

UNITED STATES BANKRUPTCY COURT  
FOR THE DISTRICT OF ALASKA

IN THE MATTER OF THE ADOPTION  
OF THE EMPLOYMENT DISPUTE  
RESOLUTION PLAN.

Administrative Order No. 99-01

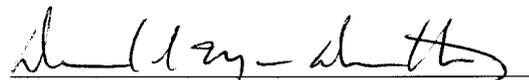
**ORDER ADOPTING EMPLOYMENT DISPUTE RESOLUTION PLAN**

On the court's own motion, IT IS ORDERED:

The Employment Dispute Resolution Plan of the United States District Court for the District of Alaska, approved by the Judicial Council of the Ninth Circuit, a copy of which is annexed hereto and incorporated by reference, is adopted and approved for use in the United States Bankruptcy Court for the District of Alaska, effective immediately. The Clerk shall distribute copies of this order with its attachment to all court employees, including those working in chambers.

DATED: January 4, 1999.

BY THE COURT



DONALD MacDONALD-IV  
United States Bankruptcy Judge

Serve: Chief Judge James K. Singleton, Jr.  
C. Loughran, Asst. Circuit Executive  
W. Wolfe, Clerk

**UNITED STATES DISTRICT COURT**

**DISTRICT OF ALASKA**

**EMPLOYMENT DISPUTE RESOLUTION PLAN**

**(EDR)**



**OFFICE OF THE CLERK OF COURT**

**JANUARY, 1999**

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**EMPLOYMENT DISPUTE RESOLUTION PLAN**  
**United States District Court for the District of Alaska**

**INTRODUCTION:**

Although the title "Employment Dispute Resolution Plan [EDR]" may suggest that it covers employment disputes generally, it should be understood that this plan does not apply to all types of employment disputes. The EDR Plan does NOT replace the Grievance Procedures outlined in Chapter 9 of the District Court Personnel Manual. The EDR Plan does replace the former Equal Employment Opportunity Plan [EEO] dated October 1996 and does provide those protections set forth in Section V of this Plan

**CHAPTER I: GENERAL PROVISIONS**

**Preamble:**

This Plan shall be known as the Employment Dispute Resolution Plan ("EDR Plan"). It was adopted by the District Court for the District of Alaska as required by the Judiciary Model Plan adopted by the Judicial Conference of the United States in order to provide rights and protections to employees of the United States District Court within the District of Alaska which are comparable to those provided to legislative branch employees under the Congressional Accountability Act of 1995.

Upon implementation, this Plan supersedes Appendix I ("Discrimination and Complaint Procedures") of the current Equal Employment Opportunity Plan ("EEO Plan") applicable to this court unit. Claims arising under Chapters II through VII of this Plan, or under Sections I through V of the EEO Plan (*Part A*), shall be treated in accordance with the procedures set forth in Chapter VIII of this Plan. The duties of the court's EEO Coordinator will be assumed by the Employment Dispute Resolution Coordinator (established in Section 3 of Chapter VIII of this Plan), except that the dispute resolution duties assigned to the EEO Coordinator under the EEO Plan will be replaced by the dispute resolution procedures set forth in Chapter VIII of this Plan.

This Plan is to be implemented in the same manner as the EEO Plan. This court has adopted and implemented this plan based upon the Model Plan adopted by the United States Judicial Conference. All modifications from the Model EDR Plan have been approved by the Ninth Circuit Judicial Council. All future modifications to the EDR Plan must likewise be approved by the Ninth Circuit Judicial Council. A copy of this plan and any subsequent modifications shall be filed with the Administrative Office. This court shall annually submit a report on the implementation of the plan to the Administrative Office for inclusion in the Director's Annual Report to the Judicial Conference. A copy of this annual report shall also be provided to the Ninth Circuit Executives Office for forwarding to the Judicial Council of the Ninth Circuit.

Policies adopted by offices within this district or within this court pertaining to adverse action or general grievance proceedings that do not invoke the rights and protections afforded under this EDR Plan are not affected by the Plan. Further, *other* local policies relating to rights enumerated under the Plan that are not

inconsistent with rights and procedures established herein will not be affected by the Plan.

This EDR Plan is not intended to duplicate the protections provided for the resolution of complaints of judicial officer misconduct or disability under 28 U.S.C. § 372c and otherwise is intended to be the exclusive remedy of the employee relating to rights enumerated under the Plan.

