

eCASE

eComplaint

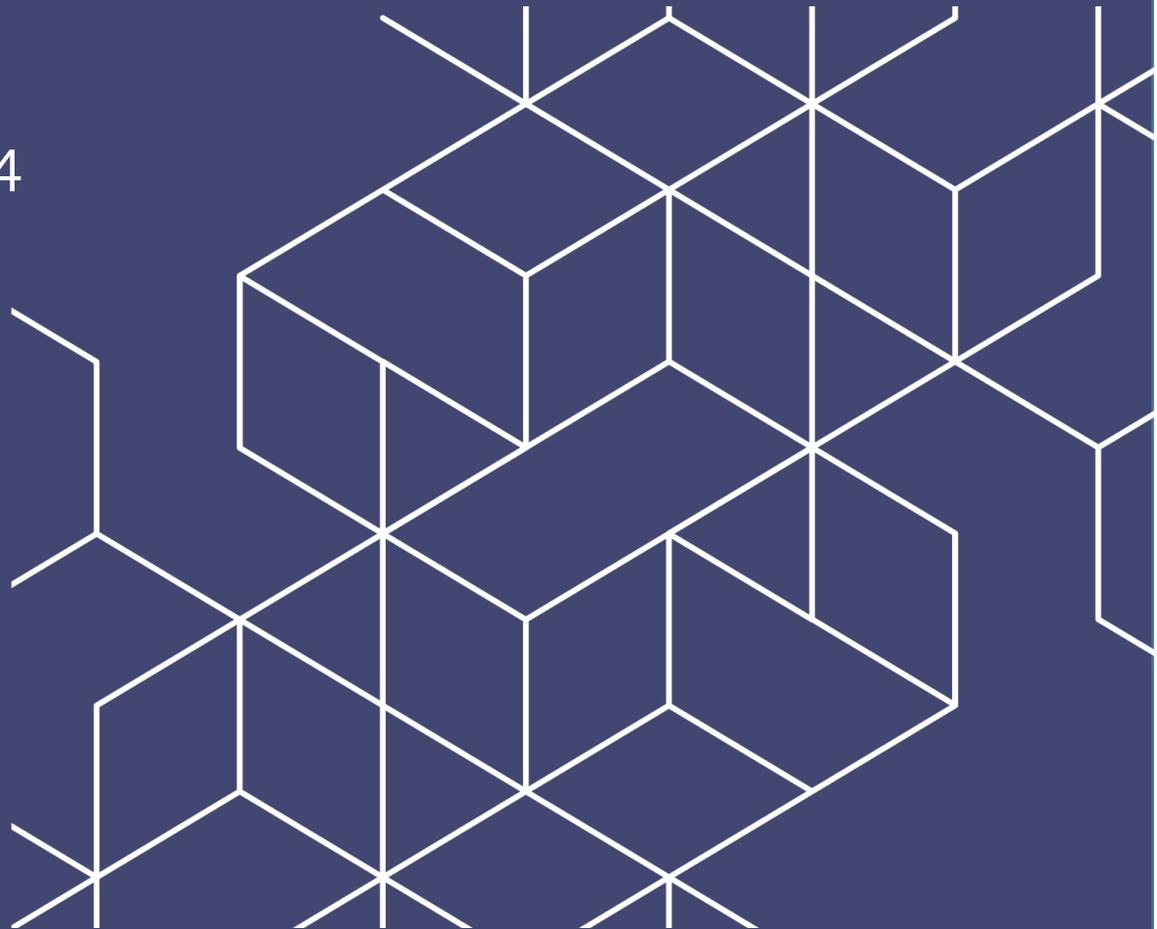


User Manual

Version 2.0

v5.0.0

July 2024



eCASE eComplaint v5.0.0 User Manual

Notice of Rights

Copyright © 2024, AINS, LLC d/b/a OPEXUS. All rights reserved. No part of this publication may be reproduced, transmitted, transcribed, stored in a retrieval system, or translated into any language, in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise, without prior written permission of the publisher: AINS, LLC. For information on obtaining permission for reprints and excerpts, contact info@opexustech.com.

Additionally, all copyrights, confidential information, patents, design rights and all other intellectual property rights of whatsoever nature contained herein are, and shall remain, the sole and exclusive property of the publisher.

Notice of Liability

The information in this publication is believed to be accurate and reliable. However, the information is distributed by the publisher (AINS, LLC.) on an “As Is” basis without warranty for its use, or for any infringements of patents or other rights of third parties resulting from its use.

While every precaution has been taken in the preparation of this publication, neither the author (or authors) nor the publisher will have any liability to any person or entity with respect to any loss or damage caused or alleged to be caused, directly or indirectly, by the information contained in this publication or by the computer software and hardware products described in it.

Notice of Trademarks

The publisher’s company name, company logo, company patents, and company proprietary products are trademarks or registered trademarks of the publisher: AINS, LLC. All other trademarks or registered trademarks are the property of their respective owners.

