

September 29, 2000

WILLIAM J. BROWN
VICE PRESIDENT, SOUTHEAST AREA OPERATIONS

VIKI M. BRENNAN
DISTRICT MANAGER, CENTRAL FLORIDA DISTRICT

SUBJECT: Audit Report - Review of the Violence Prevention and Response
Programs in the Central Florida District (Report Number LB-AR-00-008)

This report presents the results of our review of the violence prevention and response programs in the Central Florida District (Project Number 99EA007ER004). 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 Central Florida District. Although the district generally complied with the Threat Assessment Team Guide when reacting to incidents of violence and 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. The vice president for the Southeast Area did not agree with our overall conclusions, however, we believe the area and district 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.

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

Attachment

cc: Patrick R. Donahoe
Yvonne D. Maguire
Anthony J. Vegliante
John R. Gunnels

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EXECUTIVE SUMMARY

Introduction

This report presents the results of our review of violence prevention and response efforts within the Central Florida District, located in the Southeast Area. The Central 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 Central 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 Central Florida District. The district generally complied with the Threat Assessment Team Guide when reacting to incidents of violence. The district:

- Expanded its threat assessment team core membership to include all district plant managers.
- Communicated and enforced the zero tolerance policy.
- Developed a zero tolerance action plan to manage threats.
- Engaged in case management.
- Conducted the two-day threat assessment team orientation training.

The Central Florida District also generally complied with the policies and procedures outlined in the Crisis Management Plan for Incidents of Violence in the Workplace. We used a statistical sample to project that at least 93 percent of the district facilities had local customized crisis management plans on site. (See Appendices B and C.)

However, the Central Florida District Threat Assessment Team and violence prevention program were not implemented until January 1999. The district manager could not provide documentation or a reason for not implementing the team or the violence prevention program in 1997 and accepted responsibility. Additionally, since January 1999, the district has not fully implemented 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 it believed some were not applicable to all situations in their district.

Our audit also disclosed that the Central Florida District did not:

- Conduct annual physical security reviews.
- Monitor and evaluate climate indicators.
- Measure team performance.
- Mandate violence awareness training.

**Summary of
Recommendations**

We offered four recommendations to the vice president, Southeast Area Operations and the manager, Central Florida District, designed to ensure controls are implemented to improve the effectiveness of the district's violence prevention program.

**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 misleading and not an accurate representation of the current state of the Central Florida program. The vice president emphasized that the Southeast Area remains committed to the appropriate implementation of the policies and procedures regarding workplace violence.

The Central Florida District manager responded to all of the OIG recommendations stating in FY 2000, security reviews would be conducted in all offices and all supervisors, managers, and craft employees would receive the required violence awareness training. She also stated that a

systemic approach to analyzing relevant climate indicators would be initiated in early FY 2001. She also stated that beginning in August 1999, performance measurements would take place using a database that tracks all credible threats.

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

- Expanded its threat assessment team core membership to include all district three plant managers.
- Communicated and enforced the zero tolerance policy.
- Developed a zero tolerance action plan to manage threats.
- Engaged in case management.
- Conducted the two-day threat assessment team orientation training.

The Central Florida District also generally complied with the policies and procedures outlined in the Crisis Management Plan for Incidents of Violence in the Workplace. We used a statistical sample to project that at least 93 percent of the district facilities had plans on site. (See Appendices B and C.)

However, the Central Florida District Threat Assessment Team and violence prevention program was not

implemented until January 1999. The district manager could not provide documentation or a reason for not implementing the team or the violence prevention program in 1997 and accepted responsibility. Additionally, since January 1999, the district did not fully implement 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 it believed that some controls were not applicable to all situations in the district. As a result, required controls were not fully implemented to reduce the potential for violence in the workplace.

Our audit disclosed that the Central Florida District did not:

- Conduct annual physical security reviews.
- Monitor and evaluate climate indicators.
- Measure team performance.
- Mandate violence awareness training.

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 security control officer stated that he was unaware of the requirement for annual physical security reviews.

The Postal Service Administrative Support Manual, Chapter 2, Section 27, requires the security control officer or a 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 16 (7 percent) of the 207 required annual physical security reviews in FY 1997 and FY 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.

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.