**2 Scope of coverage:**

This Plan applies to all Article III judges and other judicial officers for the District Court for the District of Alaska as well as to all employees of the courts and employing offices in this district including chamber staffs, court unit heads and their staffs.

**3 Definitions: For purposes of this Plan:**

- A. The term "employee" includes all individuals listed in Section 2 of this Chapter, as well as applicants for employment and former employees, except as provided below. The term "employee" does not include externs, applicants for magistrate judge positions, private attorneys who apply to represent indigent defendants under the Criminal Justice Act, criminal defense investigators not employed by federal public defenders, volunteer counselors or mediators, or other individuals who are not employees of an "employing office" as that term is defined below.
- B. The term "employing office" includes all units of the District of Alaska. Specifically included are the offices of: clerk of the bankruptcy court, clerk of the district court, chief probation officers, chief pretrial services officers, staff attorneys, and any such offices that might be created in the future. This court is the employing office of a judicial officer's chambers staff.
- C. The term "judicial officer" means a judge appointed under Article III of the Constitution, a United States bankruptcy judge, a United States magistrate judge, or a judge of any court created by Act of Congress in a territory which is invested with any jurisdiction of a district court of the United States.
- D. The term "court" refers to the appropriate court (district or bankruptcy) and probation office in which is located the employing office which would be responsible for redressing, correcting or abating the violation alleged in the complaint.
- E. The term "unit executive" means the respective clerk of the district court, clerk of the bankruptcy court or the chief probation officer.
- F. The term "grievance" refers to complaints regarding conditions of employment that are covered within Section Nine, Grievance Procedures, of the Personnel Manual, and are not covered under this plan.

**CHAPTER II: EQUAL EMPLOYMENT OPPORTUNITY AND ANTI-DISCRIMINATION RIGHTS**

1 **General:** Discrimination against employees based on race, color, religion, sex (including sexual harassment), national origin, age (at least 40 years of age at the time of the alleged discrimination), disability and sexual orientation is prohibited. The rights and protections of Sections I through V of the Equal Employment Opportunity Plan (Part A) shall also apply to employees. Complaints regarding conditions of employment are commonly known as grievances and are covered within Section Nine, Grievances Procedures, of the Personnel Manual for the District of Alaska. Grievances regarding conditions of employment are not covered under this plan.

2 **Definition:** The term "disability" means: (See 42 U.S.C. § 12102(2))

- A. a physical or mental impairment that substantially limits one or more of the major life activities of an employee,
- B. a record of such an impairment, or
- C. being regarded as having such an impairment.

### CHAPTER III: FAMILY AND MEDICAL LEAVE RIGHTS

1 **General:** Title II of the Family and Medical Leave Act of 1993, 29 U.S.C. § 2611, applies to court employees in the manner prescribed in Volume I-C, Chapter X, Subchapter 1630.1, Section R, of the Guide to Judiciary Policies and Procedures

### CHAPTER IV: WORKER ADJUSTMENT AND RETRAINING NOTIFICATION RIGHTS

1 **General:** No "employing office closing" or "mass layoff" (as defined in Section 2 of this Chapter) may occur until the end of a 60-day period after the employing office serves written notice of such prospective closing or layoff to employees who will be affected. This provision shall not apply to an employing office closing or mass layoff that results from the absence of appropriated funds.

2 **Definitions:**

- A. The term "employing office closing" means the permanent or temporary shutdown of a single site of employment if the shutdown results in an employment loss at the single site of employment during any 30-day period for 50 or more employees excluding any part-time employees.
- B. The term "mass layoff" means a reduction in force which: (See 29 U.S.C. § 2101)
  - 1. is not the result of an employing office closing; and
  - 2. results in an employment loss at the single site of employment during any 30-day period for
    - a. (1) at least 33 percent of the employees (excluding any

part-time employees); and

(2) at least 50 employees (excluding any part-time employees); or

b. at least 500 employees (excluding any part-time employees).

## **CHAPTER V: EMPLOYMENT AND REEMPLOYMENT RIGHTS OF MEMBERS OF THE UNIFORMED SERVICES**

**1 General:** An employing office shall not discriminate against an eligible employee or deny an eligible employee reemployment rights or benefits under the Uniformed Services Employment and Reemployment Rights Act, 38 U.S.C. § 4301 et seq.