Non-Disclosure Statement

This document’s contents are confidential and proprietary to AINS, LLC. This document cannot be released publicly or outside the purchasing agency without prior written permission from AINS, LLC.

Images in this manual are used as examples and may contain data and versioning that may not be consistent with your version of the application or information in your environment.

Additional Notice

Information in this documentation is subject to change without notice and does not represent a commitment on the part of AINS, LLC.

Notwithstanding any of the foregoing, if this document was produced as a Deliverable or other work for hire under a contract on behalf of a U.S. Government end user, the terms and conditions of that contract shall apply in the event of a conflict.



Contents

Version History.....	8
Using This Manual.....	8
Acronyms.....	8
1 Introduction to eComplaint.....	10
1.1 About eCASE eComplaint.....	10
1.2 System Roles.....	10
1.3 About this Manual.....	11
1.4 Application Login	12
1.5 eComplaint Dashboard	13
1.6 Case Folder UI	13
1.6.1 Complaint Information	14
1.6.2 Claims and Bases Tab	15
1.6.3 Documents.....	16
1.6.4 Roles.....	18
1.6.5 Contacts.....	22
1.6.6 Fees	24
1.6.7 Corrective Actions	24
1.6.8 Event Log.....	25
1.6.9 Consolidated Complaint.....	26
1.7 General Actions	29
1.7.1 Add Issue	29
1.7.2 Request Due Date Extension	33
1.7.3 Withdraw from Complaint.....	35
2 EEO Contact Processing.....	37
2.1 Create an EEO Contact	37
2.2 EEO Contact Folder.....	40



Contents

- 2.3 Process Inquiry41
- 2.4 Complete EEO Contact43
 - 2.4.1 Create Informal Complaint from an Inquiry44
 - 2.4.2 Assign a Counselor44
 - 2.4.3 Do Not File an EEO Complaint46
- 2.5 Reopen EEO Contact47
- 3 Informal Complaints48
 - 3.1 Create New Informal Complaint48
 - 3.2 Informal Complaint Folder52
 - 3.2.1 Complaint Information Form Fields53
 - 3.2.2 Tabs56
 - 3.3 Anonymity/Rights and Responsibilities58
 - 3.4 Initial Interview59
 - 3.5 Offer ADR60
 - 3.6 Informal Alternative Dispute Resolution61
 - 3.6.1 ADR Acceptance61
 - 3.6.2 ADR Event62
 - 3.6.3 ADR Outcome64
 - 3.7 Traditional Counseling65
 - 3.8 Final Interview67
 - 3.9 Corrective Actions68
 - 3.10 Issue Notice of Right to File69
 - 3.11 Receive and Convert to Formal Complaint71
 - 3.12 Pre-Closure73
 - 3.13 Conduct Final Interview74
- 4 Formal Complaints76
 - 4.1 Create New Formal Complaint76
 - 4.2 Formal Complaint Folder79



Contents

4.2.1	Form Fields.....	80
4.2.2	Tabs	83
4.3	Conversion and Case Folder Processing	84
4.3.1	Acknowledgement of Formal Complaint.....	84
4.3.2	Add Counselor Report.....	86
4.3.3	Assign EEO Specialist	87
4.3.4	Accept/Dismiss Claims.....	87
4.3.5	Send Acceptance/Dismissal Letter	92
4.3.6	Receive FAD/Hearing Request.....	93
4.4	Final Agency Decision	94
4.4.1	Standard FAD	94
4.4.2	FAD with AJ Decision	96
4.5	Complainant Appeal	98
4.5.1	Create an Appeal.....	98
4.5.2	Appeal Decision – Affirm.....	99
4.5.3	Appeal Decision – Denied/Denied in Part.....	99
4.5.4	Reconsideration Request.....	102
4.6	Formal ADR.....	104
4.7	Investigation	106
4.7.1	Assignment of Investigation.....	106
4.7.2	Assign/Reassign Investigator	108
4.7.3	Investigation Plan.....	110
4.7.4	Review Draft ROI.....	111
4.7.5	Send ROI to Complainant	112
4.8	EEOC Hearing.....	114
4.8.1	Hearing Request.....	114
4.8.2	Notice of Hearing.....	115
4.8.3	Forward Complaint File.....	116



