

Summary:

The following procedures are being adopted after review of recommendations made by the in house procedures committee based upon its review of OM 13-23. The committee met on two occasions, reviewed the memo and our practices, and suggested the following. I have considered their well-reasoned and comprehensive recommendations and decided to adopt the following procedures. Thank you to all who participated, including our NxPerts Lou Porto, Katy Domagala, and Lil Richter, as well as Patti Wideman, Jesse Feuerstein, Vallana Harris, Paul Murphy, Barbara Keough and Viola Mathis. Anyone who has additional suggestions for improvements in these or other office procedures, please feel free to bring them to Paul Murphy, Lil Richter or me, for consideration. We appreciate and welcome your input.

Paper files: Even though the NxGen file should be complete when the case is closed, as a precaution, the paper files for all closed cases should be retained for a twelve- month period starting on October 1, and ending on Sept. 30 and shredded at the direction of the office manager immediately after the following April 1. This approach will eliminate the need for a tickler system and at the same time ensure that all paper files will be retained until the conclusion of the quality review process for the fiscal year in which the case is closed, or the end of the 10(b) period, whichever is later. The paper file, at closing, should contain a copy of the charge, original signed affidavits and any documents that were not submitted or created electronically. For example, if a party provides exhibits during an affidavit session, as a precaution, they should be retained even though they have been scanned into the NxGen file. On the other hand, if a party submitted a position paper electronically, it will be in NxGen and there is no need to retain a paper copy after the case is closed.

1. Uploading documents and Scanning

Documents must be placed into NxGen in a timely manner. Thus, professionals should ensure that all documents are uploaded *immediately or* as soon as possible after receipt or creation. *In no case should documents remain outside of NxGen for more than a week. Contact logs must be maintained electronically in the NxGen file and updated on a daily basis.*

Professional employees may utilize a scan cover sheet created by the RD Secretary or Acting RD Secretary when they give scanning assignments to support staff employees. The scan cover sheet will provide the support staff with the information necessary to create a barcode and ensure that they, not the professionals, receive the email notification when the document is uploaded. As a result, the support staff will have the initial responsibility to change the status of the uploaded document to the correct status (which will become unnecessary once the upgrade to NxGen is deployed), and verify that all pages were scanned and rotated properly in the electronic file. The support staff will check off the scan sheet confirming that the document is correctly uploaded into NxGen with the correct status. The support staff will then return the document and the scan sheet to the professional. Receipt of the document and the scan sheet will alert the professional that the document is now in NxGen. The professional will always have the ultimate responsibility for double checking to make sure everything was uploaded properly. All documents in a case should be uploaded into NxGen before submitting the case for a Regional determination.

2. Naming Documents

All documents must be named properly and be placed in the correct action. To facilitate this Lil has already emailed everyone a lengthy index of the naming conventions and the actions in which documents are associated.

3. Versioning

Versioning should be used for all documents created in NxGen. Please make use of the check out or quick edit options to accomplish this as these are the best methods for eliminating duplicate documents in NxGen and ensuring that the final approved version of the document is in NxGen. To accomplish this, the Agent will send an email to the supervisor stating that the document is ready for review in NxGen, and the supervisor will send it forward in the same fashion. Once it is approved, the RD Secretary or Acting RD Secretary will save the approval email as EMI.03-XX-XXXXX.RD approval (name of document).

4. Scanned Versions of Signed Documents

To the extent possible, all signed documents should be saved in NxGen as a word document with a conformed signature, and copies of documents with signatures should be maintained in the paper file until the file is destroyed. The RD Secretary or Acting RD Secretary will conform the RD's signature onto documents in NxGen upon receiving the RD's approval email. Once an electronic version of the RD's signature is available, that will be placed on all approved documents either by the RD, the Acting RD, the RD Secretary or Acting RD Secretary.

5. Uploading Emails

The professionals are reminded to try to upload only the last email in a chain. Professionals are free to devise their own method of doing this, which could include waiting until the end of the day to upload all emails that day that are related to a case. All uploads should contain unique identifiers so, for example, the date of the email and the person it was from could be utilized to distinguish a particular email from another.

Everyone, please note that emails with attachments should be named according to the attachment rather than as an email. For example, an email with a position statement attached should be named PST, or an email enclosing a signed affidavit should be named AFF. Where emails contain substantive information, but also have documents attached, the email should be uploaded with the appropriate prefix (LTR, EMI, etc.) and the attached documents should be separately uploaded into NxGen with the appropriate prefix.

6. Verifying Documents in NxGen

Supervisors and agents should, prior to closing the case, ensure that all documents have been uploaded into NxGen and that each document is set to the correct visibility and status. The professional is ultimately responsible for the integrity of the NxGen file.

7. Placing Links to NxGen Documents in FIRs

The Committee noted that some professionals are using this feature and others are not. This is a useful tool and employees are expected to utilize it.

8. Assign Responsibilities for NxGen Tasks

Closed case reports should no longer be utilized. Professionals should complete the remedy section in NxGen and the supervisor should verify that this section has been completed before putting a non-Board withdrawal or informal settlement through for approval. The supervisor is responsible for reviewing those remedies containing a monetary amount and noting their review in NxGen. Please note that all monies collected for funds have to be delineated as backpay in order to be counted. You can place a comment or note in NxGen clarifying that the money is in fact for funds or dues.

Viola will be primarily responsible for scanning documents in the Regional Office and she will report to Barb any other appropriate manager if she is unable to complete the work in a timely manner so it can be distributed to others to complete.

9. Advise Headquarters About Developments

The Assistant to the Regional Director or the Regional Attorney routinely report to Headquarters on cases pending in those offices.

10. Review Reports

Regional management routinely reviews reports in NxGen.

11. Names in NxGen

Upon notice that an employer's or union's correct legal name is different than what was on the charge or petition, the change must be made in NxGen as soon as it is discovered. Professionals can make the change themselves or have a support staff do it, but they are ultimately responsible for ensuring that it is done. Additionally, the agent is ultimately responsible for ensuring that the participant list is updated and correct, and that it reflects all counsel of record in each case. Before a complaint is issued, a check must be made with the Secretary of State to ensure any corporation's correct legal name. That name must be the one used in the complaint and updated into NxGen.

12. Data Entry Forms

Professionals and support staff are reminded that NxGen data entry forms, such as the charge or petition cover sheet and the scan cover sheets, should not be uploaded into NxGen.