

EDO Principal Correspondence Control

FROM: DUE: 09/12/02

EDO CONTROL: G20020512  
DOC DT: 08/26/02  
FINAL REPLY:

Kay Coles James  
Office of Personnel Management (OPM)

TO:

Agency Head

FOR SIGNATURE OF :

\*\* GRN \*\*

CRC NO: 02-0566

DESC:

Nominations for the OPM Director's Award for  
Outstanding Alternative Dispute Resolution  
Programs (Nominations Due: 9/18/02)

ROUTING:

Travers  
Paperiello  
Kane  
Norry  
Craig  
Burns/Cyr

DATE: 08/28/02

ASSIGNED TO:

CONTACT:

HR

Bird

SPECIAL INSTRUCTIONS OR REMARKS:

If nominations are made, prepare response for  
Chairman's signature.

Template: SECY-017

E-RIDS: SECY-01

OFFICE OF THE SECRETARY  
CORRESPONDENCE CONTROL TICKET

*Date Printed: Aug 27, 2002 17:18*

---

**PAPER NUMBER:** LTR-02-0566 **LOGGING DATE:** 08/27/2002  
**ACTION OFFICE:** EDO

**AUTHOR:** Kay James  
**AFFILIATION:** OPM  
**ADDRESSEE:** Agency Heads  
**SUBJECT:** Invites nominations for the OPM Director's Award for Outstanding Alternative Dispute Resolution Programs

**ACTION:** Appropriate  
**DISTRIBUTION:** RF

**LETTER DATE:** 08/26/2002  
**ACKNOWLEDGED:** No  
**SPECIAL HANDLING:**

**NOTES:** OCM #11752  
**FILE LOCATION:** Adams

**DATE DUE:** **DATE SIGNED:**

EDO --G20020512

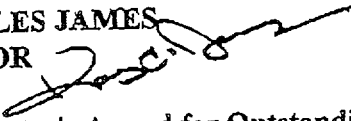


OFFICE OF THE DIRECTOR

UNITED STATES  
OFFICE OF PERSONNEL MANAGEMENT  
WASHINGTON, DC 20416-0001

AUG 26 2002

## MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: KAY COLES JAMES  
DIRECTOR 

SUBJECT: OPM Director's Award for Outstanding  
Alternative Dispute Resolution Programs

I am pleased to announce the opening of competition for the fourth annual OPM Director's Award for Outstanding Alternative Dispute Resolution (ADR) Programs. There is no doubt that ADR is an important tool to effectively and efficiently manage human resources, helping us "get to green" on the President's Human Capital Scorecard.

As you may know, I strongly encourage the use of ADR to resolve workplace disputes rather than the lengthy and formal administrative procedures and litigation. ADR is less costly and results in a more positive long-term solution and improved morale and productivity. The Director's award provides an opportunity for you to showcase the benefits of union and employee participation in the development and administration of your ADR programs. Your shared positive experiences will encourage other agencies to establish ADR programs, and underscore the importance of union and employee involvement in the process.

In addition to the Director's Award for Outstanding ADR Programs, ADR programs can also be recognized in OPM's *Alternative Dispute Resolution: A Resource Guide* which is located on our web site at [www.opm.gov](http://www.opm.gov). Among other things, the *Guide* provides information about ADR programs from across the country along with agency contacts. To add your ADR program to the *Guide*, contact OPM's Employee Relations Division.

I encourage you to review the attached materials on award program eligibility and selection criteria and then nominate any ADR programs that you believe are outstanding. Your nomination will contribute to the expansion of ADR and that leads to a more efficient Government. Good Government is what the President has promised the American people. Nominations are due by September 18, 2002 and questions on the award can be answered by Gary Wahlert of OPM's Employee Relations Division at (202) 606-2920 or email at [gdwahler@opm.gov](mailto:gdwahler@opm.gov).

2 Attachments

cc: Directors of Human Resources  
General Counsels  
Agency Dispute Resolution Specialists  
Offices of Equal Employment Opportunity/Civil Rights  
Federal Executive Boards

## 2002 OPM DIRECTOR'S AWARD FOR OUTSTANDING ALTERNATIVE DISPUTE RESOLUTION PROGRAMS

### Purpose

The OPM Director's Award for Outstanding ADR Programs is intended to:

- Recognize those Federal organizations that are providing innovative and effective ADR programs;
- Encourage the establishment and improvement of highly effective ADR programs throughout the Government; and
- Publicize exemplary ADR programs so they may serve as models for other Federal agencies.