Contents

4.8.4	Summary Judgment	117
4.8.5	Reconsideration Request (AJ)	118
4.8.6	Add Interim Order.....	119
4.8.7	Hearing Completed.....	123
4.9	Civil Action	126
4.9.1	Civil Action Decision	126
4.10	Remands	127
4.11	Formal Settlement	129
4.12	Compliance.....	129
4.13	Abeyance.....	131
4.14	Close Complaint	132
5	eComplaint Reports.....	134
5.1	EEO Reports.....	134
5.1.1	462 Reports	134
5.1.2	No Fear Report.....	137
5.1.3	EEO Contacts Report	139
5.1.4	Informal Complaints Report	140
5.1.5	Formal Complaints Report.....	141
5.1.6	15 Day Waiting Report	142
5.1.7	Investigations Report	143
5.1.8	30 Days Election Notice Report	143
5.1.9	Hearings Report	144
5.1.10	Final Agency Decisions Report	144
5.1.11	EEO Decision Report.....	145
5.1.12	30 Days Waiting Period Report.....	145
5.1.13	OFO Appeals Report	146
5.1.14	Closed Report	146
5.2	Custom Reports.....	147



Contents

5.3	Export Reports.....	150
5.4	Save Report Criteria	150
6	eComplaint Configuration Folder	152
6.1	Entities Configuration	152
6.1.1	Create New Office.....	153
6.2	462 Report Configuration.....	155
6.3	462 Report Choice List Values Mapping.....	156
6.4	General Configuration.....	157
6.5	Furlough Configuration.....	162
6.6	Case Number Format Configuration.....	163
6.7	eComplaint – ADR Configuration.....	163



Version History

Version	Date	Revision Summary
1.0	11/15/2023	We've added or revised the following for v4.1.0: <ul style="list-style-type: none">▪ Updated the <i>Tabs</i> section (3.2.2) to include the <i>ADR Case Information</i> tab.▪ Added new information on the Offer ADR process (sections 3.5 and 4.6) around the ADR integration. Users can now opt to create ADR from the ADR Acceptance Details pop-up.▪ Updated the <i>eComplaint Configuration Folder</i> details (sections 6 and 6.7) to include new configuration options for the ADR integration.
2.0	7/16/2024	Versioned for 5.0.0; no functional changes.

Using This Manual

The following formatting conventions are used in this manual to highlight important information:

- *Italicized* text indicates a location, for example a particular *Folder*, *Tab*, or *Window*.
- **Bold** text indicates a specific user action, such as clicking a **button**.
- **Red** text and this symbol (!!) are used in Notes to **bring attention to crucial information**.

Acronyms

All acronyms used in this document are defined in the following table:

Acronym	Definition
ADR	Alternative Dispute Resolution



Acronym	Definition
AJ	Administrative Judge
AP	Aggrieved Person
EEO	Equal Employment Opportunity
FAD	Final Agency Decision
ROI	Report of Investigation
UI	User Interface



1 Introduction to eComplaint

1.1 About eCASE eComplaint

eCASE eComplaint is a complaint processing application developed to run on the eCASE platform. eCASE is a low-code application development platform that provides out-of-the-box features (case management, document management, workflows, business rules, reporting and searching, full text searching on documents and more) required for business applications. If a user has access to other business applications deployed on the eCASE platform, the user can toggle between eComplaint and the other available applications by using the Application Selector.

eComplaint is designed to cover the entire complaint lifecycle, from initial Equal Employment Opportunity (EEO) Contact to initiation of Informal and Formal Complaints, with the ability to document Alternative Dispute Resolution (ADR), Appeals, Investigations, Hearings, Civil Action, and eventually Complaint Closure.

The following subsections provide a high-level view of processing complaints using the eComplaint application:

- *System Roles*: A description of each defined system role in eComplaint, including each role's basic abilities.
- *Application Login*: How to access the application.
- *eComplaint Dashboard*: Description of the unique eComplaint User Interface (UI).
- *Case Folder UI*: How to work within the eComplaint case folder, including descriptions of the various specialized folder tabs.
- *Withdraw from Complaint*: At all points in the process, eComplaint allows the Aggrieved Person to withdraw from the complaint. These steps are outlined in this section.
- *Request Due Date Extension*: At most points in the process, an extension can be requested. These steps are outlined in this section.

1.2 System Roles

The eComplaint application utilizes the following system roles:



Role	Description
Counselor	The Counselor role only processes <i>Inquires</i> and <i>Informal Complaints</i> .
Manager	The Manager role oversees the complaint. Managers can complete any task in the workflow on behalf of the Counselor or Specialist. They are also responsible for converting the Informal Complaint to a Formal Complaint once a Formal Complaint is received.
Specialist	The Specialist role can process Formal Complaints once converted from an <i>Informal Complaint</i> request.
ADR Specialist	ADR Specialists can perform all ADR activities (Offer ADR, ADR Acceptance, ADR Event, ADR Outcome, and Withdraw from ADR). ADR Specialists can also add Corrective Actions.
Super User	The Super User role oversees the entire application. They can complete any task in the workflow in any complaint on behalf of the Counselor, Specialist, and Manager
Administrator	The Administrator role is used to configure and maintain system settings. Within Main Menu > Configuration , the Administrator can configure the Entities or Offices in the organization, as well as the parameters for the 462 Report. The Administrator also has access to system settings. The system requires an additional login before accessing system settings. The Administrator can configure terminology, users, roles, permissions, email templates, notifications, choice lists (application drop-down lists), audit reports, and more.