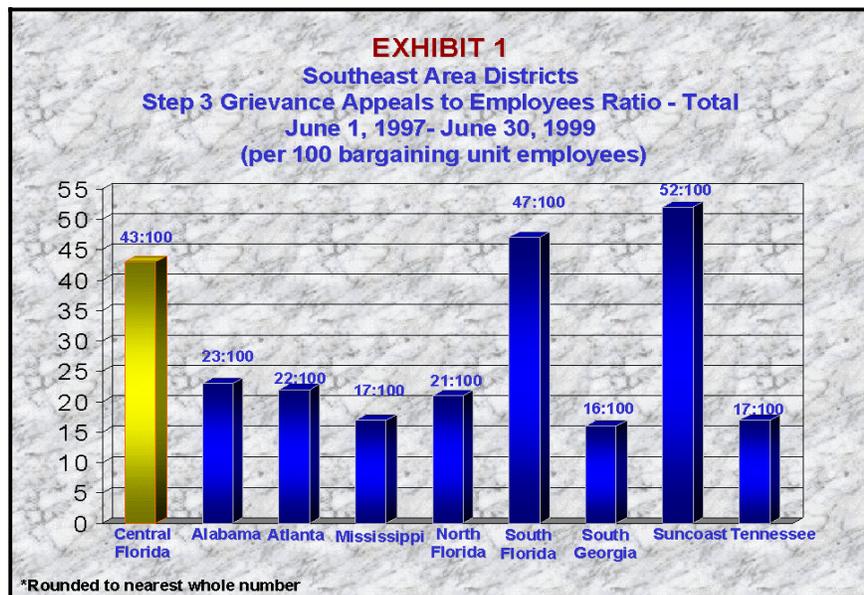
Climate Indicators

We found that the Central Florida District did not monitor and evaluate climate indicators because it believed that the requirement in the Threat Assessment Team Guide was not mandatory. 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.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.

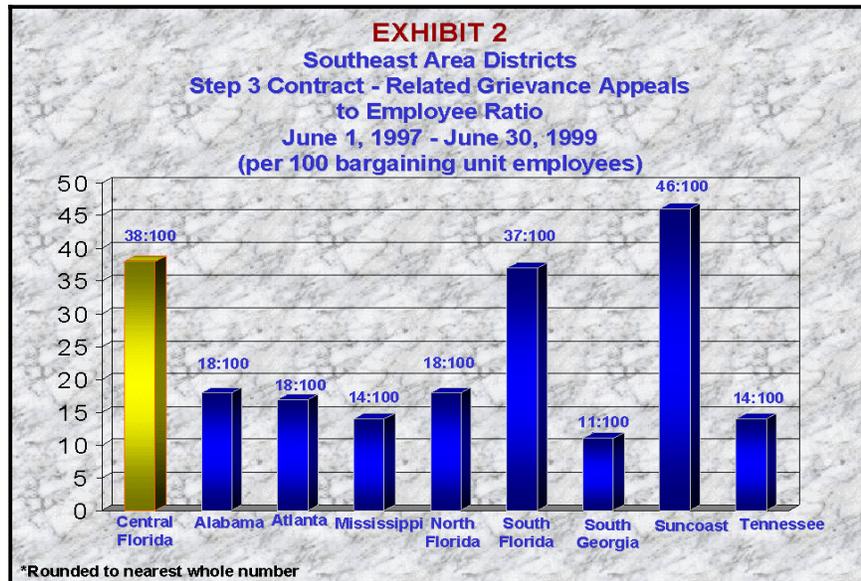
Grievances. Exhibit 1 shows the Central Florida District had the third highest ratio (43:100) in the Southeast Area of step 3 grievance appeals to employees for the period June 1997, through June 30, 1999.⁴



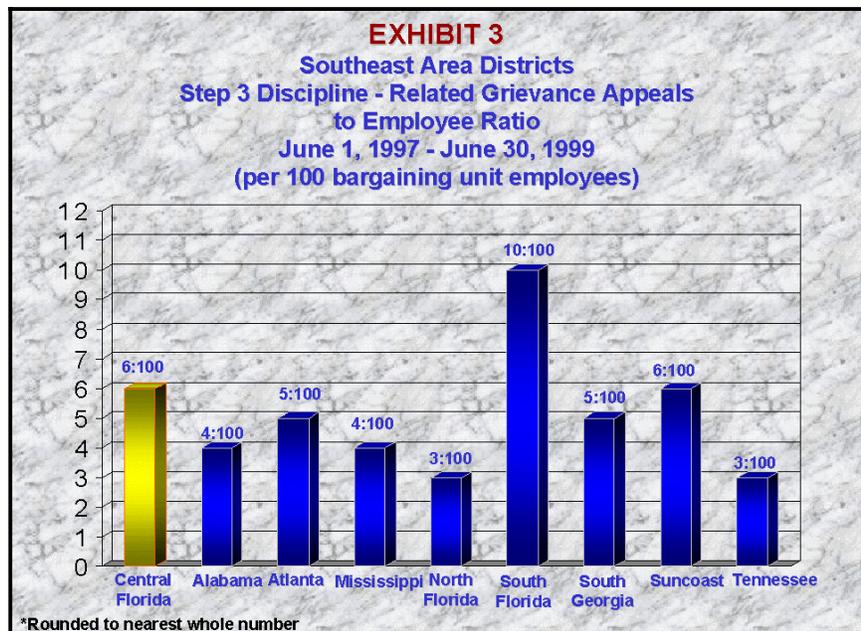
³ We considered the results of the Voice of the Employee Survey as an indicator of labor-management relationships.