## **CHAPTER VI: OCCUPATIONAL SAFETY AND HEALTH PROTECTIONS**

**1 General:** Each employing office shall request GSA to provide to its employees a place of employment which is free from recognized hazards that cause or are likely to cause death or serious physical harm to employees. Complaints which seek a remedy that is exclusively within the jurisdiction of the General Services Administration ("GSA") or the United States Postal Service ("USPS") to provide are not cognizable under this Plan; such requests should be filed directly with GSA or the USPS as appropriate.

**2 Court program requirements:**  
See Appendix A.

## **CHAPTER VII: POLYGRAPH TESTS**

**1 General:** No employee may be required to take a polygraph test.

## **CHAPTER VIII: DISPUTE RESOLUTION PROCEDURES**

### **1 General procedure for consideration of alleged violations:**

An employee who claims a denial of the rights granted under Chapters II through VII of this Plan shall seek resolution of such claims through the procedures of this Chapter. Generally, the procedural process consists of:

- A. counseling and mediation
- B. review by the unit executive, for unit executive's office staff
- C. hearing before the chief judge of the court in which the alleged violation arises; and
- D. appeal of the hearing decision under procedures established by the judicial council of the circuit.

**2 General provisions and protections:**

**A. Prohibition against retaliation:**

Complainants under this Plan have the right to be free from retaliation, coercion, or interference because of filing a complaint pursuant to this Plan. Likewise, any person who participates in the filing or processing of a complaint, such as an employment dispute resolution coordinator, mediator, witness, representative, or co-worker, is also entitled to freedom from retaliation.

**B. Right to representation:**

Every individual invoking the dispute resolution procedures of this Plan has the right to be represented by a person of his or her choice if such person is available and consents to be a representative. A court employee may accept the responsibilities of representation if it will not unduly interfere with his or her court duties or constitute a conflict of interest, as determined by the representative's appointing officer.

Note: Employees who wish to be represented must do so at their own expense.

**C. Case preparation:**

To the extent feasible, every individual invoking the dispute resolution procedures of this Plan may with prior approval use a reasonable amount of official time to prepare his or her case, so long as it does not unduly interfere with the performance of his or her court duties.

**D. Extensions of time:**

The unit executive for his staff, or the respective chief judge may extend any of the deadlines set forth in this Chapter for good cause.

**E. Records:**

At the conclusion of formal and informal proceedings under this Plan, all papers, files, and reports will be filed with the court's Employment Dispute Resolution Coordinator ("EDR Coordinator"). No papers, files, or reports relating to a dispute will be filed in any employee's personnel folder, except as necessary to implement an official personnel action.

**3 Designation and duties of employment dispute resolution coordinator:**

The unit executives for district, bankruptcy & probation have designate their respective Personnel Specialist to serve as their unit EDR Coordinator. The duties of such person shall include the following:

- A. to provide information to the court and employees regarding the rights and protections afforded under this Plan;
- B. to coordinate and organize the procedures and establish and maintain official files of the court pertaining to complaints and other matters initiated and processed under the court's employment dispute resolution plan;
- C. to coordinate the counseling of individuals in the initial stages of the complaint process, in accordance with Section 5 of this Chapter. To be handled by the Personnel Specialist; and

D. to collect, analyze and consolidate statistical data and other information pertaining to the court's employment dispute resolution process.

**4. Disqualification Provision:**

Any person seeking disqualification or recusal of an EDR counselor, mediator, or reviewing official shall promptly submit a written statement to the unit executive explaining the reasons for the requested disqualification or recusal. In determining whether disqualification or recusal is warranted, the unit executive shall consider the factors, circumstances and considerations set forth in 28 U.S.C. § 455. If disqualification or recusal is warranted, the unit executive shall designate another individual to act as the EDR counselor, mediator, or reviewing official. Disqualification or recusal of the EDR counselor, mediator or reviewing official of a court shall not be warranted merely because the court is named as a responding party.

**5. Counseling:**

**A. Initiating a proceeding; formal request for counseling:**

An employee who believes that his or her rights under Chapters II through VII of this Plan have been violated must first request counseling from the Personnel Specialist.

