



**PROTECTING WORKPLACE DEMOCRACY**

# ***STRATEGIC PLAN***

## **FY 2014— FY 2018**

GOVERNMENT PERFORMANCE and RESULTS ACT (GPRAMA) of 2010

**February 2014**

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## **I. MESSAGE FROM THE CHAIRMAN AND GENERAL COUNSEL**

On behalf of the National Labor Relations Board, we are pleased to present the NLRB's Strategic Plan for Fiscal Years 2014-2018. This updated strategic plan includes the NLRB's strategic goals, objectives, initiatives, strategies and associated performance measures for managing operations and assessing the NLRB's achievements.

The NLRB is an independent federal agency established in 1935 to promote workplace democracy and, in the words of President Franklin Delano Roosevelt, "to foster the development of the employee contract on a sound and equitable basis." For more than 75 years, the NLRB has been at the forefront of the effort to promote and protect the rights and obligations of employers, unions, and employees under the National Labor Relations Act. This revised Strategic Plan will enable the NLRB to be at the forefront of best practices for long-range planning.

The updated Strategic Plan also includes information to make the American people aware of the direction that the Agency intends to take in order to improve its operations and enhance its performance.

This Strategic Plan includes the two mission-related goals that appeared in the prior plan and adds two supporting goals to help achieve our mission and vision. It addresses the Agency's current challenges as well as outlining what we hope to accomplish. Through use of the performance measures for the supporting goals, as well as the mission-related goals, the NLRB aims to demonstrate transparency and accountability, along with providing a way to assess its progress.

In drafting this Strategic Plan, the NLRB strove to use plain language to provide clarity. We hope this will allow the public to have a more complete understanding of our mission and work, as well as the strategic planning process.

The NLRB will continue to face ongoing challenges, including budgetary constraints. We are prepared to meet them. This updated Strategic Plan will help ensure that we continue to excel in promoting workplace democracy in our nation and in fulfilling the promise of the National Labor Relations Act.

Mark Gaston Pearce  
Chairman

Richard F. Griffin, Jr.  
General Counsel

## II. NATIONAL LABOR RELATIONS BOARD (NLRB) AT A GLANCE

<b>FISCAL YEAR 2013 INFORMATION</b>	
Established:	1935
Number of Employees:	Approximately 1,620
<b>Overall Case Intake:</b>	<b>24,046</b>
Unfair Labor Practice Cases:	21,394
Representation Cases:	2,652
Public Inquiries:	86,215
Toll Free Phone Inquiries:	37,970
<b>NLRB MISSION</b>	
<p>Protecting workplace democracy and the rights of employees, unions and employers under the National Labor Relations Act, in order to promote commerce and strengthen the Nation's economy.</p>	
<b>NLRB VISION</b>	
<p>Achieving our mission through a highly motivated, talented and diverse workforce and effective and efficient stewardship of resources.</p>	
<b>STRATEGIC GOALS</b>	
<ol style="list-style-type: none"> <li>1. Promptly and fairly investigate, prosecute and resolve unfair labor practices under the National Labor Relations Act</li> <li>2. Promptly and fairly resolve all questions concerning representation of employees</li> <li>3. Achieve Organizational Excellence</li> <li>4. Manage agency resources in a manner that instills public trust</li> </ol>	

### III. ORGANIZATIONAL DISCUSSION/OVERVIEW

The National Labor Relations Board (NLRB) is an independent federal agency created in 1935 to administer and enforce the National Labor Relations Act (NLRA). The NLRA is the primary federal statute governing the labor relations of employees and employers in the private sector. The NLRA protects the right of employees to associate together for the purpose of negotiating the terms and conditions of their employment or for other mutual aid or protection aimed at advancing their interests as employees. It seeks to eliminate certain unfair labor practices on the part of employers and unions, in order to promote commerce and strengthen the Nation's economy.

The NLRB has two primary functions:

- To conduct secret-ballot elections among employees to determine whether or not the employees wish to be represented by a union; and
- To investigate, prosecute, and resolve statutorily defined unfair labor practices by employers and unions.

The Board also may engage in rulemaking as necessary to carry out the provisions of the NLRA.

Top Agency leadership consists of the five Board Members and the General Counsel, each of whom is appointed by the President with the advice and consent of the Senate. The President designates one of the five Board Members as Chairman. Day-to-day management of the Agency is divided between the Chairman, the full Board, and the General Counsel. Board members serve staggered five-year terms and the General Counsel serves a term of four years.

The NLRA assigns separate and independent responsibilities to the Board and the General Counsel. The General Counsel's role is chiefly prosecutorial.

The five-member Board primarily acts as a quasi-judicial body in deciding cases on the basis of formal records in administrative proceedings.

Neither the Board nor the General Counsel may initiate cases or investigations. All NLRB proceedings originate with the filing of charges or petitions by employees, labor unions, employers or other private parties. Unlike other federal agencies, Board remedial orders are not self enforcing. There is no time limit requiring parties to petition for court review. If the parties do not voluntarily comply with Board orders remedying unfair labor practices, the Board must request that the appellate courts enforce its orders.

The Board and the General Counsel maintain a headquarters in Washington, D.C.,

and the Agency also maintains a network of Field offices and three satellite offices of administrative law judges. Approximately 70 percent of the Agency's staff is employed in the field, where all unfair labor practice charges and representation petitions are initiated. Currently, the Field offices include 26 Regional Offices, 9 Sub-Regional Offices, and 16 Resident Offices.

#### **IV. STRATEGIC GOALS**

*For detailed information regarding the performance measures please see Appendix A.*

#### **GOAL # 1 (MISSION): PROMPTLY AND FAIRLY INVESTIGATE, PROSECUTE, AND RESOLVE UNFAIR LABOR PRACTICES UNDER THE NATIONAL LABOR RELATIONS ACT**

##### **Objective 1: Achieve established performance measures for the resolution of unfair labor practice charges.**

**Initiative 1:** Achieve established performance measures for the resolution of all meritorious unfair labor practice charges.

**Measure 1:** The percentage of all meritorious unfair labor practice charges resolved by settlement or compliance with a Board Order or Court judgment within 365 days of the filing of the charge.

**Initiative 2:** Achieve established performance measures for the resolution of all unfair labor practice charges.

**Measure 1:** The percentage of all unfair labor practice charges resolved by withdrawal, dismissal, settlement, or compliance with a Board Order or Court judgment within 120 days of the filing of the charge.

##### **Objective 2: Ensure that all matters before the Agency are handled in a fair and consistent manner.**

**Initiative 1:** Conduct annual quality reviews of Regional unfair labor practice case files and institute modifications to case processing as appropriate.

##### **Management Strategies:**

- Maintain and enhance alternative decision-making procedures to expedite Board and ALJ decisions in unfair labor practice cases.
- Utilize Compliance Unit to identify and coordinate compliance in merit cases.
- Maintain and enhance existing interregional assistance programs to ensure that unfair labor practice cases in offices with backlogs are transferred to offices with available staff.
- Share best practices in unfair labor practice processing to assist regions in resolving unfair labor practice case issues promptly and fairly.

## **GOAL # 2 (MISSION): PROMPTLY AND FAIRLY RESOLVE ALL QUESTIONS CONCERNING REPRESENTATION OF EMPLOYEES**

**Objective 1: Achieve established performance measures for the resolution of all questions concerning representation of employees.**

**Initiative 1:** Achieve established performance measures for the resolution of representation cases.

**Measure 1:** The percentage of representation cases resolved within 100 days of filing the election petition.

**Objective 2: Ensure that all matters before the Agency are handled in a fair and consistent manner.**

**Initiative 1:** Conduct annual quality reviews of Regional representation case files and institute modifications to case processing as appropriate.

### **Management Strategies:**

- Maintain and enhance alternative decision-making procedures to expedite Board decisions in representation cases.
- Maintain and enhance existing interregional assistance programs to ensure that representation cases in offices with backlogs are transferred to offices with available staff.
- Identify and utilize procedures to ensure careful and timely processing of Requests for Review, Special Appeals, and Hearing Officer Reports.
- Share best practices in representation case processing to assist regions in resolving representation case issues promptly and fairly.

## **GOAL # 3 (SUPPORT): ACHIEVE ORGANIZATIONAL EXCELLENCE**

**Objective 1: Recruit, develop, and retain a highly motivated, talented, and diverse workforce to accomplish our mission.**

**Initiative 1:** Invest in and value all employees through professional development, workplace flexibilities, fair treatment, and recognition.