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 employee was a high ratio. Union and management officials did not dispute this claim.

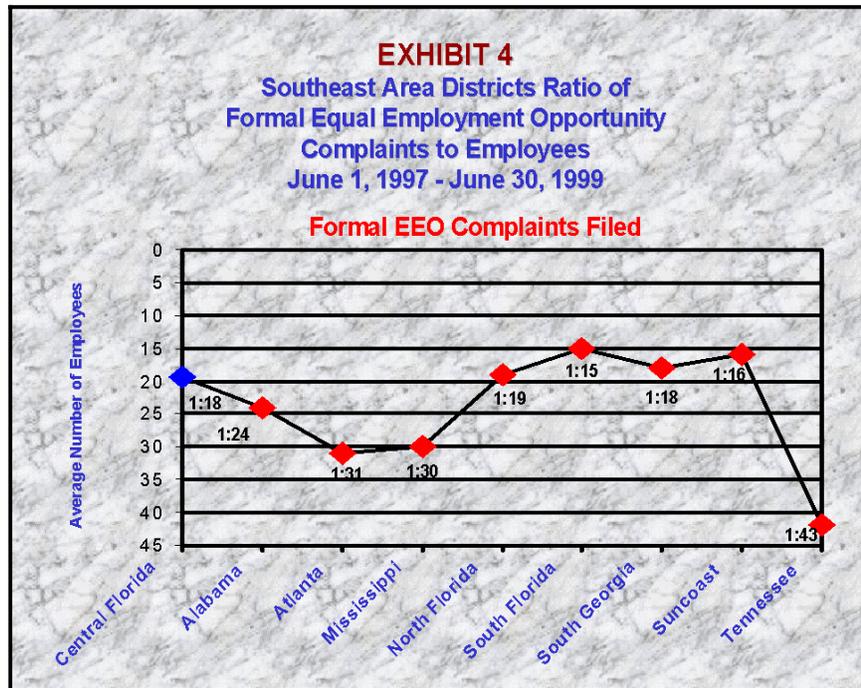
For the same period, Exhibit 2 shows the district had the second highest ratio (38:100) of step 3 contract-related grievance appeals to employees.



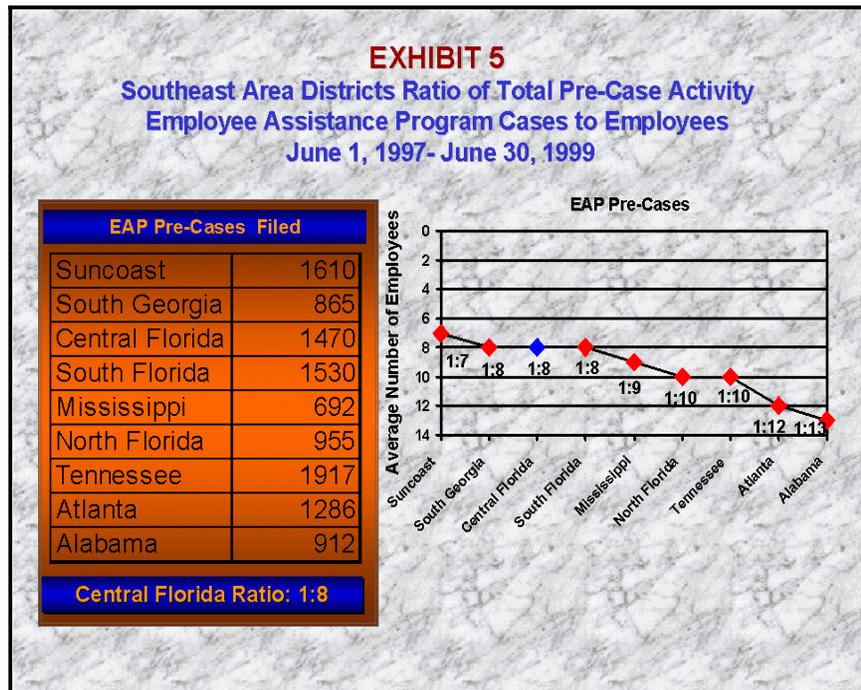
The district had one of the second highest ratios (6:100) of step 3 discipline-related grievance appeals to employees, for the same period, as shown in Exhibit 3.