1.3 About this Manual

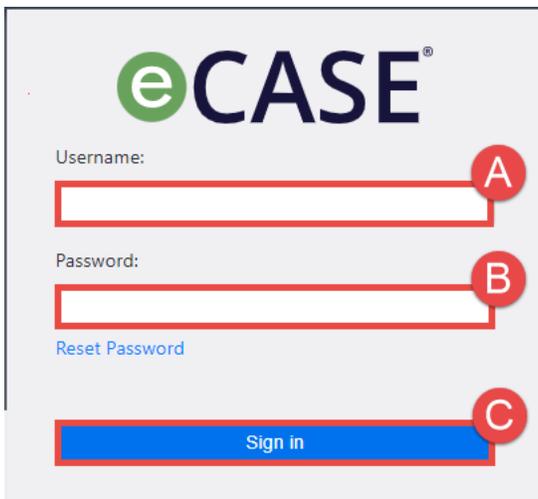
This manual focuses on the following subjects:



- *Introduction to eComplaint:* This section covers the eComplaint application, as well as logging into the application, the Case Folder UI, and some other basic eComplaint functionality (withdrawing from the complaint, requesting Due Date extension, etc.)
- *EEO Contact Processing:* Consult this subsection for information about how to create an EEO Contact, the EEO Contact Folder, how to process an Inquiry, as well as completing or reopening an EEO Contact.
- *Informal Complaints:* The contents of this subsection explain how to create a new Informal Complaint, the Informal Complaint Case Folder tabs, and some important sections of the Informal Complaint workflow.
- *Formal Complaints:* This section discusses the Formal Complaint case folder, how to create a Formal Complaint case folder, as well as converting the Formal Complaint, and some basic Case Folder processing functionality.
- *eComplaint Reports:* Consult this subsection for guidance on creating and executing reports within the eComplaint application.
- *eComplaint Configuration:* This section discusses the functionality of the tabs in the eComplaint Configuration folder.

1.4 Application Login

eCASE eComplaint is accessible via web browser (Internet Explorer, Chrome, or Firefox). Navigate to the eCASE eComplaint Login screen, using the URL provided by the administrator. Enter the **(A) Username** and corresponding **(B) Password** in the Login screen and click **(C) Sign In**.

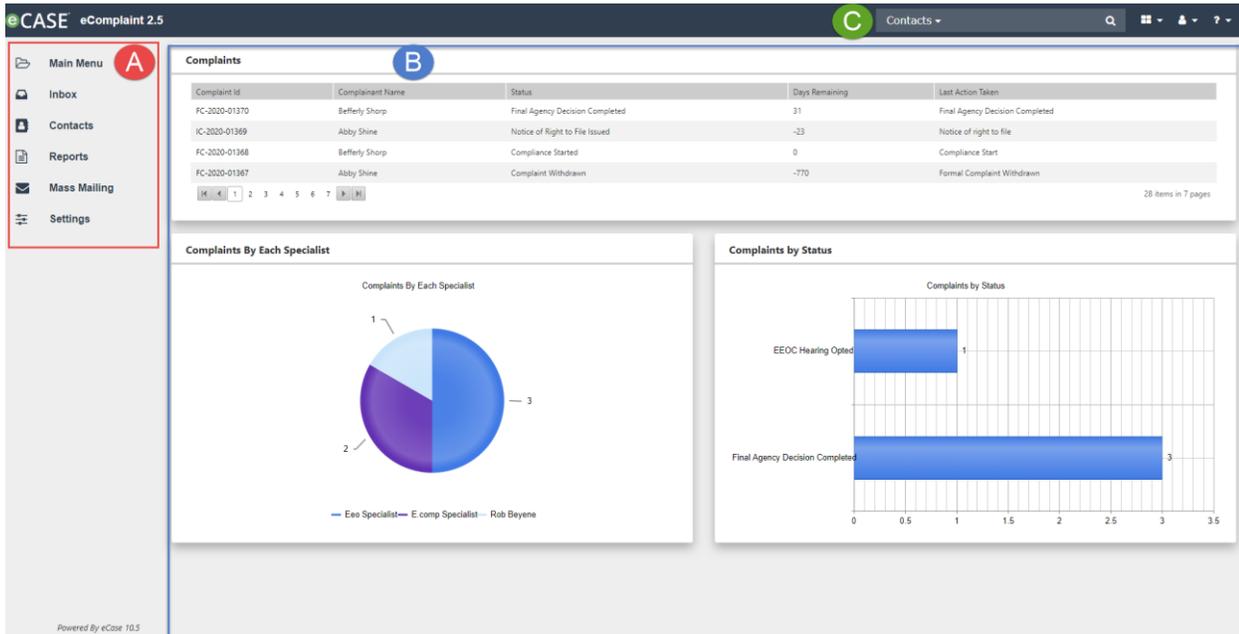


The screenshot shows the eCASE eComplaint login interface. At the top is the eCASE logo. Below it, the 'Username:' label is followed by a text input field outlined in red, with a red circle containing the letter 'A' to its right. Below that, the 'Password:' label is followed by another red-outlined text input field, with a red circle containing the letter 'B' to its right. Underneath the password field is a blue link labeled 'Reset Password'. At the bottom of the form is a blue button with the text 'Sign in' in white, with a red circle containing the letter 'C' to its right.