### **Management Strategies:**

- Maintain a current human capital plan that includes human capital goals, objectives, and strategies and a workforce plan that is consistent with the Human Capital Assessment and Accountability Framework (HCAAF) of the Office of Personnel Management (OPM).
- Ensure that the Agency's performance management system is results oriented and aligned with the Agency's goals and objectives.
- Demonstrate significant improvement in OPM's assessment of the Agency's performance management system.

- Ensure that managers collaborate with the Agency's employees and unions to implement Agency policies and collective bargaining agreements concerning workplace flexibilities.
- Reduce the number of pending background investigations by 20% each year.
- Enhance employee development and learning opportunities through Skillport, Training Tuesdays, and other blended media.
- Identify, through updating the workforce plan, core competencies for managers and actions necessary to close skill gaps as required by OPM.

**Initiative 2:** Develop and implement recruitment strategies to ensure a highly qualified and diverse workforce.

**Management Strategies:**

- Comply with OPM's hiring reform, which tracks time spent to fill vacancies.
- Identify areas in which the Agency can enhance its diversity and talent through annual analysis of MD-715 guidance.
- Attract qualified and diverse applicants, including veterans and persons with disabilities, by following OPM and Equal Employment Opportunity Commission (EEOC) guidance and utilizing best practices of similar agencies.
- Establish working relationships with veterans groups and Veterans Administration and Department of Labor veterans programs to ensure that outreach efforts to veterans are consistent with OPM, congressional and Presidential directives.

**Objective # 2: Promote a culture of professionalism, mutual respect, and organizational pride.**

**Initiative 1:** Improve employee satisfaction and employee engagement.

**Management Strategies:**

- Improve internal communications.
- Identify and implement strategies to increase the number of employees who respond to the Federal Employee Viewpoint Survey.
- Identify and implement strategies to increase the percentage of Federal Employee Viewpoint Survey responders who are satisfied or very satisfied.
- Develop a collaborative program to encourage employee creativity and innovation, including the Agency's suggestion program.
- Utilize internal and external recognition programs to acknowledge employee contributions (for example: Honorary Awards).

**Initiative 2:** Ensure that employees are aware of the Agency's mission and how they contribute to its accomplishments.



### **Management Strategies:**

- Review and enhance the employee on boarding program.
- Ensure that each employee is provided with a performance plan and a clear understanding of management's expectations.
- Enhance publicity of significant organizational accomplishments.

**Initiative 3:** Cultivate and promote Agency programs that encourage collaboration, flexibility, diversity and mutual respect to enable individuals to contribute to their full potential.

### **Management Strategies:**

- Demonstrate leadership accountability, commitment, and involvement regarding diversity and inclusion.
  - Fully and timely comply with all federal laws, regulations, executive orders, management directives and policies related to promoting diversity and inclusion in the workplace.
  - Provide on-going diversity and inclusion training for senior leadership.
  - Evaluate all levels of management on their proactivity in maintaining an inclusive work environment.
- Involve employees as participants and responsible agents of diversity, mutual respect and inclusion.
  - Reassess Agency mentoring programs to ensure they are used as tools to maintain a diverse workforce by affording a consistency of opportunity throughout all organizational units.
  - Explore the use of employee affinity groups at headquarters and in regional offices for recruitment, retention and developmental activities.
- Encourage participation in special emphasis observances.

## **GOAL # 4 (SUPPORT): MANAGE AGENCY RESOURCES IN A MANNER THAT INSTILLS PUBLIC TRUST**

**Objective # 1: Use information and technology to monitor, evaluate, and improve programs and processes in order to accomplish the agency's mission and increase transparency.**

**Initiative 1:** Improve the productivity of the Agency's case management by standardizing business processes in a single unified case management system.

**Measure 1:** Complete the deployment of the Next Generation Case Management System (NxGen), replacing 11 separate legacy systems, to all Agency mission offices during FY 2015.

**Measure 2:** Increase the rates of electronic service, delivery, and filings, thereby reducing the paperwork burden on constituents, including individuals, labor unions, businesses, government entities and other organizations.

**Measure 3:** Increase the information shared electronically with the public, making the Agency's case processes more transparent.

**Management Strategies:**

- Focus on most critical business needs first.
- Split projects into smaller, simpler segments with clear deliverables.
- Employ ongoing, transparent project oversight from the NxGen Integrated Project Team.

**Initiative 2:** Achieve more effective and efficient program operations in the NLRB administrative functions by automating and improving processes and information sharing within the Agency.

**Measure 1:** Streamline the Agency transactional processes by providing employees ready access to the tools, data and documents they require from anywhere, at any time.

**Measure 2:** Create a modern single unified communications platform and network to empower Agency personnel to communicate with voice, video and data from all locations including the office, at home and on the road by FY 2016.

**Measure 3:** Create a dynamic social collaborative environment for employee engagement.

**Management Strategies:**

- Focus on most critical business needs first.
- Split projects into smaller, simpler segments with clear deliverables.
- Increase information sharing within the Agency through mechanisms that are easy for employees to contribute to and access.
- Employ ongoing, transparent project oversight from the Administrative Systems Integrated Project Team.

**Initiative 3:** Effective management of fiscal resources.

**Measure 1:** Produce financial reports as required by OMB, Treasury, and Congress.

**Measure 2:** Conduct annual training of allowance holders.

**Measure 3:** Conduct training for new allowance holders within 90 days of on boarding.

**Measure 4:** Increase transparency in enterprise financial reporting.

**Measure 5:** Increase use of strategic sourcing, purchase card program, and in sourcing to minimize waste and abuse.

**Measure 6:** Increase number of awards given to minority business enterprises.

## **Objective #2: Evaluate and improve the Agency's Outreach Program**

**Initiative 1:** Enhance Agency's Outreach Program.

### **Management Strategies:**

- Employ further non-traditional outreach to the following populations:
  - Immigration Population
  - Youth
- Engage with organizations, such as those listed below, to better educate workers and employers:
  - Letters of Agreement (LOA) with embassies
  - Joint outreach with sister agencies
  - Memorandums of Understanding (MOU) with other agencies related to co-extensive investigations
- Focus on Protected Concerted Activity vs. Union Activity:
  - Expanded usage of the NLRB's social network
  - Additional information on NLRB public website
  - Broader use of NLRB Smartphone app and other technology
  - Use of Internet technology, such as YouTube
  - Development and internal posting of more informational materials for use by board agents at recruitment and outreach events

## **Objective # 3: Conduct all internal and external Agency business in an ethical and timely manner.**

**Initiative 1:** Promote an ethical culture within the NLRB through leadership, awareness, resources, and oversight.

**Measure 1:** Involve Agency leadership promoting visibility of NLRB Ethics Program.

**Measure 2:** Increase employee awareness of ethics responsibilities by maintaining an education program that reaches all NLRB employees at all levels.

**Measure 3:** Respond to 85% of ethics inquiries within 5 days of receipt.

**Measure 4:** Review and certify financial disclosure reports within 60

days of receipt and notify filers of real or potential conflicts.

**Measure 5:** Use technology to improve financial disclosure reporting and review process.

**Initiative 2:** Respond to internal audits in a timely manner.

**Measure 1:** Prepare responses to internal audit reports as required by the auditor, meeting the deadlines specified in the reports.

**Initiative 3:** Respond to external audits in a timely manner.

**Measure 1:** Prepare responses to external audit reports as required by the auditor, meeting the deadlines specified in the reports.

**Initiative 4:** Respond to FOIA and other public inquiries in a timely manner.

**Measure 1:** Respond to initial FOIA requests within 20 working days.

**Measure 2:** Seek a statutory extension for less than 15% of requests.

**Measure 3:** Respond to statutory appeals within 20 working days.

**Measure 4:** Seek a statutory extension for less than 20% of appeals.

## **V. EXTERNAL FACTORS AFFECTING ACHIEVEMENT OF STRATEGIC PLAN**

Various factors can affect each goal, objective, and performance measure contained in the NLRB's strategic plan. These factors include budget, case intake, settlements, Board member vacancies, and the potential effect of statutory changes.