**B. Definition of counseling:**

Under the EDR Plan, the term counseling shall mean discussing the employee's concerns; eliciting information regarding the matter which the employee believes constitutes a violation; advising the employee of their rights and responsibilities and the procedures of the court applicable to the employment dispute resolution process; advising the employing office of the employee's concerns regarding the matter which the employee believes constitutes a violation; and reducing to writing any settlement agreement achieved during this process.

**C. Form and manner of requests** - Requests for counseling [See Appendix B for Form].

1. are to be submitted to the unit's EDR Coordinator;
2. must be made in writing; and
3. must be made within 30 days of the alleged violation or within 30 days of the time employee first becomes aware of the alleged violation.

**D. Procedures:**

**1. Who may serve as counselor:**

The counseling shall be conducted by the unit EDR Coordinator, unless the EDR Coordinator is disqualified from serving as counselor under Section 4 of this Chapter, or is otherwise unavailable. In such instances, the unit executive will designate another qualified individual to perform the counseling function. If the dispute involves an alleged violation of this Plan by a judicial officer, the person who conducts the counseling shall be a judicial officer

designated by the respective chief judge.

**2. Purposes of counseling:**

The purposes of the counseling shall be to discuss the employee's concerns and elicit information regarding the matter which the employee believes constitutes a violation; to advise the employee of his or her rights and responsibilities and the procedures of the court applicable to the employment dispute resolution process; to evaluate the matter; and to assist the employee in achieving an early resolution of the matter, if possible.

**3. Confidentiality:**

All counseling shall be kept confidential unless the employee agrees in writing to waive confidentiality of the counseling process for the purpose of allowing the designated counselor to contact the employing office or to attempt a resolution of the disputed matter.

**4. Form of settlement:**

The EDR Coordinator shall reduce to writing any settlement achieved during the counseling process and secure the signatures of the employee, his or her representative, if any, and the member of the employing office who is authorized to enter into settlement on the employing office's behalf.

**E. Duration of counseling period:**

The period for counseling shall be 30 days (or a shorter period if counseling is concluded at an earlier date), beginning on the date that the request for counseling is received by the Personnel Specialist.

**F. Conclusion of the counseling period and notice:**

The EDR Coordinator shall notify the employee in writing of the end of the counseling period. As part of the notice, the EDR Coordinator shall inform the employee of the right and obligation, should the employee choose to pursue his or her claim, to file with the EDR Coordinator a request for mediation in accordance with Section 6 of this Chapter.

**6. Mediation:**

**A. Initiation:**

Within 15 days after receipt by the employee of the notice of the conclusion of the counseling period, the employee may file with the EDR Coordinator a request for mediation. The request must be made in writing and must state the claim(s) presented. Failure to pursue mediation will preclude further processing of the employee's claim under any other provisions of this Chapter.

**B. Procedures:**

**1. Designation of mediator:**

As soon as possible after receiving the request for mediation, the EDR Coordinator shall designate a mediator and provide written notice of such designation.

**2. Who may serve as mediator:**

Any person with the skills to assist in resolving disputes, except the court's EDR Coordinator, may serve as a mediator under this Plan. If the complaint alleges that a judicial officer has violated the rights protected by this Plan, the mediator shall be a judicial officer designated by the chief judge. For unit executive staff, if against the unit executive mediation will be handled by one of the non-involved unit executives.

**3. Purpose of mediation:**

The mediator shall meet separately and/or jointly with the employee and his or her representative, if any, and the employing office to discuss alternatives for resolving a dispute, including any and all possibilities of reaching a voluntary, mutually satisfactory resolution.

**4. Confidentiality:**

Any person or party involved in the mediation process shall not disclose, in whole or in part, any information or records obtained through, or prepared specifically for, the mediation process, except as necessary to consult with the parties or their representatives, and then only with notice to all parties.

**5. Form of settlement:**

The mediator shall reduce to writing any settlement achieved during the mediation process and secure the signature of the employee, his or her representative, if any, and the unit executive who is authorized to enter into settlement on the employing office's behalf.

**C. Duration of mediation period:**

The mediation period shall be 30 days (or a shorter period if mediation is concluded at an earlier date), beginning on the date the request for mediation is received. The employee is required to attend at least one mediation session. Thereafter, he or she may proceed to file a complaint.