1.5 eComplaint Dashboard

After logging in to the eComplaint application, the system dashboard appears. Each eComplaint role has a specific dashboard engineered to show the data most relevant to that user. An example Dashboard is shown below:



Regardless of system role, all users see the following basic elements in their dashboard:

A. Launch Pad: The Launch Pad allows users to quickly access primary system functions, including searching for and creating new case folders, their Inbox, Reports, and more.

B. Workspace: After login, the Workspace displays widgets designed to highlight information most relevant to that user's system role. This is also the area where the user works with case folders, reports, and more.

C. Navigation Bar: The Navigation Bar is visible in any page in the application and provides easy access to the Quick Search, User Preferences, and the Help functions.

For information on standard portions of the eCASE interface, including the *Main Menu*, *Navigation Bar*, and *Case Folders*, see the *eCASE User Manual*.

1.6 Case Folder UI

Each eComplaint case type has a unique Case Folder UI, described in detail in each case type's respective section of this manual. An example of one UI is shown below, with important areas highlighted:



Introduction to eComplaint

2023-COMP-00006 - Informal Complaint Informal ADR

Remand Conflict of Interest Next Action: [dropdown]

An ADR case has been created with the folder ID: EEO 2023-COMP-00006-1

Aggrieved Person: Janice Butler EEO Contact #: N/A

Date Information Informal Remaining Days: -309

Inquiry Dates		Informal Dates		Formal Dates	
Incident:	mm/dd/yyyy	Initial Interview:	06/14/2023	N/A until complaint becomes formal	
Initial Contact:	06/14/2023	ADR Completed On:	N/A		
45th Day After Incident:	N/A	Final Interview:	N/A		
ADR Offered On:	06/14/2023	EEO Counselor's Report Submitted On:	N/A		
Inquiry Closed Date:	N/A	Notice of Right to File Dis. Complaint Provided On:	N/A		
		Formal Complaint Must Be Filed By:	N/A		
		Counseling Due Date:	09/12/2023		
		Counseling Closed On:	N/A		

Each case folder contains a **(C) Workspace**, where the selected folder **(B) Tab** is displayed, as well as **(A) Actions** that can be taken on the folder. For details on the *Actions* bar, see the *eCASE User Manual*. Standard case folder tabs (Attachments, Assignments, Project Team, etc.) are also described in the *eCASE User Manual*.

eComplaint case types each utilize several unique folder tabs, depending on the user's role and current case type. These tabs are described in the following sections.

1.6.1 Complaint Information

The *Complaint Information* tab is the primary tab of the case folder and the first one that appears after opening a Complaint case folder.

(!!) Note: The *Description* field is required, but it should have been transferred over from the *Inquiry/Concern* field in the *Inquiry* case folder if originally filed as an inquiry. If previously determined in the *Configuration* folder, the EEO specialist is automatically assigned based on the entity selected.



Introduction to eComplaint

2021-COMP-00002 - Informal Complaint
Receive and Convert to Formal Complaint

Remand Conflict of Interest Next Action: ▼ →

Aggrieved Person: Maya A Smith EEO Contact #: 2021-AR-00001

Date Information Informal Remaining Days: -289

Inquiry Dates	Informal Dates	Formal Dates
Incident: 08/31/2021	Initial Interview: 09/02/2021	<i>N/A until complaint becomes formal</i>
Initial Contact: 09/01/2021	ADR Completed On: 09/07/2021	
45th Day After Incident: 09/08/2021	Final Interview: 09/08/2021	
ADR Offered On: 09/03/2021	EEO Counselor's Report Submitted On: N/A	
Inquiry Closed Date: 09/28/2021	Notice of Right to File Dis. Complaint Provided On: 09/10/2021	
	Formal Complaint Must Be Filed By: 09/27/2021	
	Counseling Due Date: 11/30/2021 Extended	
	Counseling Closed On: 09/10/2021	
	NORTF	

Anonymity

The complainant has the right to remain anonymous at the pre-complaint stage of the EEO counseling process.

Does the complainant wish to remain anonymous?*

Yes, I elect to remain anonymous.

No, I waive my right to remain anonymous.

