RECORDS RETENTION
AND
DISPOSITION SCHEDULE

DIVISION OF HUMAN RESOURCES
EMPLOYEE RELATIONS OFFICE

DIVISION OF COURT OPERATIONS
OFFICE OF RECORDS MANAGEMENT

November 1992

DIVISION OF HUMAN RESOURCES
EMPLOYEE RELATIONS OFFICE

TABLE OF CONTENTS

Alternative Work Schedule File 1
Alternative Work Schedule Notebook 1
Bi-Weekly Grievance Report 1
Certification/Decertification Petitions 1
Collective Bargaining Session Records 2
Employee Assistance Program File 2
Employee Grievance/Arbitration Case Files 2
Employee Grievance Tracker Record 3
Employee Lists 3
Employee Organization Leave - Monthly Reporting Form 4
Employee Relations Memo Book 4
Improper Practice Proceedings File 4
M/C (Management/Confidential) Applications 4
M/C Designation Notebooks 5
M/C Tracking Files 5
Manuals 5
Negotiating Unit Code Book 5
Overtime Designation File 5
Union Contract Files 6
Union Contract Negotiation Notes Book 6
Union Contracts - Original 6
Union Files 6
Workers' Compensation Case File 7
Workers' Compensation Day Book 7
Workers' Compensation Tracker 7

INDEX 8

RECORDS RETENTION AND DISPOSITION SCHEDULE

DIVISION OF HUMAN RESOURCES

EMPLOYEE RELATIONS OFFICE

R.S. #	RECORD SERIES	RETENTION
00000.	**ALTERNATIVE WORK SCHEDULE FILE**	
	Record used to track requests for alternative work schedules. Contains names, titles, and work schedules.	Retain data for 5 years, then destroy.
00000.	**ALTERNATIVE WORK SCHEDULE NOTEBOOK**	
	Binder containing general information and correspondence sent to unions regarding decisions on alternative work schedule requests.	Retain for 5 years, then destroy.
00000.	**BI-WEEKLY GRIEVANCE REPORT**	
	Report summarizing the status of grievance, arbitration and improper practice cases for the Deputy Chief Administrator. New cases are described in narrative form.	Retain for 1 year, then destroy.
00000.	**CERTIFICATION/DECERTIFICATION PETITIONS**	
	Record created pursuant to the filing of a petition by an employee or a union challenging a bargaining unit designation. Includes petition, letters, memos, notes and decision.	Retain for 6 years, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**COLLECTIVE BARGAINING SESSION RECORDS**	
	File containing materials related to issues common to participating unions. Contains union proposals, Office of Court Administration proposals, correspondence, general rules governing the conduct for collective bargaining negotiations, scheduling, attendance at meetings, and session notes.	Retain permanently for research purposes.
00000.	**EMPLOYEE ASSISTANCE PROGRAM FILE**	
	Record created to document Employee Assistance Programs. Includes statistical information, coordinator and committee lists, annual seminar information, correspondence, information on confidentiality, supervisor training and publicity materials.	Retain for 6 years, then destroy.
00000.	**EMPLOYEE GRIEVANCE/ARBITRATION CASE FILES**	
	Contract, non-contract and out of title grievances brought by unions or individuals against the Office of Court Administration. Materials include official grievance forms, letters, memos, decisions and settlements, unofficial notes, tracking and summary information.	Retain for 35 years after case is resolved, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**EMPLOYEE GRIEVANCE TRACKER RECORD**	
	Record created to track employee grievances. Includes information on employee's negotiating unit, employee's name, date grievance filed, name of attorney assigned to case and date of each transitional stage.	Retain for 35 years after case is resolved, then destroy.
00000.	**EMPLOYEE LISTS (also known as "HERRICK SERIES"**)	
	Three separate computer lists generated from Payroll Department data; used for employment verification and cost analysis. a. ALPHA (LIST BY EMPLOYEE) is used to determine employment verification, worker's compensation eligibility, and collective bargaining analysis. Includes name of employee, social security number, agency line number, title, salary rate, address and negotiating code. b. ALPHA (LIST BY UNION) is used for cost analysis when developing negotiation proposals. Uses the same employee list as in "a" above, but is sorted by union. Within each union it is further broken down by title in ascending salary order. Also includes the number of employees per union which then determines the number of Employee Organization Leave hours allotted to each union. c. ALPHA (LIST BY EMPLOYEE TITLE) is used for public relations and cost analysis. It lists all employees by title.	Retain until superseded, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**EMPLOYEE ORGANIZATION LEAVE - MONTHLY REPORTING FORM**	
	Document provided by union employees to the Office of Employee Relations indicating the amount of time to be charged to the banked hours provided to the unions. (Pursuant to Collective Bargaining Agreements Section 4.7) Document contains: employee's signature, supervisor's signature, union president's signature, pay period, dates when time was charged to Employee Organization Leave, section number of Collective Bargaining Agreement for which leave is claimed and name of employee organization.	Retain for 6 years, then destroy.
00000.	**EMPLOYEE RELATIONS MEMO BOOK**	
	Binder containing all policy, statements, modifications of policy, etc. from the Director of Employee Relations to all offices and agencies.	Retain permanently for research purposes.
00000.	**IMPROPER PRACTICE PROCEEDINGS FILE**	
	Record reflecting grievance procedures for non-contractual issues. Contains charge, answer, notes, evidence, briefs, transcripts, and decisions.	Retain for 10 years after case is resolved, then destroy.
00000.	**M/C (MANAGEMENT/CONFIDENTIAL) APPLICATIONS**	
	Record created when union or employee challenges M/C designation. Contains application, response from union, PERB documents and transcripts.	Retain for 35 years after case is resolved, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**M/C DESIGNATION NOTEBOOKS**	
	Record of correspondence to payroll and designee regarding evaluations of individual requests for M/C designation status.	Retain for 6 years, then destroy.
00000.	**M/C TRACKING FILES**	
	Record detailing history of M/C positions. Includes title, names of people who held position and date of classification.	Retain permanently for research purposes.
00000.	**MANUALS** may include but are not limited to: **MANAGERS' HANDBOOK, SUPERVISORS' HANDBOOK, EEO STAFF LIAISON HANDBOOK, COURT REPORTERS' MANUAL, WORKERS' COMPENSATION MANUAL, AND EMPLOYEE ASSISTANCE MANUAL**	
	Operational and training manuals related to employee relations matters, prepared by Employee Relations Office and distributed to court personnel.	Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.
00000.	**NEGOTIATING UNIT CODE BOOK**	
	Record of memoranda sent to payroll offices re: standards for determining negotiating unit status for all Office of Court Administration positions.	Retain permanently for research purposes.
00000.	**OVERTIME DESIGNATION FILE**	
	Payroll form for defining title eligibility for overtime and back-up materials documenting determination.	Retain for 5 years, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**UNION CONTRACT FILES**	
	Record of union contract negotiations. Includes negotiating materials, pre-negotiation materials, preliminary discussions, state proposals, collective bargaining negotiations, joint council negotiations, all union negotiations and impasses. Documents include agreements, amendments, notes, special circumstances and contract copies.	Retain permanently for research purposes.
00000.	**UNION CONTRACT NEGOTIATION NOTES BOOK**	
	Contains notes on the status of contract negotiations. Filed by negotiating session by union.	Retain permanently for research purposes.
00000.	**UNION CONTRACTS - ORIGINAL**	
	Official contract signed by the union president and the Director of Employee Relations.	Retain permanently for research purposes.
00000.	**UNION FILES**	
	Includes all documents generated during the life of union contracts.	Retain permanently for research purposes.