**D. Conclusion of mediation period and notice:**

If, at the end of the mediation period, the parties have not resolved the matter that forms the basis of the request for mediation, the EDR Coordinator shall provide the employee, the employee's representative, if any, and the employing office with written notice that the mediation period has concluded. The notice shall also inform the employee of his or her right to file a complaint under Section 7 of this Chapter.

**7. Complaint, review and hearing**

**A. Complaint:**

Not later than 15 days after receiving written notice of the end of the mediation period, the employee alleging a violation of the EDR Plan who participated in the mediation may file a complaint. The complaint must be in the form approved by the court, and must be filed with the unit executive or if against the unit executive, with the respective chief judge. The respondent in all complaints shall be the employing office which would be responsible for redressing, correcting or abating the violation(s) alleged in the complaint. No individual shall be named as a respondent in the complaint.

## B. Review of pleadings:

### 1. **Reviewing official:**

The complaint and any other documents shall be reviewed by the unit executive, or if the complaint in which the action or decision of the unit executive is the subject of a complaint, by a unit executive from another unit designated by the respective chief judge. In the case of a complaint alleging that an Article III judge has violated rights protected by the Plan, that judge may elect to have a hearing conducted by a judge of another court, as designated by the judicial council of the circuit. Any designation of a judicial officer from another court to hear and decide the case shall be arranged by agreement of the chief judges of the affected courts. In the event, the chief judge is unavailable to serve under this subsection or has disqualified or recused himself or herself pursuant to § 4 of this Chapter, the chief judge will designate another judicial officer to serve as the reviewing official.

### 2. **Review procedures:**

After notice to the complainant and an opportunity to respond the unit executive, or if the complaint in which the action or decision of the unit executive is the subject of a complaint, a unit executive from another unit may dismiss in writing any complaint that is found to be a grievance regarding conditions of employment, frivolous, unduly repetitive of a previous complaint, that fails to state a claim upon which relief may be granted, or that makes claims that were not advanced in mediation.

### 3. **Appeal:**

If a complaint is dismissed by a unit executive pursuant to subsection 7.B2, the complainant may appeal to the chief judge or the chief judge's designee who may review the reason for the dismissal to determine if said dismissal was warranted. If the dismissal was not warranted, the complaint will be reinstated.

## C. Hearing procedures

### 1. **Hearing Officer:**

If the unit executive does not dismiss the complaint under the preceding subsection [7B2], the respective chief judge or designated person, acting as the Hearing Officer, shall hold a hearing on the merits of the complaint unless he or she determines that no material factual dispute exists.

### 2. **Specific provisions:**

The Hearing Officer may provide for such discovery and investigation as is necessary. In general, the unit executive or presiding judicial officer shall determine the time, place, and manner of conducting the hearing. However, the following specific provisions shall apply to hearings conducted under this Section:

- a. the hearing shall be commenced no later than 60 days after the filing of the complaint;

- b. the complainant and the head of the office or section against which the complaint has been filed must receive written notice of the hearing; such notice shall also be provided to the individual alleged to have violated rights protected by this Plan whenever such individual is a judicial officer or when the unit executive or presiding judicial officer otherwise determines such notice to be appropriate;
- c. at the hearing, the complainant will have the right to representation at their own expense, to present evidence on his or her behalf, and to cross-examine adverse witnesses; the employing office or section will have the rights to present evidence on its behalf and to cross-examine adverse witnesses;
- d. a verbatim audio record of the hearing must be kept and shall be the sole official record of the proceeding;
- e. in reaching his or her decision, the Hearing Officer, respective chief judge or designated judicial officer) shall be guided by judicial and administrative decisions under the laws related to Chapters II through VII of this Plan and by decisions of the judicial council of the appropriate circuit under Section 8 of this Chapter;
- f. remedies may be provided in accordance with Section 9 of this Chapter where the Hearing Officer finds that the complainant has established by a preponderance of the evidence that a substantive right protected by this Plan has been violated;
- g. the final decision of the chief judge or designated judicial officer must be issued in writing not later than 30 days after the conclusion of the hearing; and
- h. all parties, or any aggrieved individual, shall have the right to written notice of any action taken as a result of a hearing.