### BUDGET

Our goals and measures assume full funding of Agency budgets as submitted by the President to Congress. As a labor-intensive agency, over 90% of our budget is dedicated to fixed costs, including about 80% for salaries and benefits. If less than the full funding requested is authorized, the Agency's ability to produce the results and benefits set forth in this plan will be limited.

### CASE INTAKE

While the Agency projects caseload based on known factors and recent history, it cannot control the number of cases filed. Public perceptions about unionization and the role of the Agency, employment trends, stakeholder strategies, globalization of the economy, industrial economic trends, corporate reorganizations and the level of labor-management cooperation efforts can all have an impact on case intake and the complexity of the work. Difficult issues can

arise when companies relocate or close, dissipate or hide assets, file for bankruptcy, reorganize or operate through a different corporate entity. An unexpectedly large increase in intake or in the complexity of issues would likely result in significant delays in processing cases.

### SETTLEMENTS

While the Agency has experienced outstanding success in achieving voluntary resolutions of representation and ULP cases and litigating cases, it cannot control the desires of the other parties. Parties may conclude that litigation serves their strategic interests. The Agency's procedures provide for administrative hearings, briefs and appeals. Disputes cannot always be resolved informally or in an expeditious manner. It is estimated that a one percent drop in the settlement rate will cost the Agency more than \$2 million as the process becomes formal and litigation takes over.

### BOARD MEMBER VACANCIES

The timely nomination of Presidential appointees and their confirmation by the Senate is another factor outside the control of the Agency. A failure to timely appoint and confirm Board Members can lead to Board Member vacancies for months at a time, affecting the Board's ability to issue decisions. The adverse impact of operating with less than a full Board was fully described in the Congressional hearings conducted by the Government Reform and Oversight Committee. Having a full complement of members increases the Agency's ability to achieve its goals and measures.

## **VI. PROGRAM EVALUATION**

It is difficult for an Agency such as the NLRB to measure "outcomes" in the sense intended by the authors of the Government Performance and Results Act. In the representation case area, the Agency does not control or seek to influence the results of elections, but strives instead to ensure the rights of employees to freely and democratically determine, through a secret ballot election, whether they wish to be represented by a labor organization. In the unfair labor practice area, the aim of the Agency is to prevent industrial strife and unrest that burdens the free flow of commerce. An indicator of success in the achievement of these aims is labor peace. In the absence of a mechanism to accurately gauge "labor peace" or the impact of Agency activities among a range of variables influencing that goal, the NLRB has established two performance measures; timeliness and quality of case processing, from the filing of a representation case petition or unfair labor practice charge to the closing of the case.

The NLRB uses various techniques and mechanisms to evaluate whether programs

are achieving their GPRA goals and other performance targets. The Board monitors the status of all of its cases to determine performance against yearly targets that support the Agency's overarching measures and strategic goals. A committee composed of senior management officials, including the deputy chief counsels of each of the Board Members, meets at the beginning of each month to review the status of cases, to prioritize cases, and to develop lists of cases that the Board Members will jointly focus on each week in order to facilitate the issuance of decisions in those cases. These representatives also report back to the Board Members on performance data and staff workload, among other issues. The Board has an electronic casehandling management system that captures all case events in a database from which case production reports are generated. The Board Members also regularly meet and communicate with each other to discuss cases.

Further, the General Counsel has an evaluation program to assess the performance of its Regional operations. The Quality Review Program of the Division of Operations-Management reviews unfair labor practice, representation, and compliance case files annually to ensure that they are processed in accordance with substantive and procedural requirements and that the General Counsel's policies are implemented appropriately. Those reviews have assessed, among other things, the quality and completeness of the investigative file, the implementation of the General Counsel's priorities in the areas of representation cases, Impact Analysis prioritization of cases, and compliance with Agency decisions. Additionally, complaints and Administrative Law Judges' and Board decisions that constitute significant losses are reviewed to ensure quality casehandling, and the litigation success rate before the Board and before district courts with regard to injunction litigation is monitored. Further, Regional site visits are conducted during which Regional casehandling and administrative procedures are evaluated, and Regional Offices' performance in implementing the General Counsel's priorities is incorporated into the Regional Directors' annual performance appraisals.

In addition to the Division of Operations-Management's regular review of case decisions to determine the quality of litigation, other branches and offices, such as the Office of Appeals, Division of Advice, Contempt, Compliance and Special Litigation Branch, and Office of Representation Appeals, provide valuable insight and constructive feedback on the performance and contributions of field offices. Top Agency management also meets regularly with practice and procedure committees of the American Bar Association to obtain feedback on their members' experiences when practicing before the NLRB.

## **IX. OFFICE OF INSPECTOR GENERAL STRATEGIC PLAN**

**GOAL #1:** PROMOTE ECONOMY, EFFICIENCY, AND EFFECTIVENESS IN THE ADMINISTRATION OF THE AGENCY'S PROGRAMS AND OPERATIONS.

### **OBJECTIVES**

- A. Conduct audits and inspections of the issues, programs and operations of most importance to the Agency.
- B. Achieve positive change by presenting findings, identifying causes of reported problems, and making recommendations that are useful to the Agency.

### **STRATEGIES**

- 1. Ensure that the audit program is aligned with the Agency's Strategic Plan.
- 2. Solicit input from Agency employees to prepare an annual audit work plan.
- 3. Identify ways to improve and strengthen management controls in Agency programs and operations.

**GOAL #2:** PREVENT OR DETECT FRAUD AND ABUSE IN THE AGENCY'S PROGRAMS AND OPERATIONS.

### **OBJECTIVES**

- A. Evaluate all referrals to the OIG in an objective, timely, and lawful manner.
- B. Conduct investigations in a thorough, efficient, timely, and lawful manner.
- C. Monitor referrals under investigation by other offices to ensure appropriate action is taken.

### **STRATEGIES**

- 1. Operate a fraud hotline and advertise its existence and other means for referring matters of possible fraud or abuse to the OIG.

2. Refer matters within the jurisdiction of other Agency offices, e.g., EEO, security, or ethics, to those offices for action.
3. Conduct investigations in accordance with Council of Inspectors General on Integrity and Efficiency (CIGIE) Quality standards, identify program vulnerabilities and recommend ways to prevent program abuse as part of the investigative process.
4. Report immediately to the Chairman and/or the General Counsel any serious or flagrant problems, abuses, or deficiencies.
5. Report expeditiously to the Attorney General potential violations of Federal criminal law.
6. Present findings of wrongdoing to the appropriate officials for action.

**GOAL #3: ESTABLISH A COLLABORATIVE RELATIONSHIP WITH THE CONGRESS, THE BOARD, AND AGENCY EMPLOYEES TO IMPROVE AGENCY OPERATIONS.**

### **OBJECTIVES**

- A. Keep the Chairman, General Counsel, Board, and Congress informed of program or operational vulnerabilities and significant issues.
- B. Respond to requests from program managers for technical advice on changes in program operations or new functions and activities.
- C. Operate in a manner that demonstrates values such as fairness, courtesy, professionalism, empathy, openness, access, and a willingness to listen.

### **STRATEGIES**

1. Issue semiannual reports by April 30 and October 31 each year.
2. Participate in CIGIE projects to improve financial and program operations.
3. Participate in Agency projects or provide technical advice and recommendations as requested.
4. Review and comment on proposed laws and regulations and draft Agency directives.



## APPENDICES

These appendices provide additional information regarding Agency performance measures, further details regarding the Impact Analysis case prioritization process, outlines of the types of cases arising under the Labor Management Relations Act, the basic procedures in the processing of cases within the Agency and overviews of each strategic goal.

### A. Performance Measures

### B. Impact Analysis

### C. Explanation of Types of Cases and Case Handling Procedures

#### C-1. Explanation of Types of Cases

#### C-2. Procedures in Cases Involving Charges of Unfair Labor Practice

#### C-3. NLRB Order Enforcement

#### C-4. Outline of Representation Procedures under Section 9c

### D. Strategic Plan Diagrams

#### D-1. Goal #1 (Mission): Promptly and Fairly Investigate, Prosecute, and Resolve Unfair Labor Practices Under the National Labor Relations Act

#### D-2. Goal #2 (Mission): Promptly and Fairly Resolve All Questions Concerning Representation of Employees

#### D-3. Goal #3 (Support): Achieve Organizational Excellence

#### D-4. Goal #4: Manage Agency Resources in A Manner That Instills Public Trust

## PERFORMANCE MEASURES

In support of our mission related goals, objectives, and initiatives, the Agency has a long, successful history of performance measurement focusing on timeliness and effectiveness in our case handling process – timeliness, because we firmly believe that "justice delayed is justice denied," and effectiveness, because we strive to give customers a response they can trust.