Complaint Against

Region: * Peace Corps >> US Citizen Employee

RMO	Phone	Email	
Bela A Walker		bela@ains.com	✖
Add RMO			

Case Details

Action Office: Q

1.6.2 Claims and Bases Tab

The *Claims and Bases* tab allows users to add specific *Issues* (and associated *Bases*) to be tracked and resolved through the complaint process. An example tab is shown below:



Introduction to eComplaint

Complaint Information | Claims and Bases | Documents | Roles | Consolidated Complaint | Contacts | Corrective Actions | Event Log | Fees | Assignments

PC-22-00028 - Informal Complaint | Rights and Responsibilities

Issues and Bases

+ Issue: **A** → Issue ID: 5160

- New Issue **B**

Issue Title: *

Date of Incident: to

Basis: Age Sex Race Color Religion Disability
 Reprisal National Origin GINA EPA PDA Non-EEO

Statutes: Title VII Equal Pay Act (EPA) Age Discrimination in Employment Act (ADEA) Rehabilitation Act The Genetic Information Nondiscrimination Act Pregnancy Discrimination Act

Alleged Status: Alleged Date: mm/dd/yyyy

Comments:

Remedy(ies) or Resolution Requested:

Add Issue **C**

After Issues are added to a complaint, they are listed in **(A) Issues and Bases** workspace along with a specific *Issue ID*. Users can click **(C) Add Issue** to add a **(B) New Issue** entry, where issue information is captured in multiple fields.

You can add witnesses to New Issues after they are created and saved by clicking **+ Expand**.

Settlement Details

Claim Settled:

Comments:

Remedy(ies) or Resolution Requested:

View/Add Witness (0)

1.6.3 Documents

The *Documents* tab allows users to add attachments and child attachments to a case, as well as manage these attachments using the **Check Out/In**, **Send To** and **OCR Document** functions. Attachments across the case folder are stored within this tab and are sorted by *Attachment Type* and *Document Type*.



Introduction to eComplaint

Complaint Information		Claims and Bases		Documents	Roles	Consolidated Complaint	Contacts	Corrective Actions	Event Log	Fees	Assignments	Portal Messages	Portal Forms
Display Index	Content Source	Sensitivity	Description	Keywords	Comments	Name	Created	Created By	Modified	Modified By	Checked Out By	Size	Review Status
Attachment Type: Incoming Complaint Attachments													
<input type="checkbox"/>	4.0		DocTest	Sample	Sample Comment Value 1	Attachment for Documentation.docx	10/05/2022 11:08:45 AM	Randall Hamm	10/05/2022 11:08:45 AM	Randall Hamm		27 KB	Not Applicable
Attachment Type: Notices													
<input type="checkbox"/>	1.0					Notice of Right to Anonymity.docx	02/09/2022 10:40:19 AM	System Account	02/09/2022 10:40:19 AM	System Account		13 KB	Not Applicable
<input type="checkbox"/>	2.0					Notice of Right to Representation.docx	02/09/2022 10:40:19 AM	System Account	02/09/2022 10:40:19 AM	System Account		16 KB	Not Applicable
<input type="checkbox"/>	3.0					Notice of Rights and Responsibilities.docx	02/09/2022 10:40:19 AM	System Account	02/09/2022 10:40:19 AM	System Account		16 KB	Not Applicable
Attachment Type: Other Documents													
<input type="checkbox"/>	5.0		DocTest	Sample	Test	Test Doc.docx	10/05/2022 11:09:24 AM	Randall Hamm	10/05/2022 11:09:24 AM	Randall Hamm		11 KB	Not Applicable

The *Add From* drop-down list is the primary method in which new attachments can be added to a case folder. Upon upload, users must select the following values: Attachment Type, Description, etc. to add an attachment. The *Add From* drop-down list allows the user to add attachments to the case from the following locations:

- **My Computer:** Add an attachment from the local desktop
- **Default Attachments:** Add an attachment from the default attachments, if configured.
- **Case:** Add an attachment from an existing case. eCASE opens the Search Case Documents window, allowing users to search for and select any existing case documents.

The fields described below are only available within the **Add From > My Computer** option, which is the most frequently used attachment upload source. They include:

- **Case Number:** This field is auto-populated and inherited from the current case.
- **File(s) to be Attached:** The Select button opens the Select File pop-up window, allowing users to select the attachment(s) from a local computer.

(!!) Note: Required fields are indicated by a red asterisk (*).

- **Attachment Name:** Users can enter an alternative name for the attachment into the *Attachment Name* field, which replaces the original file name within eCASE.
- **Prepare for Review:** Select Yes to automatically assign the attachment to the designated user for review. Selecting Yes in this field prompts additional fields to appear. You can click the Assigned To lookup to designate the user to assign this review.
- **Attachment Type:** Select the attachment type from the *Attachment Type* drop-down list.
- **Description:** Enter a description of the attachments within the *Description* field.
- **Keywords:** Enter the Keywords associated with this attachment, separated by Commas.
- **Comments:** Use this free text field to upload information about the Attachment.



