

PART 1 ATTACHMENTS

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Alternative Dispute Resolution

ATTACHMENT 1A1

SAMPLE LETTER DESCRIBING POTENTIAL CHARGING PARTY'S PRE-FILING ACTIVITIES

(date)

Potential Charging Party
(name and address)

Dear Mr./Ms. (name):

I am writing because you asked about filing an unfair labor practice charge. Before you file a charge, we suggest you communicate with the other party and try to reach a solution that meets both of your needs. We have found that when parties resolve matters themselves, they have a better chance of improving their relationship. But if the parties agree that you would like the FLRA's assistance, you should jointly request our help. Please see the enclosure which describes the alternative dispute resolution services we provide. We assist parties as much as we can, consistent with staff availability.

If you decide to file an unfair labor practice charge, you must complete FLRA Form 22, Charge Against an Agency, which I have enclosed. Please send the form to my office. Before you complete the form, you should take time to organize your thoughts and collect supporting documents and other evidence. You should ask yourself the following questions:

- Which of the subsections under section 7116 of the Federal Service Labor-Management Relations Statute (Statute) has the other party violated?
- How do I support this allegation?
- What witnesses will support my allegation and what will they say?
- Do the provisions of the collective bargaining agreement have any impact upon the allegations?
- What are my interests in this case and what remedy am I seeking?

After you have organized your information, you should complete the Charge Form. Make sure to sign and date the form and provide the information asked for in each part of the form. You must serve the other party with a copy of the charge, and give my office a written statement that you have completed the service. To support your allegations that an unfair labor practice has been committed, enclose with your charge any documentary evidence and names/telephone numbers of witnesses. If you choose to file a charge by fax, do not fax more than five (5) pages, as stated in our regulations. Our regulations do **not** permit you to send supporting evidence and documents to us by fax. See 5 C.F.R. § 2423.5.

Please answer the "who, what, when, where, and how" questions when describing the alleged violation(s) in section 6 of the form.

- Who, for the Charged Party, violated the Statute (list title)?
- What happened to cause the alleged violation(s)?
- When did the alleged violation(s) happen (dates)?

Please answer these questions, but keep your description of the violations brief.

Shortly after the Region docket the charge, the case will be assigned to an FLRA Field Agent for investigation. The Agent will contact you to talk to you about the process. If you have any questions about the unfair labor practice process, feel free to contact my office for assistance.

Very truly yours,

Regional Director

Enclosure

ATTACHMENT 1A2

Date _____

____-TA-____-

**OFFICE OF THE GENERAL COUNSEL
TECHNICAL ASSISTANCE WORKLOAD FORM
(5 C.F.R. § 2323.1(a))**

CUSTOMER INFO	Party Name (if provided): _____ Type of Contact: <input type="checkbox"/> telephonic <input type="checkbox"/> walk-in <input type="checkbox"/> letter Customer Type: <input type="checkbox"/> unit employee <input type="checkbox"/> union representative <input type="checkbox"/> supervisor/manager <input type="checkbox"/> agency representative <input type="checkbox"/> other _____
INQUIRY	Total Time spent: <input type="checkbox"/> 15 minutes <input type="checkbox"/> 1/2 hour <input type="checkbox"/> 1 hour <input type="checkbox"/> 2 hours <input type="checkbox"/> 1/2 day Rights: <input type="checkbox"/> FSLMRS (the Statute) <input type="checkbox"/> other appeal rights (e.g., EEO, MSPB, OSC, DOL, NLRB) Subject Matter: <input type="checkbox"/> ULP <input type="checkbox"/> REP <input type="checkbox"/> ADR Services <input type="checkbox"/> NEG <input type="checkbox"/> FSIP <input type="checkbox"/> ARB <input type="checkbox"/> other _____
ACTION	<input type="checkbox"/> further discussion <input type="checkbox"/> letter/fax <input type="checkbox"/> e-mail MATERIALS SENT: <input type="checkbox"/> the Statute <input type="checkbox"/> regs <input type="checkbox"/> guidance <input type="checkbox"/> CA form <input type="checkbox"/> CO form <input type="checkbox"/> petition <input type="checkbox"/> decision(s) <input type="checkbox"/> training material <input type="checkbox"/> OGC Manuals (portion of) <input type="checkbox"/> web site referral <input type="checkbox"/> other _____ REFERRAL TO: <input type="checkbox"/> Authority/Docketing <input type="checkbox"/> Authority/CADR <input type="checkbox"/> OGC ADR Services <input type="checkbox"/> EEOC <input type="checkbox"/> MSPB <input type="checkbox"/> OSC <input type="checkbox"/> DOL <input type="checkbox"/> NLRB <input type="checkbox"/> other _____
SUBMITTED BY	Name _____