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.

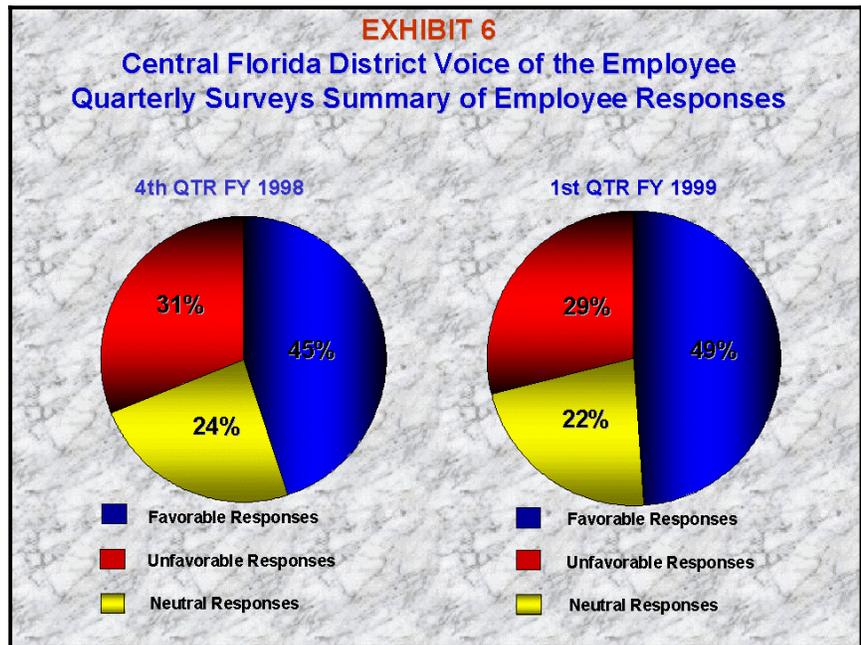


Employee Assistance Program Cases. For the same period, the district shared the second highest ratio (1:8) of total precase activity⁵ Employee Assistance Program cases per employee as depicted in Exhibit 5.

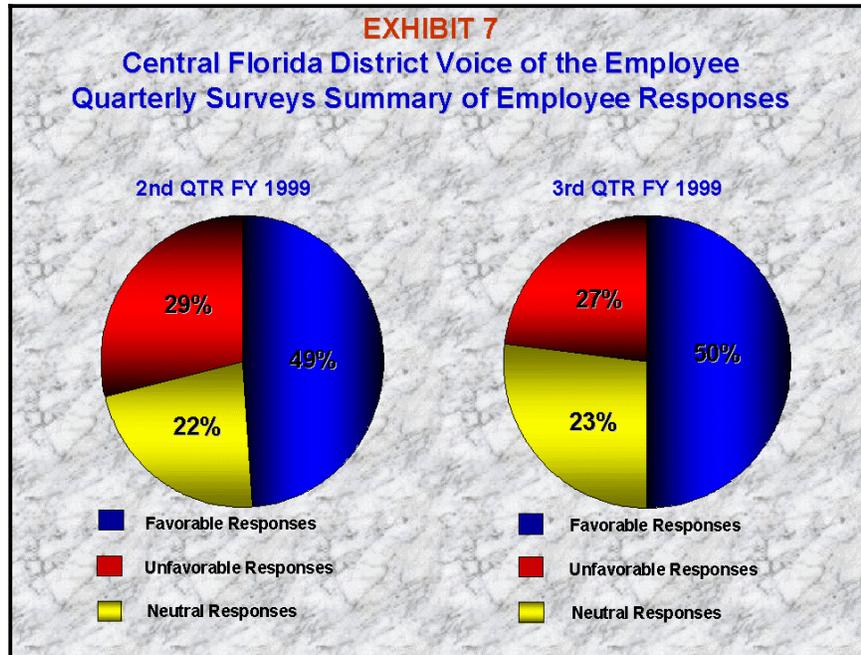


⁵ The total precase activity contacts include all those employees, family members, or supervisors who made contact with the Employee Assistance Program either through telephone or in person to set up appointments with an Employee Assistance Program counselor.