In support of the mission related goals that appeared in the Fiscal Years 2007-2012 strategic plan, the Agency developed two goals that help drive the mission and the vision of the agency. These goals are tied to either management strategies that do not have annual percentage targets or specific projects or deliverables that can be accounted for with a "yes" or a "no".

### **GOAL 1, Objective 1, Initiative 1:**

**Measure 1:** The percentage of all meritorious unfair labor practice charges resolved by settlement or compliance with a Board Order or Court judgment within 365 days of the filing of the charge.

<b>Baseline:</b>		82.5%
<b>Long-term target:</b>	FY 2018	82.8%
<b>Annual targets:</b>	FY 2014	82.5%
	FY 2015	82.5%
	FY 2016	82.6%
	FY 2017	82.7%
	FY 2018	82.8%

**GOAL 1, Objective 1, Initiative 2:**

**Measure 1:** The percentage of all unfair labor practice charges resolved by withdrawal, dismissal, settlement, or compliance with a Board Order or Court judgment within 120 days of the filing of the charge.

**Baseline:** 72.3%

**Long-term target:** FY 2018 72.5%

**Annual targets:**

FY 2014	72.3%
FY 2015	72.3%
FY 2016	72.4%
FY 2017	72.4%
FY 2018	72.5%

**Goal 1, Objective 2, Initiative 1:** This initiative consists of management strategies that are not measured by performance; they will be measured by actions and reflected in the Agency Performance Management System. See management strategies on page 6 for Goal 1, Objective 2, Initiative 1.

**Definitions:**

*Resolve* -- The ULP case has been finally processed. The issues raised by the charging party's charge have been answered and where appropriate, remedied. There is no further Agency action to be taken.

*Counting of Days* -- The 120 days is calculated from the date that the charge is docketed.

**GOAL 2, Objective 1, Initiative 1:**

**Measure 1:** The percentage of representation charges resolved within 100 days of filing the election petition.

<b>Baseline:</b>		85.3%
<b>Long-term target:</b>	FY 2018	85.8%
<b>Annual targets:</b>	FY 2014	85.3%
	FY 2015	85.4%
	FY 2016	85.5%
	FY 2017	85.7%
	FY 2018	85.8%

**Goal 2, Objective 2, Initiative 1:** This initiative consists of management strategies that are not measured by performance; they will be measured by actions and reflected in the Agency Performance Management System. See management strategies on page 7 for Goal 2, Objective 2, Initiative 1.

**Definitions:**

*Resolve* -- When a case has been finally processed with no further rights of appeal or administrative action required. The question as to whether or not the labor organization will represent the employees has been finally resolved.

Representation cases are resolved in a number of ways:

- Cases may be dismissed before an election is scheduled or conducted. Dismissals at an early stage in the processing may be based on a variety of reasons, for example, the employer not meeting our jurisdictional standards, the petitioner's failure to provide an adequate showing of interest to support the petition and/or the petition being filed in an untimely manner.

- Cases may also be withdrawn by the petitioner for a variety of reasons including lack of support among the bargaining unit and/or failure to provide an adequate showing of interest.
- The majority of cases are resolved upon either a certification of representative (the union prevails in the election) or a certification of results (the union loses the election).
- In a small percentage of cases there are post-election challenges or objections to the election. These cases are not considered resolved until the challenges and/or objections have been investigated either administratively or by a hearing and a report that has been adopted by the Board.

*Counting of Days* -- The Agency starts counting the 100 days on the date that the petition is formally docketed.

**GOAL 3:** This goal consists of management strategies that are not measured by performance; they will be measured by actions and reflected in the Agency Performance Management System. See Management Strategies on pages 7-9 for Goal 3.

**GOAL 4, Objective 1, Initiative 1:**

**Measure 1:** Complete the deployment of the Next Generation Case Management System (NxGen) system, replacing 11 separate legacy systems, to all Agency mission offices during FY 2015. (Y, N)

**Measure 2:** Increase the rates of electronic service, delivery, and filings, thereby reducing the paperwork burden on constituents, including individuals, labor unions, businesses, government entities and other organizations. (Y, N)

**Measure 3:** Increase in the information shared electronically with the public, making the Agency's case processes more transparent. (Y, N)

**Goal 4, Objective 1, Initiative 2:**

**Measure 1:** Document the streamlined Agency transactional processes wherein employees were provided with ready access to the tools, data and documents they require from anywhere, at any time. (Y, N)

**Measure 2:** Create a modern single unified communications platform and network

to empower Agency personnel to communicate with voice, video and data from all locations including the office, at home and on the road by FY 2016. (Y, N)

**Measure 3:** Document the creation of dynamic social collaborative environments for employee engagement. (Y, N)

**Goal 4, Objective 1, Initiative 3:** Effective management of fiscal resources

**Measure 1:** Produce financial reports as required by OMB, Treasury, and Congress. (Y, N)

**Measure 2:** Conduct annual training of allowance holders. (Y, N)

**Measure 3:** Conduct training for new allowance holders, within 90 days of on boarding. (Y, N)

**Measure 4:** Increase transparency in enterprise financial reporting. (Y, N)

**Measure 5:** Increase use of strategic sourcing, purchase card program, and in sourcing to minimize waste and abuse.

**Measure 6:** Increase number of awards given to minority business enterprises.

**Goal 4, Objective 2, Initiative 1:** This initiative consists of management strategies that are not measured by performance; they will be measured by actions and reflected in the Agency Performance Management System. See management strategies on page 11 for Goal 4, Objective 2, Initiative 1.

**Goal 4, Objective 3, Initiative 1:**

**Measure 1:** Involve agency leadership promoting visibility of NLRB ethics program (Y, N)

**Measure 2:** Increase employee awareness of ethics responsibilities by maintain an education program that reaches all NLRB employees at all levels (Y, N)

**Measure 3:** Respond to 85 % of ethics inquiries within 5 days of receipt (Y, N)

**Measure 4:** Review and certify financial disclosure reports within 60 days of receipt and notify filers of real or potential conflicts

**Measure 5:** Use technology to improve financial disclosure reporting and review process (Y, N)

**Goal 4, Objective 3, Initiative 2:**

**Measure 1:** Prepare responses to internal audits as required by the auditor, meeting the deadlines specified in the reports. (Y, N)

**Goal 4, Objective 3, Initiative 3:**

**Measure 1:** Prepare responses to external audit reports as required by the auditor, meeting the deadlines specified in the reports. (Y, N)

**Goal 4, Objective 3, Initiative 4:**

**Measure 1:** Respond to initial FOIA requests within 20 working days (Y, N)

**Measure 2:** Seek a statutory extension for less than 15% of requests (Y, N)

**Measure 3:** Respond to statutory appeals within 20 working days (Y, N)

**Measure 4:** Seek a statutory extension for less than 20% of appeals (Y, N)

## IMPACT ANALYSIS

Impact Analysis provides an analytical framework for classifying cases so as to differentiate among them in deciding both the resources and the urgency to be given each case. Impact Analysis requires that all cases be assessed in terms of their impact on the public and their significance in the effective achievement of the NLRB's mission. It is a system for differentiating cases so as to ensure that cases with the highest impact on the public are handled most expeditiously.

The Impact Analysis model consists of three categories of cases, with Category III being the cases of the highest impact and Category I the lowest. Categorization is not based upon the type of charge filed or which section of the National Labor Relations Act may have been violated, but upon consideration of the relative impact on the public or a significant number of employees and the core purposes of the Act. A description of the different categories, the types of cases in each, and the applicable time targets, is provided below:

**Category III:** Cases involving the greatest impact on the public and allegations most central to the achievement of the Agency mission.

Timeframe: 7 weeks

Types of Cases:

- First Contract Bargaining Cases – These are cases where there are alleged violations that occur during the period after certification when parties are or should be bargaining for an initial collective bargaining agreement. First contract bargaining constitutes a crucial stage of the negotiation process because it forms the foundation for the parties' future labor-management relationship. Initial contract negotiations are often more difficult than established successor contract negotiations since they often follow contentious representation election campaigns. Moreover, when employees are bargaining for their first collective-bargaining agreement they are highly susceptible to unfair labor practices intended to undermine support for their bargaining representative. Regional Offices have been instructed to focus



particular attention on remedies for such violations and to consider whether injunctive relief should be sought to protect the representational choice of employees. In addition, Regional Offices are also to consider whether additional remedies are appropriate to fully remedy unfair labor practices committed during initial contract bargaining. Such additional remedies would include seeking a new full certification year, notice reading and publication, union access to bulletin boards and other means of communication, periodic reports on the status of bargaining and bargaining and/or litigation expenses.