ATTACHMENT 1B1

ALTERNATIVE DISPUTE RESOLUTION

The Office of the General Counsel (OGC) Alternative Dispute Resolution (ADR) Services Program supports the FLRA's Agency-wide Collaboration and ADR (CADR) initiative. We provide dispute resolution services to resolve parties' labor-management disputes and to assist parties in developing the type of labor-management relationship that is best suited to their own needs. The OGC will work with the parties to customize a program that assists them. The OGC furthers its mission to provide leadership in promoting stable and productive labor-management relationships in the Federal sector by providing ADR programs both before and after an unfair labor practice charge or a representation petition has been filed. The OGC's ADR program is codified in the Regulations. See section 2423.1(a) and (b), 2423.2 and 2423.7 (for ULP disputes) and section 2422.13(a) and (b) (for representation matters).

FAQs

- *Does the OGC provide ADR services before a charge is filed?*
- *Specifically, what types of services does the OGC provide?*
- *Is the Regional Office available to help parties with representation issues that arise before a petition has been filed?*
- *Generally, what are the benefits of the ADR services that the OGC provides?*
- *What types of ADR programs not directly related to a pending ULP case might you consider requesting that the OGC provide?*
- *Specifically, what are some examples of ADR services that the OGC has provided?*
- *Does the OGC provide ADR services that are not directly related to a pending ULP case to requesters in all cases?*
- *Can a union force an agency, or an agency force a union, to participate in a dispute resolution program offered by the OGC?*
- *How do you initiate a request for an ADR service that is unrelated to a pending ULP charge?*
- *What is the cost of providing an ADR service?*
- *Whom should you contact about requesting the delivery of an ADR service?*

ANSWERS

Does the OGC provide ADR services before a charge is filed?

Yes. Upon a joint request of the parties, Regional Office Agents assist parties in resolving unfair labor practice (ULP) disputes prior to the filing of a ULP charge. See section 2423.1(a) of the Regulations. It is the General Counsel's policy to encourage all parties to meet and attempt to resolve ULP disputes before a charge is filed. To that end, if requested or agreed to by both parties, a representative of the Regional Office may be available, in appropriate circumstances, to assist the parties in identifying the underlying issues and their interests and in resolving their dispute.

Specifically, what types of services does the OGC provide?

Under section 2423(b), the parties may request that an OGC Agent provide any of the following services:

- **Facilitation** – Assisting the parties in improving their labor management relationship
- **Intervention** – Using an interest-based technique, intervening when parties are experiencing or expect significant ULP disputes
- **Training** – Training union and management representatives on their rights and responsibilities under the Statute, and how to avoid litigation over those rights

- Education – Working with the parties to recognize the benefits of, and establish processes for, avoiding disputes and resolving disputes by consensual rather than adversarial means

The above services may be requested at any time, i.e., they do not have to be related to a charge. In addition, after the initiation of an investigation, a Region may suggest to parties, as appropriate, that they may benefit from the ADR services.

Is the Regional Office available to help parties with representation issues that arise before a petition has been filed?

Yes. Just like in the ULP arena, upon the joint request of the parties, Regions are available to assist in resolving and narrowing representation issues prior to the filing of a representation petition, see section 2422.13(a) of the Regulations, and after a petition has been filed, see section 2422.13(b).

Generally, what are the benefits of the ADR services that the OGC provides?