Voice of the Employee Survey Results. A majority of employees who responded to the Voice of the Employee⁶ survey in the Central 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 45 percent for quarter 4 of 1998, to about 49 percent of employees responding in quarters 1, 2, and 3 of 1999. The number of employees who responded unfavorably to their workplace environment, ranged from 31 percent in quarter 4, 1998 to about 28 percent in quarters 1, 2, and 3 of 1999. In addition, about 23 percent of the employees, who responded for the same quarters remained neutral.



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 district's workplace environment, the threat assessment team can use them to assess the potential for violence in the district.

Climate Assessments. The Central Florida District conducted two 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 conducted the two climate assessments at the request of postal management and a union official because of workplace problems. Routine analysis of climate indicators may have identified the need for climate assessments at these sites before problems occurred.

For example, in December 1998 due to a slow-down in work production, postal management requested a work climate assessment at a post office. The climate assessment described the office as being "out of control" prior to the arrival of existing management. The results were provided to the officer in charge of the post office, who developed a corrective action plan to improve the workplace climate.

In May 1999 at the request of a union official who alleged that a supervisor at a post office engaged in volatile

behavior contrary to the zero tolerance policy, a work climate intervention assessment was conducted at a post office. The employee and workplace intervention analyst spoke with several employees at the facility and provided craft employees with the Voice of the Employee training.

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.

Measurement of Threat
Assessment Team
Performance

The Central 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 has only been in place for a relatively short period and has not developed performance measures. Without performance measures, the team could not objectively measure the effect their violence prevention efforts had on 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 number 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 because the district did not consider the training mandatory. 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 craft employees, supervisors, and managers.

The Central Florida District workplace violence awareness training consisted of:

- An eight-hour workplace violence awareness training course designed for managers and supervisors.
- A condensed four-hour workplace violence awareness training course primarily for managers and supervisors.
- A one-hour combination lecture and video for managers, supervisors, and craft employees.
- Stand-up sessions on a recurring basis for all employees at the district's facilities.⁷
- Television displays concerning workplace violence shown at the facilities to be viewed by all 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 no more than 217 (27 percent) of the 807 managers and supervisors received both the eight-hour workplace violence awareness training and the four-hour follow-up course. We projected that up to 665 (82 percent) of the 807 managers and supervisors in the district, received some workplace violence awareness training, ranging from 1 to 80 hours, but did not meet the specific 12-hour criterion. For the same period, we projected that up to 137 (17 percent) of the 807 managers and supervisors had no violence awareness training. (See Appendix D.)

The employee and workplace intervention analyst told us that since January 1999, she conducted one-hour training sessions on workplace violence using the "Building a Better Workplace" video and lecture for craft employees. We projected that at least 2,667 (28 percent) of the 9,434 craft

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

employees in the Central Florida District did not receive 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.

Recommendations

We recommend that the vice president, Southeast Area Operations, and Central Florida District manager implement controls to improve the effectiveness of the district's 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.

**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 FY 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 both misleading and not an accurate representation of the current state of the Central Florida program. The vice president added that the Southeast Area disagrees with the general conclusion that since January 1999, the district had not fully implemented the necessary strategies. However, he states that the Central Florida District implemented measures to improve the violence prevention program, and is in general agreement with the recommendations. The vice president noted that in FY 2000, the district conducted the required annual security review and mandated the required violence

prevention training for managers, supervisors, and craft employees. He also noted that the district was establishing a formal process for reviewing relevant climate indicators and would use a database to measure threat assessment team performance.

The Central Florida District manager responded to all of the OIG recommendations stating in FY 2000, security reviews would be conducted in all offices and all supervisors, managers, and craft employees would receive the required violence awareness training. The district manager also stated that the district would initiate a more systemic approach to analyzing climate indicators and that a formal process would be established at the beginning of FY 2001. She noted that the district has developed a database 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'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 area and district planned or implemented actions are responsive to the recommendations and address the issues identified in this report.

APPENDIX A. OBJECTIVE, SCOPE, AND METHODOLOGY

The 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 the contractor also reviewed United States General Accounting Office (GAO) reports related to labor-management issues.

The OIG and the contractor interviewed Postal Service officials in the Central 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 the contractor reviewed the district's threat assessment team activities, zero tolerance policy, and crisis management plan. The OIG and the 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 the contractor reviewed individual threats documented by the threat assessment teams in the Southeast Area for the period June 1, 1997, through June 30, 1999, to determine if the team assessed the risk posed by the threats. The contractor engaged a Violent Crime Consultant to determine whether the threat assessment team assigned the correct priority risk level for threats in the Central Florida District. The OIG selected the Central Florida District because of the types of hotline complaints and congressional inquiries that the OIG had received regarding the district.