- Cases where injunctive relief may be warranted
- Representation cases involving the resolution of a question concerning the collective bargaining status of the union
- Cases that block the processing of a representation case
- Unfair labor practice cases in which the establishment or continuation of a union's status as the collective bargaining representative of employees is at stake. This would include: cases involving bargaining orders; the relocation, transfer or elimination of a bargaining unit; cases where the Employer is contesting the certification of the union; and alleged misconduct designed to frustrate a union's ability to obtain an initial contract after certification.
- Cases involving the resolution of the question whether a strike or lockout is based on economic or unfair labor practice considerations
- Any case involving the issue of whether a strike is unprotected and the status of strikers is at issue or the employment status of significant numbers of employees is to be settled
- Cases involving a strike or an intent to strike at a health care institution
- Cases involving a permanent or indefinite loss of employment
- Cases where individuals have been denied work opportunities because of the union's discrimination, including hiring hall refusal to refer allegations. National cases or cases of unusually high impact involving the national application of a provision affecting employment.
- Any case where injunctive relief under either Section 10(l) or 10(j) may be pursued<sup>1</sup>

**Category II:** Cases not included in Categories III or I. They typically involve conduct which affects core rights under the Act, and for which there is no alternative remedy.

Timeframe: 9 weeks

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<sup>1</sup> Under 10(l), the mandatory injunction provision of the Act, the Agency *must* seek injunctive relief in situations where a union's ongoing unlawful conduct violates Section 8(b) or 8(b)(7). In short, if a union is engaged in unlawful picketing or threats to picket when its goal is to force an employer to recognize an uncertified labor organization, or to force an employer to cease doing business with another employer with whom the union has a labor dispute, the Agency will petition the district court for injunctive relief.

Under 10(j), the discretionary injunction provision of the Act, the Agency *may* seek injunctive relief in cases where the time it will take to fully litigate the case significantly diminishes the possibility of a full and effective remedy.

Types of Cases:

- Discrimination cases that do not involve a permanent or indefinite loss of employment
- Refusal to hire cases
- Picket line violence or misconduct cases where injunctive relief is not warranted and the violence of misconduct has ended
- All representation cases that do not involve the resolution of a question concerning the collective bargaining status of the union.
- Refusal to provide information cases
- Cases alleging the unilateral change of terms and conditions of employment
- Cases alleging a union's violation of its duty of fair representation
- Independent allegations of restraint and coercion of employees Section 7 rights under the Act<sup>2</sup>

**Category I:** Cases involving conduct for which alternative means of redress are available to the charging party.

Timeframe: 12 weeks

Types of Cases:

- Cases that can be deferred to the parties' grievance/arbitration procedure
- Pension and welfare contribution collection cases

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<sup>2</sup> The basic rights of employees are articulated in Section 7 of the Act. It is there declared to be Federal labor policy that, "[e]mployees shall have the right to self-organization, to form, join, or assist labor organizations, to bargain collectively through representatives of their own choosing, and to engage in other concerted activities for the purpose of collective bargaining or other mutual aid or protection, and shall also have the right to refrain from any or all such activities...."

## Appendix C. Explanation of Types of Cases and Case Handling Procedures

**TYPES OF NLRB CASES**

**1. CHARGES OF UNFAIR LABOR PRACTICES (C CASES)**

Charges Against Employer		Charges Against Labor Organization				Charge Against Labor Organization and Employer
Section of the Act <b>CA</b>	Section of the Act <b>CB</b>	Section of the Act <b>CC</b>	Section of the Act <b>CD</b>	Section of the Act <b>CE</b>	Section of the Act <b>CF</b>	Section of the Act <b>CG</b>
8(a)(1) To interfere with, restrain, or coerce employees in exercise of their rights under Section 7 (to join or assist a labor organization or to refrain)	8(b)(1)(A) To restrain or coerce employees in exercise of their rights under Section 7 (to join or assist a labor organization or to refrain).	8(b)(4)(i) To engage in, or induce or encourage any individual employed by any person engaged in commerce or in an industry affecting commerce, to engage in a strike, work stoppage, or boycott, or (ii) to threaten, coerce, or restrain any person engaged in commerce or in an industry affecting commerce, where in either case an object is:	(C) To force or require any employer to recognize or bargain with a particular labor organization as the representative of its employees if another labor organization has been certified as the representative	8(g) To strike, picket, or otherwise concernedly refuse to work at any health care institution without notifying the institution and the Federal Mediation and Conciliation Service in writing 10 days prior to such action	8(b)(7) To picket, cause or threaten the picketing of any employer where an object is to force or require an employer to recognize or bargain with a labor organization as the representative of its employees, or to force or require the employees of an employer to select such labor organization as their collective-bargaining representative, unless such labor organization is currently certified as the representative of such employees.	8(e) To enter into any contract or agreement (any labor organization and any employer) whereby such employer ceases or refrains or agrees to cease or refrain from handling or dealing in any product of any other employer, or to cease doing business with any other person
8(a)(2) To dominate or interfere with the formation or administration of a labor organization or contribute financial or other support to it.	8(b)(1)(B) To restrain or coerce an employer in the selection of its representatives for collective bargaining or adjustment of grievances.	(A) To force or require any employer or self-employed person to join any labor organization or to enter into any agreement prohibited by Section 8 (e).	(D) To force or require any employer to assign particular work to employees in a particular labor organization or in a particular trade, craft, or class rather than to employees in another trade, craft, or class, unless such employer is failing to conform to an appropriate Board order or certification		(A) where the employer has lawfully recognized any other labor organization and a question concerning representation may not appropriately be raised under Section 9(c)	
8(a)(3) By discrimination in regard to hire or tenure of employment or any term or condition of employment to encourage or discourage membership in any labor organization	8(b)(2) To cause or attempt to cause an employer to discriminate against an employee.	(B) To force or require any person to cease using, selling, handling, transporting, or otherwise dealing in the products of any other producer, processor, or manufacturer, or to cease doing business with any other person, or force or require any other employer to recognize or bargain with a labor organization as the representative of its employees unless such labor organization has been so certified.			(B) where within the preceding 12 months a valid election under Section 9(c) has been conducted, or	
8(a)(4) To discharge or otherwise discriminate against employees because they have given testimony under the Act.	8(b)(3) To refuse to bargain collectively with employer.				(C) where picketing has been conducted without a petition under Section 9(c) being filed within a reasonable period of time not to exceed 30 days from the commencement of the picketing, except where the picketing is for the purpose of truthfully advising the public (including consumers) that an employer does not employ members of, or have a contract with a labor organization, and it does not have an effect of interference with deliveries or services	
8(a)(5) To refuse to bargain collectively with representatives of its employees.	8(b)(5) To require of employees the payment of excessive or discriminatory fees for membership.					
	8(b)(6) To cause or attempt to cause an employer to pay or agree to pay money or other things of value for services which are not performed or not to be performed					