Add New Attachment

Folder ID 2022-COMP-00130

File(s) to be Attached*

Attachment Name

Prepare for Review*

Attachment Type*

Description

Keywords

Comments

1.6.4 Roles

The *Roles* tab allows authorized users to manage the users and groups who have access to a case. Additionally, authorized users can add a new user or group, or remove an existing user/group.

(!!) Note: If an additional user is added to the case via the Roles tab, any tasks assigned to any previous users with the same role are automatically reassigned to the new user.

Complaint Information	Claims and Bases	Documents	Roles	Consolidated Complaint	Contacts	Corrective Actions	Event Log	Fees	Assignments
Multi User Roles									
<input type="button" value="+ Add User"/> <input type="button" value="+ Add Group"/> <input type="button" value="x Remove User/Group"/>									
<input type="checkbox"/>	User/Group			Office					Role Name
<input type="checkbox"/>	Adr Specialist	Adr Specialist		AINS - AINS					ADR Specialist
<input type="checkbox"/>	Manager	Manager		AINS - AINS					Case Manager
<input type="checkbox"/>	Counselor	Counselor		AINS - AINS					Counselor
<input type="checkbox"/>	Specialist	Specialist		AINS - AINS					EEO Specialist

1.6.4.1 Add New User

To add a new user to the staff list:

1. Open the desired case folder and navigate to the *Roles* tab.
2. Click **Add User**. The *Assign Role* pop-up window appears.



Select Users

Note: * fields are mandatory

Role*

- 3. Select the **user role** from the *Role* drop-down list. After making a selection, the pop-up window refreshes to display additional fields.
- 4. Click the **User** lookup. The pop-up window refreshes to display a list of eligible users.

Select Users

Note: * fields are mandatory

Role*

User*



- 5. Click the **checkbox** adjacent the desired user name, and then click **OK**.

Select an option

<input type="checkbox"/>	Full Name	User Name	Email	Office	Group
<input type="checkbox"/>	Adr Specialist Adr Specialist	ADR Specialist	adrspecialist@ains.com	HQ - Headquarters	ADR Specialist
<input type="checkbox"/>	Conflict Conflict	Conflict	Conflict@ains.com	HQ - Headquarters	Conflict
<input type="checkbox"/>	Conor Tong	Ctong	test@ains.com	HQ - Headquarters	Admin
<input type="checkbox"/>	Counselor Counselor	counselor	counselor@ains.com	HQ - Headquarters	Counselor
<input type="checkbox"/>	D Admin	dadmin	dma@ains.com	HQ - Headquarters	Admin

0 item(s) selected. Maximum of 25 item(s) are allowed to be selected.

Page 1 of 1

- 6. The pop-up window refreshes to display the selected user name in the *User* field. Click **Add**. The pop-up window closes, and the selected user now has access to the case and is visible within the *Roles* tab.



Select Users

Note: * fields are mandatory

Role*

User*

1.6.4.2 Add New Group

To add a new group to the staff list:

1. Open the desired case folder and navigate to the *Roles* tab. Click **Add Group**.

Multi User Roles

<input type="checkbox"/>	User/Group	Office	Role Name
<input type="checkbox"/>	Adr Specialist Adr Specialist	HQ - Headquarters	ADR Specialist
<input type="checkbox"/>	Manager Manager	HQ - Headquarters	Case Manager
<input type="checkbox"/>	Counselor Counselor	HQ - Headquarters	Counselor

2. The *Assign Role* window appears. Select the **user role** from the *Role* drop-down list.
3. The pop-up window refreshes to display the *Group* field. Click the **Group** lookup icon.

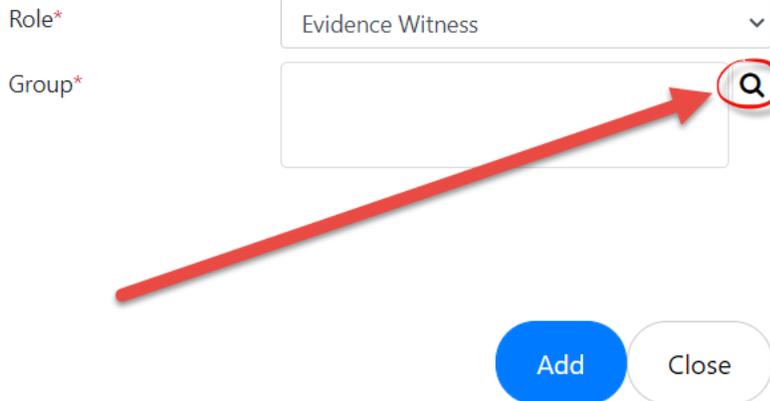


Select Groups

Note: * fields are mandatory

Role*

Group*



4. The pop-up window refreshes to display a list of eligible groups. Click the checkbox adjacent the desired group and then click **OK**.