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

⁸ The OIG selected this audit period because the 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 Postal Service databases. We did not verify the accuracy of the data.

For 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 project these numbers. (See Appendices B and C.)

For the period June 1, 1997, through June 30, 1999, OIG projected the number of managers, supervisors, and craft employees 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 April 2000, in accordance with generally accepted government auditing standards and included such tests of internal controls as were considered necessary to fulfill the objectives of the audit plan. The OIG and the contractor discussed the conclusions and observations with appropriate management officials and included their comments, where appropriate.

¹⁰ The OIG obtained this data from Postal Service databases. We did not verify the accuracy of the data, however, 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 facility population size.

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 CENTRAL FLORIDA DISTRICT FISCAL YEARS 1997 AND 1998

Purpose of the Sampling

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

Definition of the Audit Universe

The audit universe consisted of 207 facilities; specifically post offices, stations, branches, postal stores, and processing and distribution centers. Central 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 207-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 on them, and had crisis management plans on hand.

Statistical Projections of the Sample Data

All attributes are projected to the universe of 207 facilities. There were no differences in the universe for FY 1997 versus FY 1998 data.

For each of the three attributes analyzed, the Central Florida District results included either a very low or very high number of “positive” responses. In each case the precision of the sample was analyzed using the hypergeometric adaptation of the binomial attribute table for controls testing, found in GAO’s Financial Audit Manual. Because the population size is small, the tabulated values (for 95 percent reliability) were adjusted by the corresponding hypergeometric finite population correction, $((N-n)/(N-1))^{0.5}$.

Attribute 1: Physical Security Reviews Conducted In FY 1997

Based on a projection of the sample results, we are 95 percent confident that no more than 16 (7 percent) of the Central Florida District facilities conducted a physical security review in FY 1997. The unbiased point estimate is zero facilities.

Attribute 2: Physical Security Reviews Conducted In FY 1998

Based on a projection of the sample results, we are 95 percent confident that no more than 16 (7 percent) of the Central Florida District facilities conducted a physical security review in FY 1998. The unbiased point estimate is zero facilities.

Attribute 3: Crisis Management Plans On Site

Based on a projection of the sample results, we are 95 percent confident that no more than 16 (7 percent) of the Central Florida District facilities did not have a copy of the district crisis management plan. The unbiased point estimate is zero facilities without the crisis management plan.

APPENDIX C

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

ITEM NO.	TYPE OF FACILITY	LOCATION	ZIP CODE	PHYSICAL SECURITY REVIEWS CONDUCTED		CRISIS MANAGEMENT PLANS ON SITE
				FY 97	FY 98	
1	Aloma Annex	Winter Park	32793	NO	NO	YES
2	Five Points Station	Cocoa	32924	NO	NO	YES
3	Clermont	Clermont	34711	NO	NO	YES
4	East Side Station	Altamonte Springs	32701	NO	NO	YES
5	Apollo Annex	Melbourne	32935	NO	NO	YES
6	Moore Haven Main Post Office	Moore Haven	33471	NO	NO	YES
7	Downtown Station	West Palm Beach	33402	NO	NO	YES
8	Debray	Debray	32713	NO	NO	YES
9	Vero Beach	Vero Beach	32960	NO	NO	YES
10	Lake Worth	Lake Worth	33461	NO	NO	YES
11	Oak St. Station	Kissimmee	34741	NO	NO	YES
12	W. Palmetto Park Carrier Annex	Boca Rotan	33486	NO	NO	YES
13	Windermere	Windermere	34786	NO	NO	YES
14	Orlando	Orlando	32862	NO	NO	YES
15	Christmas	Christmas	32709	NO	NO	YES
16	North Palm Beach Branch	West Palm Beach	33408	NO	NO	YES
17	Oakland	Oakland	34760	NO	NO	YES
18	Palm Bay Branch	Palm Bay	32905	NO	NO	YES
19	Growth Management	Orlando	32872	NO	NO	YES
20	Lake Monroe	Lake Monroe	32747	NO	NO	YES
21	Orange Blossom	Orlando	32805	NO	NO	YES
22	Wabasso	Wabasso	32970	NO	NO	YES
23	Lockhart Branch	Orlando	32810	NO	NO	YES
24	Singer Island Branch	Rivera Beach	33404	NO	NO	YES
25	Gotha	Gotha	34734	NO	NO	YES
26	Palmetto Park Postal Store	Boca Rotan	33486	NO	NO	YES
27	Lake Park Branch	Lake Park	33403	NO	NO	YES
28	Northwood Retail	W. Palm Beach	32701	NO	NO	YES
29	Deland Carrier Annex	Deland	32720	NO	NO	YES