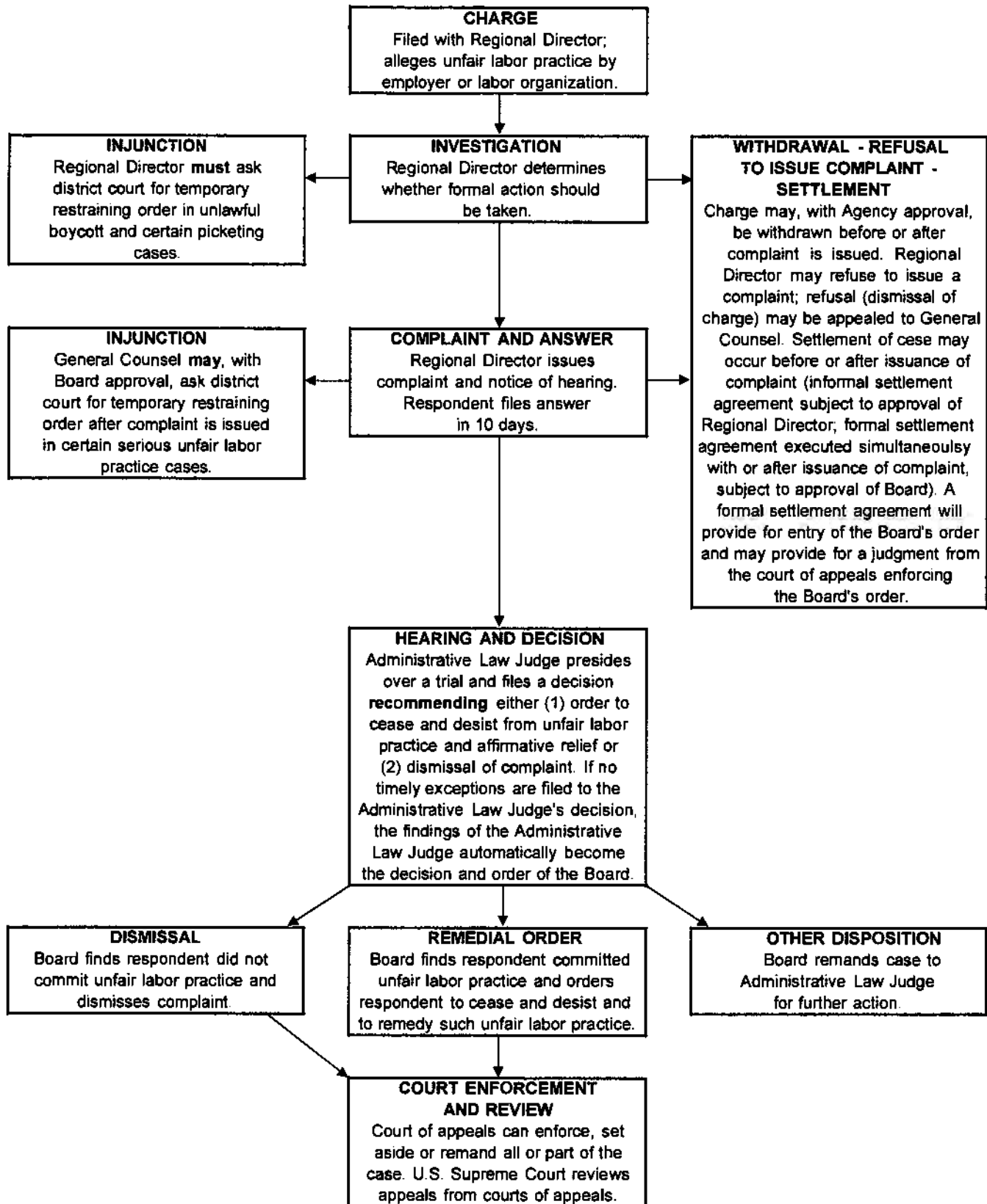
**2. PETITIONS FOR CERTIFICATION OR DECERTIFICATION OF REPRESENTATIVES (R CASES)**

**3. OTHER PETITIONS**

By or in Behalf of Employees		By an Employer	By or in Behalf of Employees	By a Labor Organization or an Employer	
Section of the Act <b>RC</b>	Section of the Act <b>RD</b>	Section of the Act <b>RM</b>	Section of the Act <b>UD</b>	Board Rules <b>UC</b>	Board Rules <b>AC</b>
9(c)(1)(A)(i) Alleging that a substantial number of employees wish to be represented for collective bargaining and their employer declines to recognize their representative. *	9(c)(1)(A)(ii) Alleging that a substantial number of employees assert that the certified or currently recognized bargaining representative is no longer their representative. *	9(c)(1)(B) Alleging that one or more claims for recognition as exclusive bargaining representative have been received by the employer. *	9(e)(1) Alleging that employees (30 percent or more of an appropriate unit) wish to rescind an existing union-security agreement.	Subpart C Seeking clarification of an existing bargaining unit.	Subpart C Seeking amendment of an outstanding certification of bargaining representative.

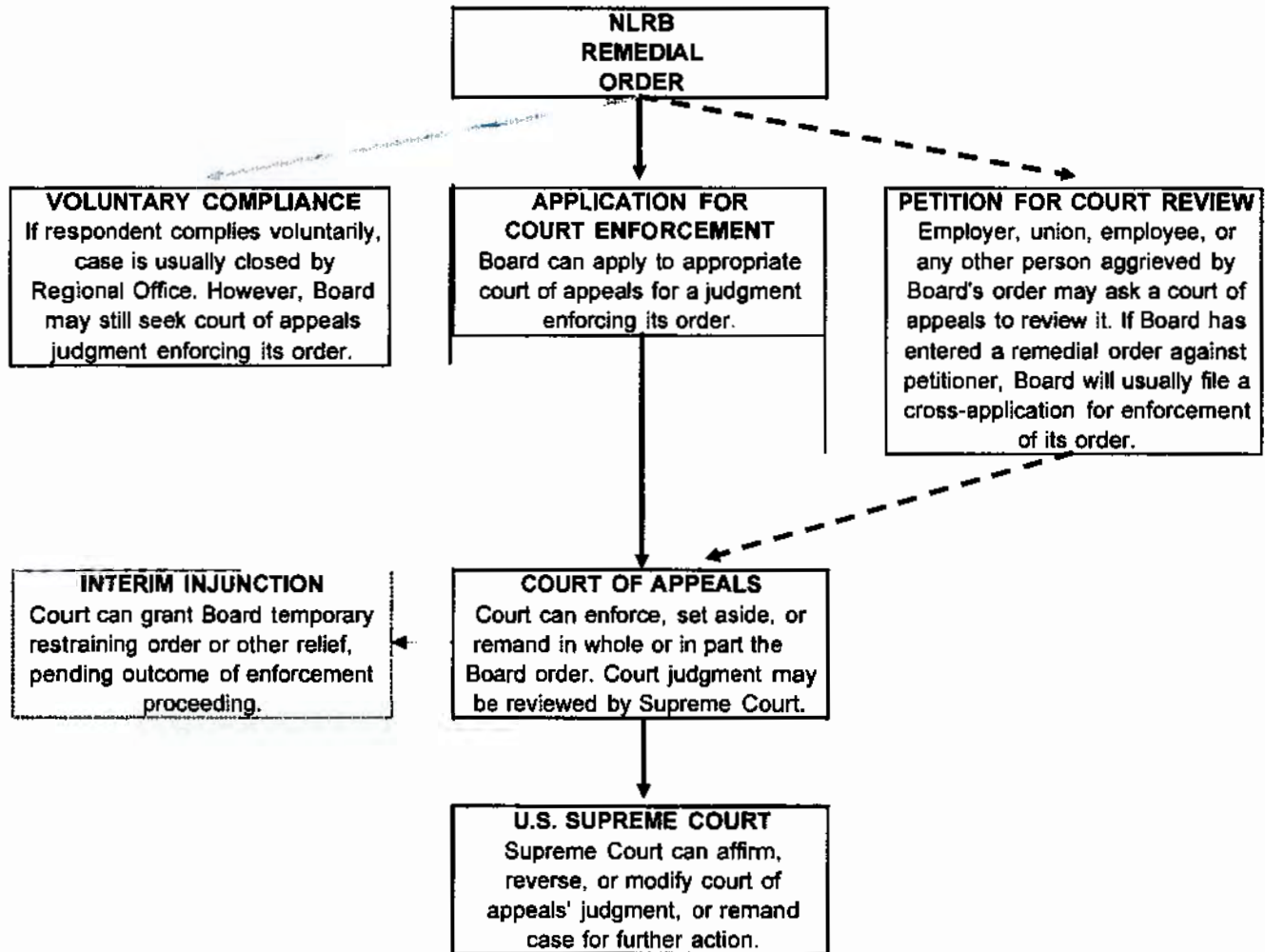
\* If an 8(b)(1) charge has been filed involving the same employer, these statements in RC, RD, and RM petitions are not required.