- Ensure understanding of, and compliance with, the Statute
- Assist the parties in developing the type of labor-management relationship that best suits them
- Enable Federal agencies and their employees to deliver the highest quality services
- Enhance the quality of work life and the well-being of employees and managers

What types of ADR programs not directly related to a pending ULP case might you consider requesting that the OGC provide?

Upon joint request of the parties, the OGC is available to assist the parties to evaluate the success of their current labor-management relationship and develop the type of labor-management relationship that best meets their interests. The OGC will work with the parties to customize a program that meets their needs. This could include statutory training as well as presentation of information about the types of labor-management relationships options and their characteristics, facilitating a discussion of the parties' respective interests, and, if both parties agree, assisting the parties in developing options and selecting a course of action to achieve their interests.

Specifically, what are some examples of ADR services that the OGC has provided?

- Provided advanced statutory training to union and agency representatives at both the national and local levels. The training gave the participants an opportunity to discuss the law and strategies to interpret and apply the law in a manner that fosters productive labor-management relationships.
- Facilitated the resolution of multiple ULP and representation issues arising from the announced closing of a facility. The parties agreed to develop options for the placement of employees. The ULP charges were withdrawn and the parties' relationship improved.
- Helped parties affected by government-wide reorganizations by facilitating agreements that minimized the need for litigation concerning the reorganization.
- Provided training and facilitation services to assist parties in addressing disputes involving representation issues, such as successorship and accretion created by reorganizations, resulting in a narrowing of the issues and an agreement on the number of petitions to be filed to resolve the representation matters.
- Conducted pre-representation petition filing meeting to explore the effects of a scheduled reorganization affecting several existing bargaining units and assisted the parties in agreeing on the manner in which representational rights would be effectuated during the processing of the representation petitions.

Does the OGC provide ADR services that are not directly related to a pending ULP case to requesters in all cases?

No. The OGC concentrates its limited resources where they have the potential to achieve the greatest results. Based on this objective, Regional Directors consider specific factors in determining whether ADR programs and services are undertaken. Not all of the following factors are relevant to each situation:

- Commitment of the parties to improve their labor-management relationship
- Availability of OGC employees to meet the parties' needs
- Balancing of resource needs among OGC programs

- Organizational level of the Agency and Union
- Character of labor-management relationships
- The OGC's commitment to, and the parties' need for, continued assistance
- Nature and extent of prior assistance
- Acceptability of OGC assistance by the Agency and Union
- OGC involvement furthers dispute resolution

See ULPCHM, Part 1, Chapter B for a more in-depth discussion of each of the criteria listed above.

Can a union force an agency, or an agency force a union, to participate in a dispute resolution program offered by the OGC?

No. These services are only offered upon the parties' joint request. However, as part of processing a ULP charge, the OGC may suggest to the parties, as appropriate, that they may benefit from these ADR services.

How do you initiate a request for an ADR service that is unrelated to a pending ULP charge?

· ADR services may be initiated by the OGC or by a request or agreement of the parties. Depending upon the type of ADR service requested, it may be appropriate to require that the parties jointly agree that the Region provide such services. In any event, the Region provides such services consistent with OGC criteria.

· For example, parties may jointly request skills training or assistance in enhancing their labor-management relationship, or the OGC may suggest to the parties that they may benefit from such training or assistance. Irrespective of how these ADR services are initiated, the OGC creates innovative programs that are responsive to the varying needs of the parties.

What is the cost of providing an ADR service?

Costs may include reimbursement for travel expenses and expenses for training materials.

Whom should you contact about requesting the delivery of an ADR service?

As assigned by each Regional Director, Regional Dispute Resolution Specialists (RDRSs), along with the Regional Office Agents, deliver OGC ADR services within their respective Regions. The RDRS coordinates the day-to-day delivery of such services within their Regional Office and provides coaching and mentoring to Regional Office Agents on the OGC ADR Program. Visit the [OGC's ADR page](#) on the web site for the address and telephone number of each of the Regions and the e-mail address and telephone number for each RDRS.