**8. Review of decision:**

A party or individual aggrieved by a final decision of the Hearing Officer, chief judge or designated judicial officer, or by a summary dismissal of the complaint, may petition for review of that decision. Such review must be requested in writing to the Judicial Council of the Ninth Circuit no later than 30 days following the date of the final decision of the Hearing Officer, chief judge or the designated judicial officer or following the date of a summary dismissal of the complaint. Any review will be conducted by the members of the Executive Committee of the Ninth Circuit Judicial Council or their designees. The decision of the Executive Committee shall be based on the record created by the Hearing Officer, and the decision of the chief judge or designated judicial officer or summary dismissal shall be affirmed if supported by substantial evidence.

**9. Remedies:**

- A. Where judicial officers acting pursuant to section 7 or 8 of this Plan find that a substantive right protected by this Plan has been violated, they may order a

necessary and appropriate remedy. A remedy may be directed at correcting a past violation, prospectively insuring compliance with the rights protected by this Plan, or both. A remedy shall be tailored as closely as possible to the specific violation involved.

**B. Remedies which may be provided to successful complainants under this Plan include, but are not limited to:**

1. placement of an employee in a position previously denied;
2. placement in a comparable alternative position;
3. reinstatement to a position from which previously removed;
4. prospective promotion to a position;
5. priority consideration for a future promotion or position;
6. back pay and associated benefits, including attorney's fees, where the statutory criteria of the Back Pay Act, 5 U.S.C. § 5596, are satisfied;
7. records modification and/or expungement;
8. "equitable" relief, such as temporary stays of adverse actions;
9. granting of family and medical leave; and
10. accommodation of disabilities through the purchase of specialized equipment or the restructuring of duties and work hours.

**C. Remedies which are *not* legally available include:**

1. payment of attorney's fees (except as authorized under the Back Pay Act);
2. reinstatement to a position that was eliminated due to budget reduction;
3. compensatory damages; and
4. punitive damages.

**10. Record of final decisions:**

The conclusion of the reviewing panel in any final decisions reached in accordance with the provisions of §8 of this Chapter shall be made available to the public from the Office of the Circuit Executive upon written request. Only in the event the panel determines that all or portions of the entire decision should be made public shall additional portions of the decision be made available to the public. The reviewing panel, in the interests of justice and of fairness to the parties, may determine not to make available to the public the conclusion of any final decision if public disclosure would compromise the integrity or legitimate confidentiality of the parties or the

court, or to protect a party or person from annoyance, embarrassment, oppression, undue burden or expense, or for any other reason that the administration of justice may require.

**11. Election of remedies:**

If an employee or an employee representative files an appeal of an adverse action or a grievance in addition to a complaint under this Plan concerning the same or substantially the same subject matter, the employee must elect either (a) the EDR Plan or (b) the grievance/adverse action appeal procedures under which the complaint is to be processed. An employee may not utilize both (a) and (b). Similarly, if a complaint has already been processed under one of these procedures (i.e., the grievance/adverse action appeal procedure or the procedures in this Plan), it may not be the subject of a complaint under the other.

**12 Determining Time Periods:**

The word "days" in all filing and other time periods specified in this plan shall mean calendar days, except that if the deadline date falls on a Saturday, Sunday or holiday, the deadline shall be extended to the following Monday or court business day respectively.

**13 Annual Report:**

The EDR Coordinator will prepare an annual report for the fiscal year, indicating:

1. The number and type of alleged violations for which counseling was conducted.
2. The number and type of alleged violations for which mediation was conducted.
3. The number and type of complaints filed;
4. The number and type of hearings conducted;
5. The number and type of final decisions rendered reflecting the number for which some relief was granted.
6. With respect to all the data supplied in items 1 through 6 above, the allegations or complaints shall be reported according to the Chapter(s) of the EDR Plan involved and, with respect to allegations or complaints under Chapter II, according to the type(s) of discrimination alleged.

## APPENDIX A

### HEALTH AND SAFETY PLAN - UNDER DISTRICT EDR PLAN

#### I. PURPOSE AND SCOPE

A. This Health and Safety Plan [Plan] is established by the District Court for the District of Alaska in order to carry out the obligations assumed under the court's Employment Dispute Resolution [EDR] Plan. It is established in order to provide a work environment, work practices and employee conduct that are conducive to a safe and healthful workplace.

B. This plan applies to all employees covered under the court's EDR Plan, and excludes all persons excluded from coverage under the EDR Plan. It is applicable in all facilities occupied by the District Court.