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

LB-AR-00-008

ITEM NO.	TYPE OF FACILITY	LOCATION	ZIP CODE	PHYSICAL SECURITY REVIEWS CONDUCTED		CRISIS MANAGEMENT PLANS ON SITE
				FY 97	FY 98	
30	Aloma Branch	Winter Park	32793	NO	NO	YES
31	Mid-Florida P & DC	Mid-Florida	32799	NO	NO	YES
32	Haines Creek Branch	Leesburg	34788	NO	NO	YES
33	Downtown Station	Delray	33444	NO	NO	YES
34	Greenacres Branch	Lake Worth	33463	NO	NO	YES
35	Vero Beach Annex	Vero Beach	32960	NO	NO	YES

APPENDIX D

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

Purpose of the Sampling

One of the objectives of this audit was to assess Central Florida District 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. We used a simple random attribute sample design in both cases.

Definition of the Audit Universe

For the craft employee assessment, the audit universe consisted of 9,434 craft employees in the Central Florida District. For the supervisory-level assessment, the audit universe consisted of 807 supervisors and managers.

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 selected 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 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 at least 2,667 (28 percent) of the 9,434 craft employees in the Central Florida District did not receive training in workplace violence awareness. The unbiased point estimate is 60 percent, or 5,660 employees, 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 137 (17 percent) of the 807 Central Florida District supervisors and managers received no workplace violence awareness training. The unbiased point estimate is 10 percent, or 81 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 665 (82 percent) of the 807 Central Florida District supervisors and managers received some subject-matter training, possibly as part of other supervisory courses ranging from 1 to 80 hours, but did not meet the specific 12-hour criterion. The unbiased point estimate is 72 percent, or 581 supervisors and managers.

Based on a projection of the sample results, we are 95 percent confident that no more than 217 (27 percent) of the 807 Central Florida District supervisors and managers met or exceeded the 12-hour subject-matter training criterion. The unbiased point estimate is that 18 percent, or 145 supervisors and managers, met the 12-hour criterion.

APPENDIX E. MANAGEMENT'S COMMENTS

WILLIAM J. BROWN
ACTING VICE PRESIDENT, AREA OPERATIONS
SOUTHEAST AREA



August 18, 2000

MEMORANDUM FOR: Mr. Billy Sauls
Assistant Inspector General for Oversight and Business Evaluations
Office of Inspector General
1735 N. Lynn Street
Arlington, VA 22209-2020

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

This is a response to the draft report concerning the Review of the Violence Prevention and Response Programs in the Central Florida District dated July 21, 2000, and received at the Area Office on July 31, 2000.

Since this review involved the program at the Central Florida District, the District Manager, Central Florida, will more appropriately provide the specific management response to the recommendations under separate cover. However, the draft report requires general management response from the Area level as well.

It appears that the draft report focused on the condition of the violence awareness program in FY 97 and FY 98. However, the general conclusion was drawn that "since January 1999, the District did not fully implement proactive strategies designed to prevent violence from occurring as required by the Threat Assessment Team Guide." The general conclusion drawn in August 2000, based on data that pre-dates June 1999 (the majority of which is FY 97 and FY 98), is both misleading and not an accurate representation of the current state of the Central Florida program. Therefore, the Southeast Area disagrees with the general conclusion that since January 1999, the District did not fully implement the necessary strategies.

The Central Florida District has implemented measures to improve the violence prevention program, and there is general agreement with the recommendations. In FY 2000, the District is conducting the required annual security reviews in accordance with the provisions of the Administrative Support Manual (ASM). The District is establishing a formal process for reviewing relevant climate indicators, and the District has established a local database to gauge team performance. Also, in FY 2000, the Southeast Area mandated the eight-hour Workplace Violence Awareness Training for all supervisors and managers and mandated one hour of Workplace Violence Training for all craft employees.

255 N HUMPHREYS BLVD
MEMPHIS TN 38166-0100
901-747-7333
FAX: 901-747-7491

Mr. Billy Sauls

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In closing, the Southeast Area remains committed to the appropriate implementation of the policies and procedures regarding workplace violence prevention. If you require additional information, please contact Karen Borowski, Manager, Human Resources, at 901-747-7200.