### Scope of Award Program

The use of ADR in workplace disputes increases the parties' opportunities to resolve disputes prior to formal administrative procedures and litigation. ADR is often less costly and time consuming, and can provide long term solutions to employee-employer conflicts through stakeholders' participation and buy-in. In contrast, traditional dispute resolution often imposes a "solution" handed down by a third party, where neither party walks away satisfied, and the disputants' conflict continues or increases. ADR programs often focus on disputes that might otherwise be pursued in a more formal process and may involve employee accountability issues. Programs typically use the services of a neutral person or persons to help the resolution process. Programs also typically identify some process for the retention of neutrals and outstanding programs include some means to evaluate program effectiveness. ADR programs range from the informal to the formal and involve small organizations as well as large.

### Nomination Eligibility

Each department and agency may submit an unlimited number of nominations. Nominations may describe an entire agency program, a regional installation program, or a facility-level program. For purposes of this award, each department within the Department of Defense and the Office of the Secretary of Defense is considered a separate agency. Previous recipients of the Director's Award are not eligible for the 2002 Award (this is a change from previous award eligibility rules). Previous recipients in the Honorable Mention category, however, are eligible for consideration.

## Selection Criteria

OPM encourages organizations to focus their nominations on those elements of their programs that have made contributions to effective and efficient resolution of workplace disputes and have contributed to organizational effectiveness. The following selection criteria will be applied in assessing award nominations. While nominations should address each of the major criteria in some manner, the questions asked are illustrative only, and responses will vary according to the size and type of agency or organization within an agency that operates the program.

### A. Program Development

- Why was the program established and what facilitated its development?
- How were obstacles to development of the program overcome?
- What are the goals and objectives of the program?
- What types of workplace disputes are covered or excluded by the program?
- What type of ADR technique(s), e.g., mediation, does the program use?

### B. Program Administration

- How does the program work (procedural steps) for individual disputes?
- How is the program staffed and funded?
- How is the program publicized and its use encouraged (required)?
- How is the program integrated with other programs in your agency, e.g., EAP?
- What internal factors, e.g., budget, affect your program and how?

### C. Retention of Neutrals

- What procedures are used by the program to obtain the services of neutrals?
- What criteria does the program use in determining who qualifies as a neutral?
- What are the costs of using neutrals and how are those costs paid?
- How long does it take for neutrals to become involved after their need is established?
- If employee/neutrals are used, how are they trained and what is the training cost?

### D. Training

- How are agency personnel trained to recognize when and how to use ADR?
- What processes are in place to assess training needs and how do they work?
- How does the program judge the success of training already provided?
- Who does the training, who receives it, and how are its costs paid?
- How do (could) other agencies or organizations benefit from your training?

## E. Program Evaluation and Results

- What types of records are used to ascertain the benefits of ADR?
- What concrete cost-savings, including agency staff time, has the program provided?
- How has the program affected dispute resolution processing times and resolution rates?
- What types of specific positive effects can be attributed to the program?
- How has the program changed the culture of your organization?

Supporting materials which the agency or organization believes will assist in the review of the nomination may be submitted in a file attached to the nomination. Such materials could include policy statements, agency regulations, brochures, illustrations, photographs, presentation slides, awards, newspaper and periodical articles, etc.

### Submission of Nominations

Please prepare nominations in **triplicate** using the attached form and submit to:

U.S. Office of Personnel Management  
Director's Award for Outstanding Alternative Dispute Resolution Programs  
Employee Relations Division  
1900 E Street, NW--Room 7425  
Washington, DC 20415-2000

Questions about the nomination process or the award itself may be directed to Gary Wahler of the Employee Relations Division at OPM by telephone at (202) 606-2920 or by email at [gdwahler@opm.gov](mailto:gdwahler@opm.gov).

### Nominations Due Date

All nominations must be received at OPM by **September 18, 2002**, to ensure sufficient time in which to carefully review, evaluate, and select the most outstanding programs.

### Selection of Award Winners

A blue-ribbon panel of judges with backgrounds in ADR will assist OPM by reviewing the nominations and recommending award winners to the Director of OPM. The Director will review these recommendations and make final selections for the awards. The number of awards granted will be determined on the basis of the number and quality of nominations received. Equal consideration will be afforded to both small and large organizations. The winning organizations will receive plaques recognizing their ADR program excellence at a public event late in 2002.

### NOMINATION FORM

#### OPM DIRECTOR'S AWARD FOR OUTSTANDING ALTERNATIVE DISPUTE RESOLUTION PROGRAMS

Please type all information requested and attach a description of the nominated program in triplicate. *The program description should address each of the selection criteria contained in the award announcement.*

Telephone No.

Fax No.

Email

**1. Nominee**

Name of Agency, Department, or Organization

**3. Agency Official to Whom Formal Correspondence is to be Sent**

Name of Organization Submitting Nomination

Name

Name of Program Being Nominated

Title

Address

Address

**2. Contact Person if Further Information is Needed**

Telephone No.

Name

Fax No.

Title

Email

Address

Nominations are due by September 18, 2002.