

CLOSING & STRIPPING FILES

INTRODUCTION

All process files are eventually concluded. Normally, files are concluded following the application being withdrawn, the application being settled or the Board ruling on a matter. Reconsideration or judicial review applications extend the life of the file in that it does not go for stripping even though it is concluded and closed.

Generally speaking, the process for handling concluded files is:

- The file is closed in the database by the administrative staff.
- The process file is forwarded to the officer in charge.
- The officer completes a form summarizing the outcome and indicating the resolution type.
- The officer enters a synopsis in the database and returns the process file to the administrative staff. See: [[Synopsis, Chapter 19\(h\)](#)].
- The synopsis is reviewed and signed off by the Director or Manager of Settlement immediately. A signed original of the synopsis is then appended to the relevant BR file.
- Ninety days after the file was closed, the approved file is then stripped of some documents.
- The stripped file is sent to be transferred to microfiche.
- Copies of the microfiche are stored in the Calgary and Edmonton offices.
- The original file is sent to archives and is destroyed after 3 years.

This policy addresses what documents are retained and discarded from each file prior to the file being transferred to microfiche. It includes information on:

- certification files;
- revocation files;
- strike and lockout files; and
- general (“GE”) files.

CERTIFICATION FILES

When stripping a certification file, keep:

- Fax or original of application (whichever is dated the earliest);
- all correspondence received or sent out;
- the officer’s Report;
- the **external** employee list;
- any confirmation memos;

- applications for Notice to Attend/Produce;
- the hearing summary;
- the front page and the conclusion portion of written Board decisions and all pages of letter decisions ;
- photocopies of any certificates issued;
- Vote Documents (e.g., ballot account and declaration & scrutineers certificate—see below for vote documents to be stripped);
- any Originating Notice of Motion (all pages);
- any Court Decisions/Orders (all pages);
- the supporting documents list; and
- the synopsis.

All ballots should have been pulled from the file. If they are still with the file, they should be placed in an envelope, labelled with the process file and stored in the filing cabinet with other ballots.

When stripping a certification file, discard

- union support (petition/membership cards);
- Notices to Employees/Employer advising of application and/or hearing;
- the **internal** employee list;
- any Notices to Attend/Produce;
- any written submission (sent in lieu of or to supplement oral argument);
- all written Board decisions, except front page and conclusion portion;
- vote documents such as Notice of Vote, Voters List (but **keep** vote documents listed above); and
- all fax copies providing there is an original and it has been cross-referenced to the original.

REVOCATION FILES

When stripping a revocation file, keep:

- the fax or original of application (whichever is dated the earliest);
- all correspondence received or sent out;
- the officer's report and the **external** employee list;
- any confirmation memos;
- Applications for Notice to Attend/Produce;
- any hearing summary;
- the front page and the conclusion portion of written Board decisions and all pages of letter decisions;
- a photocopy of certificate, marked revoked, if revoked

- vote documents (e.g., ballot account and declaration & scrutineers certificate—see below for vote documents to be stripped);
- any Originating Notice of Motion (all pages);
- any Court Decisions/Orders (all pages);
- the supporting documents list; and
- the synopsis.

All ballots should have been pulled from the file. If they are still with the file, they should be placed in an envelope labelled with the file number and stored in the filing cabinet with other ballots.

When stripping a revocation file, discard:

- any petition support;
- all Notices to Employees/Employer advising of application and/or hearing;
- the **internal** employee list;
- Notices to Attend/Produce;
- any written submissions (sent in lieu of or to supplement oral argument);
- written Board decisions (except front page and conclusion portion);
- vote documents such as Notice of Vote, Voters List (but **keep** vote documents listed above); and
- all fax copies providing there is an original and it has been cross-referenced to the original.

STRIKE/LOCKOUT FILES

When stripping a strike or lockout file, keep:

- the fax or original of application (keep whichever is dated the earliest);
- the mediator's report/letter;
- all correspondence received or sent out;
- confirmation memos;
- the Declaration of Strike Vote;
- the supporting documents list; and
- the synopsis.

When stripping a strike or lockout file, discard:

- the Notice of Vote;
- the sample ballot;
- the voters list;
- the notice to commence collective bargaining; and

- all fax copies providing there is an original and it has been cross-referenced to the original.

GENERAL FILES

When stripping a GE file, keep:

- the fax or original of application (whichever is dated the earliest);
- all correspondence received or sent out;
- any Collective Agreements (specifically, keep pages listing parties to the agreement, terms and effective date of the agreement and any signature pages);
- any Constitution and Bylaws (specifically, keep page showing the date and name of union for which the Constitution and Bylaw is for, the rest can be stripped from the file; check to ensure the Board has the most recent copy of the constitution—if not, file this copy in the appropriate CL or CT file);
- affected parties list, if there is one (e.g., if there are a number of parties affected by an application such as a consolidation order, a registration application or something involving the hospital industry, rather than keeping a copy of each letter sent to these parties, keep one copy and generate a list of all affected parties in Word);
- any officer's reports;
- the **external** employee lists;
- any confirmation memos;
- **applications** for Notice to Attend/Produce;
- any hearing summary;
- the front page and the conclusion portion of written Board decisions and the entirety of letter decisions;
- the Originating Notice of Motion (all pages);
- any Court Decisions/Orders (all pages);
- any draft certificates (if the unit description of the certificate is quoted on the covering letter, then it is not necessary to keep a copy of the draft certificate);
- photocopies of any certificates issued or revoked as a result of the application;
- any Notices to Employees that are part of a Directive issued by the Board;
- vote documents (specifically, keep the ballot account and declaration & scrutineers certificate—see below for vote documents to be stripped);
- Section 11 decisions (if report is unsealed, it should remain on the file; if it remains sealed, it can be stripped from the file);
- the supporting documents list; and
- the synopsis.

When stripping a strike or lockout file, discard:

- Notices to Employees/Employer advising of application and/or hearing;

- the **internal** employee list;
- any Notices to Attend/Produce;
- employee petitions;
- any written submissions (sent in lieu of or to supplement oral argument);
- all written Board decisions (except front page and conclusion portion);
- vote documents such as Notice of Vote, voters list (but **keep** vote documents listed above); and
- all fax copies providing there is an original and it has been cross-referenced to the original.

If you have questions about whether or not to discard a specific document, refer them to the Manager or Director.