YES	NO	NO
3	Post Office	Miami – Martin Luther King	33147	NO	NO	NO
4	Post Office	Ft Lauderdale – Inverrary	33319	YES	NO	NO
5	Post Office and Vehicle Maintenance Facility	Pompano Beach – Main Office	33060/61/62/69	YES	NO	NO
6	Finance Unit	Miami – Edison Center	33151	YES	NO	NO
7	Post Office	Miami – Sunset	33173/83/93	NO	NO	NO
8	Post Office	Key West Main Office	33040	YES	NO	NO
9	Post Office and Vehicle Maintenance Facility	Hollywood – Main Office	33019 thru 33029	YES	NO	NO
10	Post Office	Hialeah – Palmetto-Lakes	33014	YES	NO	NO
11	Post Office	Key Largo – Main Office	33037	YES	NO	NO
12	Post Office	Summerland Key – Big Pinekey	33042 33043	YES	NO	NO
13	Post Office	Ft Lauderdale – Southside	33335	YES	NO	NO
14	Equipment Warehouse	Hollywood	33019 thru 33029	YES	NO	NO
15	Post Office	Miami – Coconut Grove	33133	YES	NO	NO

ITEM NO.	TYPE OF FACILITY	LOCATION	ZIP CODE	CRISIS MANAGEMENT PLANS ON SITE	PHYSICAL SECURITY REVIEWS CONDUCTED	
					FY 97	FY 98
16	Post Office	Ft Lauderdale – Plantation	33317	YES	NO	NO
17	Post Office	Marathon Main Office	33050	YES	NO	NO
18	Post Office	Ft Lauderdale – Riverland	33312	YES	NO	NO
19	Post Office	Ft Lauderdale – Westside	33325	YES	NO	NO
20	Post Office	Miami – Oceanview	33140	YES	NO	NO
21	Post Office	Pompano Beach – Atlantic Blvd	33071/77	YES	NO	NO
22	Post Office	Dania—Main Office	33004	YES	NO	NO
23	Post Office	Miami – Uleta	33164	YES	NO	NO
24	Post Office	Miami – Surfside	33154	YES	NO	NO
25	Post Office	Miami Gardens	33015	YES	NO	NO
26	Post Office	Ft Lauderdale – Davie	33314/28/29/30/31/32	YES	NO	NO
27	Carrier Annex	Miami – Trail	33184/74/82/92	NO	NO	NO
28	Finance Unit	Hollywood – Hillcrest	33021	NO	NO	NO
29	Post Office	Miami – Ojus	33163	YES	NO	NO
30	Finance Station	FI Lauderdale - Coral Ridge	33306	YES	NO	NO
31	Post Office	Miami – Norland	33169	YES	NO	NO
32	Finance Unit	Miami – Miracle Mile	33134	NO	NO	NO
33	Post Office	Pompano Beach – Margate	33063/66/93	YES	NO	NO
34	Carrier Annex	Hollywood – Pembroke Pines	33029	NO	NO	NO
35	Post Office	Shenandoah	33145	YES	NO	NO

APPENDIX D

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

Purpose of the Sampling

One of the objectives of this audit was to assess the South Florida 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 consists of 10,872 craft employees in the South Florida District. For the supervisory-level assessment, the audit universe is a total of 754 supervisors and managers in the district.

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

Sample Design and Modifications

The audit used a simple random sample design. We randomly selected 50 craft employees and 50 managers and supervisors for the 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 640 (6 percent) of the 10,872 craft employees in the South Florida District received training in workplace violence awareness. The unbiased point estimate is zero employees who met the training criterion.

Supervisors and Managers: Training Projection

Based on a projection of the sample results, we are 95 percent confident that up to 129 (17 percent) of the 754 South Florida District supervisors and managers received no workplace violence awareness training. The unbiased point estimate is 8 percent, or 60 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 203 (27 percent) of the 754 South Florida District supervisors and managers received some subject-matter training ranging from 6 to 16 hours, possibly as part of other supervisory courses. The unbiased point estimate is 18 percent, or 136 supervisors and managers.

Based on a projection of the sample results, we are 95 percent confident that up to 635 (84 percent) of the 754 South Florida District supervisors and managers met or exceeded the 12-hour subject-matter training criterion. The unbiased point estimate is that 74 percent, or 558 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

W. JAMES 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. ...
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...

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

LB-AR-00-006

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 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 Florida District

LB-AR-00-006

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 OFFICE
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)

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954 450 3015

P.02

DISTRICT MANAGER, CUSTOMER SERVICE & SALES
SOUTH FLORIDA DISTRICT



September 20, 2000

MEMORANDUM FOR:

Debra Pettitt
A/Assistant Inspector General
1735 N Lynn Street
Arlington VA 22209-2020

SUBJECT:

Response to Review of Violence Prevention
And Response Programs

This letter is in response to the audit conducted September 1999 and reported on August 18, 2000. The following has been accomplished in FY 2000, during the one-year lapse between the audit and the report:

1. Security Control Committee conducted surveys at all units. The Security Control Officer has copies of these.
2. We completed 8 hours of Workplace Violence Awareness Training for all EAS employees and 1 hour of WPV Awareness training for all craft employees in FY 2000. The training records can be found in the Training and Development Department.
4. In AP 11, 1999, prior to the audit, we began to monitor the RMO's and sites involved in EEO complaints, and to monitor grievance activity as well as the other WEI indicators as part of the South Florida District Action Plan to Improve the Workplace Environment, dated June, 1999. In addition, each AP we receive a WEI report that we scrutinize. This report gives current information about EEO/REDRESS activities and grievances. The Threat Assessment Team discusses climate indicators and makes recommendations to improve the workplace climate.
5. Copies of our Crisis Management Plan and Threat Assessment Plan were distributed to all stations, branches, and plants prior to the 1999 audit. To ensure each location has a current, easily accessible copy of both plans, we will continue to randomly contact the stations and plants to make sure we are in compliance.
3. Starting the new FY a survey will be used as a tool to measure team effectiveness.

We will continue to conduct our own internal checks to ensure that our workplace violence prevention and response programs are in compliance with appropriate policies and procedures. We are committed to Violence Awareness prevention and emergency response procedures.

A handwritten signature in cursive script that reads "John P. Barbanti".

John P. Barbanti

16000 PINES BOULEVARD
PEMBROKE PINES, FL 33082-6990
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FAX: 954-450-3015