PROCEDURES IN CASES INVOLVING CHARGES OF UNFAIR LABOR PRACTICES

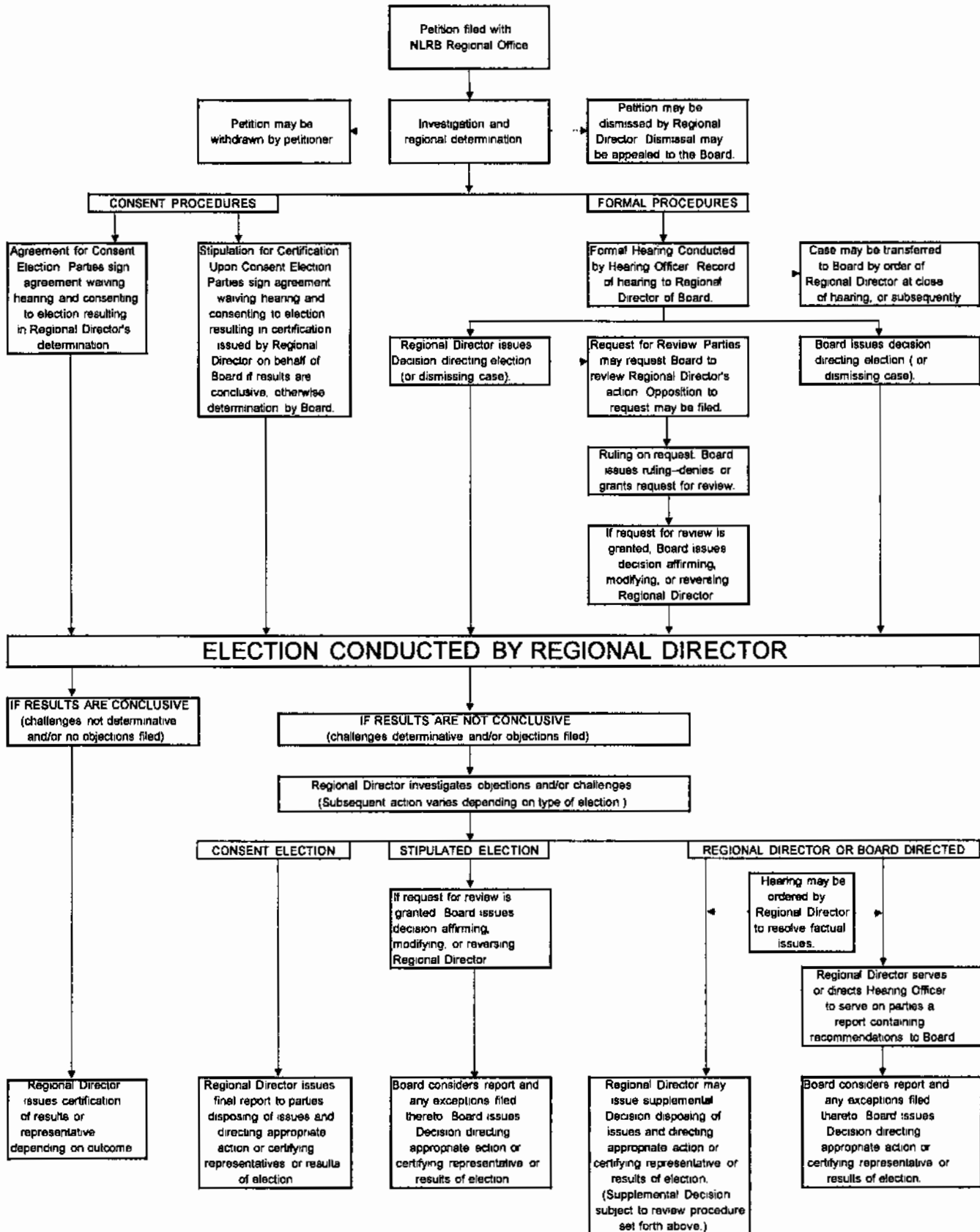


# NLRB ORDER ENFORCEMENT CHART

APPENDIX C-3



OUTLINE OF REPRESENTATION PROCEDURES UNDER SECTION 9(c)



## Appendix D. Strategic Plan Diagrams



**GOAL # 1 (Mission):**  
**PROMPTLY AND FAIRLY INVESTIGATE, PROSECUTE, AND RESOLVE**  
**UNFAIR LABOR PRACTICES UNDER THE NATIONAL LABOR RELATIONS**  
**ACT**

**Objective 1:**  
 Achieve established performance measures for the resolution of unfair labor practice charges.

**Initiative 1:**  
 Achieve established performance measures for the resolution of all meritorious unfair labor practice charges.

**Measure 1:**  
 The percentage of all meritorious unfair labor practice charges resolved by settlement or compliance with a Board Order or Court judgment within 365 days of the filing of the charge.

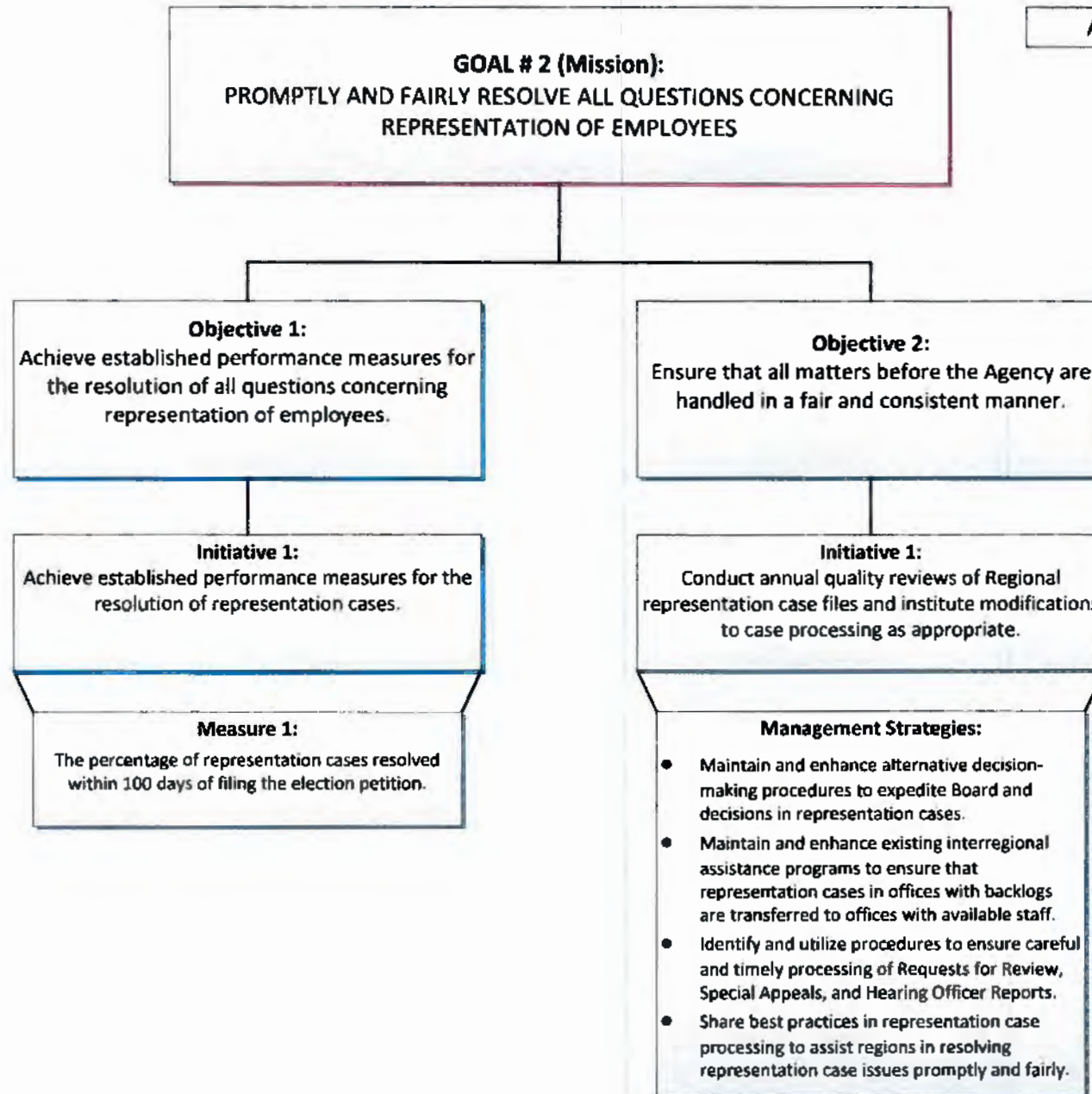
**Initiative 2:**  
 Achieve established performance measures for the resolution of all unfair labor practice charges.