R.S. #	RECORD SERIES	RETENTION
00000.	**WORKERS' COMPENSATION CASE FILE**	
	Record of reports and/or claims related to Workers' Compensation. Includes leave applications, medical records, correspondence and Workers' Compensation Board decision.	Retain for 18 years from date of injury or death. OR Retain for 8 years from date of last payment of compensation. OR Retain for 7 years after case closed without an award or trial.
00000.	**WORKERS' COMPENSATION DAY BOOK**	
	Contains copies of all correspondence sent by Office of Employee Relations with regard to workers compensation. Includes leave determinations and request to District Offices re: claims.	Retain for 3 years or until no longer needed, whichever is shorter, then destroy.
00000.	**WORKERS' COMPENSATION TRACKER**	
	Record that tracks activity of Workers' Compensation claims. Includes name, log number, negotiating unit, date claim received, date of first absence, and date of return to work.	Retain for 18 years from date of injury or death. OR Retain for 8 years from date of last payment of compensation. OR Retain for 7 years after case closed without an award or trial.

INDEX

Alternative Work Schedule File 1
Alternative Work Schedule Notebook 1
Bi-Weekly Grievance Report 1
Certification/Decertification Petitions 1
Collective Bargaining Session Records 2
Court Reporters Manual: see Manuals 5
EEO Staff Liaison Handbook: see Manuals 5
Employee Assistance Manual: see Manuals 5
Employee Assistance Program File 2
Employee Grievance/Arbitration Case Files 2
Employee Grievance Tracker Record 3
Employee Lists 3
Employee Organization Leave - Monthly Reporting Form 4
Employee Relations Memo Book 4
Herrick Series: see Employee Lists 3
Improper Practice Proceedings File 4
Managers' Handbook: see Manuals 5
M/C (Management/Confidential) Applications 4
M/C Designation Notebooks 5
M/C Tracking Files 5
Manuals 5
Negotiating Unit Code Book 5
Overtime Designation File 5
Union Contract Files 6
Union Contract Negotiation Notes Book 6
Union Contracts - Original 6
Union Files 6
Workers' Compensation Case File 7
Workers' Compensation Day Book 7
Workers' Compensation Manual: see Manuals 5
Workers' Compensation Tracker 7