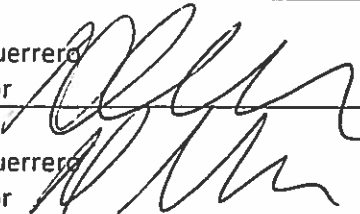



<b>DOC #</b> PMA-1002	<b>Procedure:</b> Receiving and Maintaining Case File	<b>Date:</b> September 22, 2017
<b>Revision Number</b> 0.0	<b>Prepared By:</b> Roland Fejarang Personnel Management Administrator	<b>Date Prepared:</b> September 22, 2017
<b>Effective Date:</b> October 1, 2017	<b>Reviewed By:</b> Daniel D. Leon Guerrero Executive Director 	<b>Date Reviewed:</b> 3/8/2019
<b>Standard:</b> Standard procedure.	<b>Approved By:</b> Daniel D. Leon Guerrero Executive Director 	<b>Date Approved:</b> 3/8/2019

## RECEIVING, MAINTAINING AND CLOSING CASE FILE

### Policy:

The mission is to insure all case files are tracked, updated and maintained from the time of an appeal or complaint until the matter is closed.

### Purpose:

To insure the case files contains all documents associated with the case, that the file is organized, accessible for review, and will be tracked until the matter has been adjudicated and abstracted.

### Scope:

Primarily the Case Manager, however all employees of the Personnel Management Division (PMD) and Legal Division are required to know this policy because of coverage requirements to include all employees of the Legal Division should this matter get appealed to the judicial system.

### Responsibilities:

All employees of the PMD, and the Legal Division.

### Definitions:

None.

### Procedure: (preparation)

- 1.1 Upon receiving a new active case file from the Personnel Management Administrator, the assigned analyst will review the case and insure all documents submitted are reflected in the case docket.
- 1.2 The analyst will then label the case and re-confirm that the first status call conference has been scheduled and the notice is turned over to the Executive Director for signature.
- 1.3 The analyst will then review the excel time standards sheet for approximate scheduling dates, taking into consideration meetings are held on Tuesday or Thursday.

- 1.4 The case file folder should have 6 sections, the 1<sup>st</sup> section is for employees filings, Employees Documents, the 2<sup>nd</sup> section is for the quick summary and overflow of employees filings, the 3<sup>rd</sup> section is for CSC case dockets, CSC Documents, the 4<sup>th</sup> section is for all Notices, the 5<sup>th</sup> section is for the excel time standards and overflow of managements filings, the 6<sup>th</sup> section is for managements filings, Managements Documents.

**Procedure: (action 1)**

- 2.1 Each time a document(s) is filed the original document shall be fastened into the case file in the appropriate section.
- 2.2 Each time the Docket is updated, a new docket shall be fasten to section 3, CSC Documents, each time a Notice is generated, the original notice together with a confirmation receipt shall be fasten to section 4.
- 2.3 The case file folder should have all original copies as much as possible.

**Procedure: (action 2)**

- 3.1 The case manager will maintain and update the file accordingly.
- 3.2 When a final decision is made by the Commission, the signed decision shall be placed into the file and the case manager should proceed to abstract the file.
- 3.3 The abstracted file shall be forwarded to the Personnel Management Administrator for final review and placement into the file room. After the PMA's review the case file will be handed over to the Administrative Section for filing and determination of the records management retention schedule and handled accordingly.

**Procedure: (action 3)**

- 4.1 The retention records schedule will determine when the file(s) should be packaged in a appropriate transfer box for GSA's disposition.

**Effectiveness Criteria:**

- The Personnel Management Administrator should assign the case to an analyst within 5 days.
- The case file folder should be updated and maintained until the case is closed.
- The closed case file folder should be placed into the file room for the required retention period of time.
- The closed case file folder should be filed in a easy system to be located by all office staff should the need arise.
- The closed case file folder should be sent to GSA for their disposition in accordance to the retention of records schedule.

**References:**

Records and retention schedule.

Form Number	Record/Form/Activity Name	Satisfies Clause
CSC - 1001	Receiving and maintaining case file.	Yes