**Measure 1:**  
 The percentage of all unfair labor practice charges resolved by withdrawal, dismissal, settlement, or compliance with a Board Order or Court judgment within 120 days of the filing of the charge.

**Objective 2:**  
 Ensure that all matters before the Agency are handled in a fair and consistent manner.

**Initiative 1:**  
 Conduct annual quality reviews of Regional unfair labor practice case files and institute modifications to case processing as appropriate.

- Management Strategies:**
- Maintain and enhance alternative decision-making procedures to expedite Board and AUJ decisions in unfair labor practice cases.
  - Utilize Compliance Unit to identify and coordinate compliance in merit cases.
  - Maintain and enhance existing interregional assistance programs to ensure that unfair labor practice cases in offices with backlogs are transferred to offices with available staff.
  - Share best practices in unfair labor practice processing to assist regions in resolving unfair labor practice case issues promptly and fairly.



**GOAL # 3 (Support):**  
**ACHIEVE ORGANIZATIONAL EXCELLENCE**

**Objective 1:**

Recruit, develop, and retain a highly motivated, talented, and diverse workforce to accomplish our mission.

**Initiative 1:**

Invest in and value all employees through professional development, workplace flexibilities, fair treatment, and recognition.

**Management Strategies:**

- Maintain a current human capital plan that includes human capital goals, objectives and strategies and a workforce plan that is consistent with the Human Capital Assessment and Accountability Framework (HCAAF) of the Office of Personnel Management (OPM).
- Ensure that the Agency's performance management system is results oriented and aligned with the Agency's goals and objectives.
- Demonstrate significant improvement in OPM's assessment of the Agency's performance management system.
- Ensure that managers collaborate with the Agency's employees and unions to implement Agency policies and collective bargaining agreements concerning workplace flexibilities.
- Reduce the number of pending background investigations by 20% each year.
- Enhance employee development and learning opportunities through Skillport, Training Tuesdays, and other blended media.
- Identify, through updating the workforce plan, core competencies for managers and actions necessary to close skill gaps as required by OPM.

**Initiative 2:**

Develop and implement recruitment strategies to ensure a highly qualified and diverse workforce.

**Management Strategies:**

- Comply with OPM's hiring reform which tracks time spent to fill vacancies.
- Identify areas in which the Agency can enhance its diversity and talent through annual analysis of MD-715 guidance.
- Attract qualified and diverse applicants, including veterans and persons with disabilities, by following OPM and Equal Employment Opportunity Commission (EEOC) guidance and utilizing best practices of similar agencies.
- Establish working relationships with veterans groups and Veterans Administration and Department of Labor veterans programs to ensure that outreach efforts to veterans are consistent with OPM, congressional and Presidential directives.

**Objective 2:**

Promote a culture of professionalism, mutual respect, and organizational pride.

**Initiative 1:**

Improve employee satisfaction and employee engagement.

**Management Strategies:**

- Improve internal communication.
- Identify and implement strategies to increase the number of employees who respond to the Federal Employee Viewpoint Survey.
- Identify and implement strategies to increase the percentage of Federal employee Viewpoint Survey responders who are satisfied or very satisfied.
- Develop a collaborative program to encourage employee creativity and innovation including redeploying the Agency's suggestion program.
- Utilize internal and external recognition programs to acknowledge employee contributions (for example: Honorary Awards).

**Initiative 2:**

Ensure that employees are aware of the Agency's mission and how they contribute to its accomplishments.

**Management Strategies:**

- Review and enhance the employee on boarding program.
- Ensure that each employee is provided with a performance plan and a clear understanding of management's expectations.
- Enhance publicity of significant organizational accomplishments.

**Initiative 3:**

Cultivate and promote Agency programs that encourage collaboration, flexibility, diversity and mutual respect to enable individuals to contribute to their full potential.

**Management Strategies:**

- Demonstrate leadership accountability, commitment, and involvement regarding diversity and inclusion.
- Involve employees as participants and responsible agents of diversity, mutual respect and inclusion.
- Encourage participation in special emphasis observances.

**GOAL # 4 (Support):  
MANAGE AGENCY RESOURCES IN A MANNER THAT INSTILLS PUBLIC TRUST**

**APPENDIX D-4**

**Objective 1:**  
Use information and technology to monitor, evaluate, and improve programs and processes in order to accomplish the Agency's mission and increase transparency.

**Initiative 1:**  
Improve the productivity of the Agency's case management by standardizing business processes in a single unified case management system.

- Measures:**
- Complete the deployment of the Next Generation Case Management System (NxGen), replacing 11 separate legacy systems, to all Agency mission offices during FY 2015
  - Increase the rates of electronic service, delivery, and filings, thereby reducing the paperwork burden on constituents, including individuals, labor unions, businesses, government entities and other organizations.
  - Increase the information shared electronically with the public, making the Agency's case processes more transparent.
- Management Strategies:**
- Focus on critical business needs first.
  - Split projects into smaller, simpler segments with clear deliverables.
  - Ongoing, transparent project oversight from the NxGen Integrated Project Team.

**Initiative 2:**  
Achieve more effective and efficient program operations in the NLRB administrative functions by automating and improving processes and information sharing within the Agency.

- Measures:**
- Streamline the Agency transactional processes by providing employees ready access to the tools, data and documents they require from anywhere, at any time.
  - Create a modern single unified communications platform and network to empower Agency personnel to communicate with voice, video and data from all locations including the office, at home and on the road by FY 2016.
  - Create a dynamic social collaborative environment for employee engagement.
- Management Strategies:**
- Focus on critical business needs first.
  - Split projects into smaller, simpler segments with clear deliverables.
  - Increase information sharing within the Agency through mechanism that are easy for employees to contribute to and access.
  - Employ ongoing, transparent project oversight from the NxGen Integrated Project Team.

**Objective 2:**  
Evaluate and improve the Agency's Outreach Program.

**Initiative 1:**  
Enhance the Agency's outreach program.

- Management Strategies:**
- Employ further non-traditional outreach to the following populations:
    - Immigration Population
    - Youth
  - Engage with organizations, such as those listed below, to better educate workers and employers:
    - Letter of Agreement (LOA) with embassies
    - Joint outreach with sister agencies
    - Memorandums of Understanding (MOU) with other Agencies related to co-extensive investigations
  - Focus on Protected Concerted Activity vs. Union Activity
    - Expanded usage of the NLRB's social network
    - Additional information on NLRB public website
    - Broader use of NLRB Smartphone app and other technology
    - Use of internet technology, such as YouTube
    - Development and internal posting of more informational materials for use by board agents at recruitment and outreach events

**Initiative 3:**  
Effective management of fiscal resources.

- Measures:**
- Produce financial reports as required by OMB, Treasury, and Congress.
  - Conduct annual training of allowance holders.
  - Conduct training for new allowance holders within 90 days of on boarding.
  - Increase transparency in enterprise financial reporting.
  - Increase use of strategic sourcing, purchase card program, and In sourcing to minimize waste and abuse.
  - Increase number of awards given to minority business enterprises.

**Objective 3:**  
Conduct all internal and external Agency business in an ethical and timely manner.

**Initiative 1:**  
Promote an ethical culture within the NLRB through leadership, awareness, resources, and oversight.

- Measures:**
- Involve Agency leadership promoting visibility of NLRB ethics program.
  - Increase employee awareness of ethics responsibilities by maintaining an education program that reaches all NLRB employees at all levels.
  - Respond to 85% of ethics inquiries within 5 days of receipt.
  - Review and certify financial disclosure reports within 60 days of receipt and notify filers of real or potential conflicts.
  - Use technology to improve financial disclosure reporting and review process.

**Initiative 2:**  
Respond to internal audits in a timely manner.

**Measure 1:**  
Prepare responses to internal audit reports as required by the auditor, meeting the deadlines specified in the reports.

**Initiative 3:**  
Respond to external audits in a timely manner.

**Measure 1:**  
Prepare responses to external audit reports as required by the auditor, meeting the deadlines specified in the reports.

**Initiative 4:**  
Respond to FOIA and other public inquiries in a timely manner.

- Measures:**
- Respond to initial FOIA requests within 20 working days.
  - Seek a statutory extension for less than 15% of requests.
  - Respond to statutory appeals within 20 working days.
  - Seek a statutory extension for less than 20% of appeals.