#### II. AUTHORITY AND RESPONSIBILITIES

A. The employing office shall provide to its employees a place of employment which is free from recognized hazards that cause, or are likely to cause, death or serious physical harm to employees. The appointing officer has the final authority for the actions and decisions taken pursuant to this plan. The appointing officer may delegate his or her authority under this plan. Neither the appointing officer or any other court employee shall incur or be charged with any personal financial or legal liability by virtue of the authority and responsibilities assigned under this plan.

B. It is the responsibility of all employees to work in as safe and healthy a manner as is possible. It is also the responsibility of all employees to report any unsafe or unhealthy working conditions.

C. It is recognized that many aspects of the work environment are not under the control of the appointing officer(s) because of the jurisdiction of the General Services Administration [GSA]. Notwithstanding, the appointing officer(s) of the court will endeavor to have GSA take corrective action where such corrective action is deemed by the appointing officer(s) to be in the best safety and health interests of employees. The appointing officer will see that appropriate coordination is carried out with the representative(s) of GSA who have been assigned to the facility(ies) occupied by the employees covered under this plan.

#### III. PROTECTIVE MEASURES AND ABATEMENT OF UNSAFE OR UNHEALTHY WORK ENVIRONMENT, EQUIPMENT OR PRACTICES

A. The employing office will see that equipment, materials and skills reasonably necessary for a safe work place are available.

B. A means shall be provided whereby employees can report unsafe or unhealthy conditions in the workplace. This method for reporting such conditions is to immediately contact the Personnel Specialist or in her absence the Chief Deputy Clerk or the Clerk.

C. When an unsafe or unhealthy condition is brought to the attention of the appointing officer, and after due evaluation by the appointing officer is thought to require action, the appointing officer will endeavor to take all necessary and feasible steps to abate the unsafe or unhealthy condition.

D. The employing office shall undertake periodic inspections of the work place and shall conduct an investigation of accidents and injuries where the cause of such events is not readily apparent.

E. If abatement measures are required to be taken by another agency (such as by GSA) or if the abatement requires the expenditure of funds not available to the court, the appointing officer shall communicate this to the Ninth Circuit Executives Office and request assistance in resolving the matter.

#### IV. INFORMATION AND TRAINING

A. Employees shall be informed of this health and safety plan, their responsibilities under the plan, and the method by which they should report unsafe or unhealthy working conditions. Employees should also be informed of the Employee Assistance Plan, and how they may avail themselves of its services. Employees should also be informed of medical attention such as use and location of the Health Clinic, and physical examinations to which they may be entitled by virtue of their employment by the U.S. Government.

APPENDIX B

REQUEST FOR COUNSELING UNDER EDR PLAN

\*\*\*\*\*
Before completing this form, please refer to the Employment Dispute Resolution Plan to make sure that your dispute falls within the EDR guidelines. The employee should also review Chapter 9 of the District Court Personnel Manual to see if following the Grievances Procedures outlined in Chapter 9 is more appropriate.
\*\*\*\*\*

1. Full Name of Person Requesting Counseling: \_\_\_\_\_

2. Home Address: \_\_\_\_\_
\_\_\_\_\_

3. Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_

4. Court Unit: \_\_\_\_\_
Job Title: \_\_\_\_\_

5. Name and address of the office from which you seek resolution of your dispute:
\_\_\_\_\_
\_\_\_\_\_
\_\_\_\_\_

6. Date(s) of alleged incident or decision giving rise to this dispute: \_\_\_\_\_
\_\_\_\_\_

7. Please summarize the actions or occurrences giving rise to this dispute:
\_\_\_\_\_
\_\_\_\_\_
\_\_\_\_\_
\_\_\_\_\_

8. The EDR Coordinator will advise the employing office of your concerns regarding the matter which you believe constitutes a violation. Disclosure of information relating to counseling will be limited to that information needed to facilitate the counseling process and then on a need-to-know basis only.

9. What corrective action do you seek in this matter?
\_\_\_\_\_
\_\_\_\_\_
\_\_\_\_\_

This request for Counseling submitted by: (name) \_\_\_\_\_
Date: \_\_\_\_\_ (Signature) \_\_\_\_\_

Date Received: \_\_\_\_\_ Personnel Specialist (Signature)
\_\_\_\_\_