William J. Brown

cc: Viki Brennan, District Manager, Central Florida
Yvonne Maguire, VP, Human Resources, HQs
Suzanne Milton, Mgr., Workplace Environment Improvement, HQs
Karen Borowski, Mgr., Human Resources, SEAO

VIKI M. BRENNAN
DISTRICT MANAGER, CUSTOMER SERVICE AND SALES
CENTRAL FLORIDA DISTRICT



August 16, 2000

Billy J. Sauls
Assistant Inspector General
For Oversight and Business Evaluations
Office of Inspector General
1735 N. Lynn Street
Arlington, VA 22209-2020

**SUBJECT: Audit Report Response – Review of Violence Prevention and
Response Programs in the Central Florida District
(Report Number LB-AR-00-DRAFT)**

This response addresses the conclusion and recommendations offered by the Office of the Inspector General, which were formulated in an audit of Central Florida District violence and response programs conducted in September 1999 and received in this office on August 1, 2000.

PHYSICAL SECURITY REVIEWS:

The District will conduct annual security reviews in accordance with the provisions of the ASM. Prior to the OIG audit, there was some misunderstanding regarding the requirement to conduct security reviews. It was our understanding that security reviews were only required in offices with 26 or more employees. In FY 2000, security audit reviews are being conducted in all offices in accordance with ASM Chapter 2, Section 27.

MONITORING AND EVALUATION OF CLIMATE INDICATORS:

The District agrees to initiate a more systemic approach to analyzing climate indicators. However, no one indicator can be utilized as a determining factor for potential violence. For instance, due to the broad latitude of what the unions can grieve, a high volume of grievances may not translate to a potentially threatening or violent environment. In addition, the conclusion that high EAP utilization by employees is a possible indicator for negative concerns and potential violence is not necessarily valid. The District has actively marketed the available EAP service to employees.

PO BOX 998800
MID-FLORIDA FL 32799-0800
TELEPHONE (407) 333-4809
FAX: (407) 333-4899

The high utilization rate, we believe, is a good sign that managers are better recognizing the value of this program and that employees are placing greater trust in the resources available to them to assist them in coping with personal, familial, financial, and workplace problems. The District agrees with the observation that it could improve its process for evaluating workplace climate by reviewing relevant key indicators on a periodic basis to provide valuable information about conflict in district facilities. A formal process for this review of relevant climate indicators will be established by AP 1 FY 2001.

WORKPLACE VIOLENCE TRAINING:

In utilizing a statistical sample, the draft report cited a deficiency concerning Violence Awareness Training. However, the draft report did not take into consideration that the Workplace Violence Awareness training was conducted in FY 95/96. This would account for the low percentages for the June 97-June 99 time-frame. Local training office data indicates that for FY 95/96, all EAS managers received 8 hours of Workplace Violence Awareness Training. In addition, in FY 99, all EAS managers received subsequent violence awareness training via the Central Florida Satellite Broadcast (1-hour), a 2-hour mandated Threat Assessment/Crisis Management training, and a 1-hour Workplace Violence Awareness Training. In FY 99, the Workplace Violence Awareness Training (1-hour) was presented to craft employees in local facilities. To provide additional emphasis two specific District satellite broadcasts included segments on violence prevention initiatives. Video tapes, facilitator guides, and training documentation are on file in the Central Florida District Training Office.

For FY 2000, the Central Florida District continued promoting violence awareness with mandated training. All EAS managers once again received the 8-hour Workplace Violence Awareness Training and all craft employees received three 20-minute training segments on violence prevention issues. This is documented on the National Training Database. We have this information available at the Training Office located at the Central Florida District.

THREAT ASSESSMENT PERFORMANCE MEASUREMENTS:

In August of 1999, the Central Florida District developed a tracking database of all Credible Threat Assault reports filed since 1997. This database identifies all threat assessment cases by locale, types of threats and assaults, perpetrators/victims, risk rating, and other pertinent information which assists in assessing potential problem sites. In utilizing this tracking indicator as a performance measurement for TAT effectiveness, data indicates that the Central Florida District TAT interventions and an increased understanding of the Zero Tolerance Policy have contributed to a 75% decrease in assaults from FY 98 to FY 99. This data has also demonstrated the success of the violence training awareness at all levels with statistics showing a sharp decrease in the priority risk rating of the types of incidents. 80% of the incidents in FY 99 were rated with a priority risk scale of 3 or 4 (Low or moderate, or no risk).

In closing, I assure you that the Central Florida District will continue in our commitment to address workplace environment concerns. This is an ongoing commitment. It is one which is being accomplished through our efforts in educating all employees on violence prevention awareness and in increasing the sensitivity and awareness of managers to the assistance available to them in assessing the workplace environment for potentially threatening situations.


Viki M. Brennan