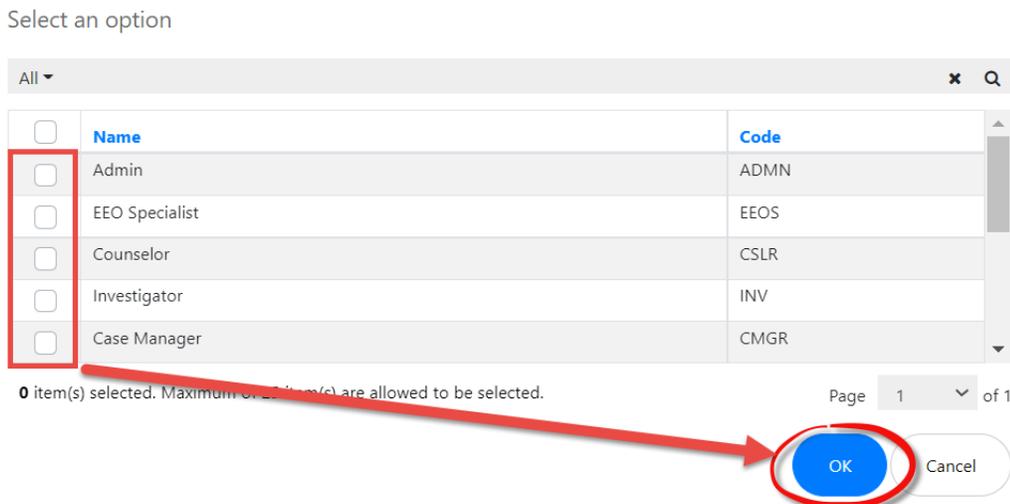
Select an option

All

<input type="checkbox"/>	Name	Code
<input type="checkbox"/>	Admin	ADMN
<input type="checkbox"/>	EEO Specialist	EEOS
<input type="checkbox"/>	Counselor	CSLR
<input type="checkbox"/>	Investigator	INV
<input type="checkbox"/>	Case Manager	CMGR

0 item(s) selected. Maximum of 22 item(s) are allowed to be selected.

Page 1 of 1



5. The pop-up window refreshes, and the selected Group appears in the field. Click **Add**.
6. The pop-up window closes, the *Roles* tab refreshes, and the selected group now has access to the case and is visible within the *Roles* tab.

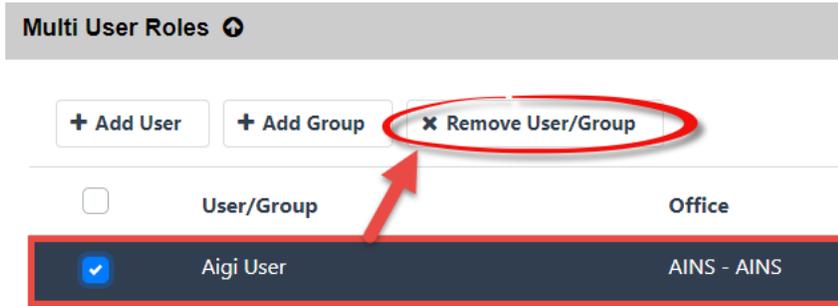
1.6.4.3 Remove User/Group

To remove a user or group:

1. Open the desired case folder and navigate to the *Roles* tab.
2. Select a user or group from the list within the *Roles* tab.

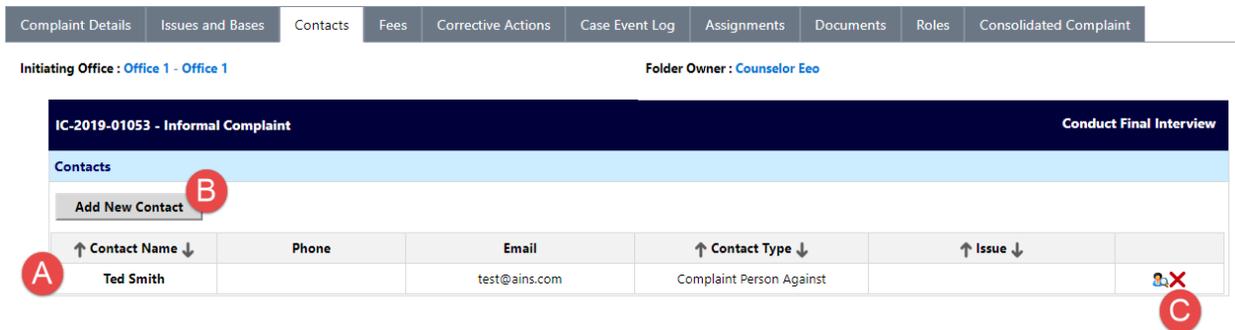


3. Click **Remove**. The page refreshes and the selected user/group is removed from the *Roles* tab.



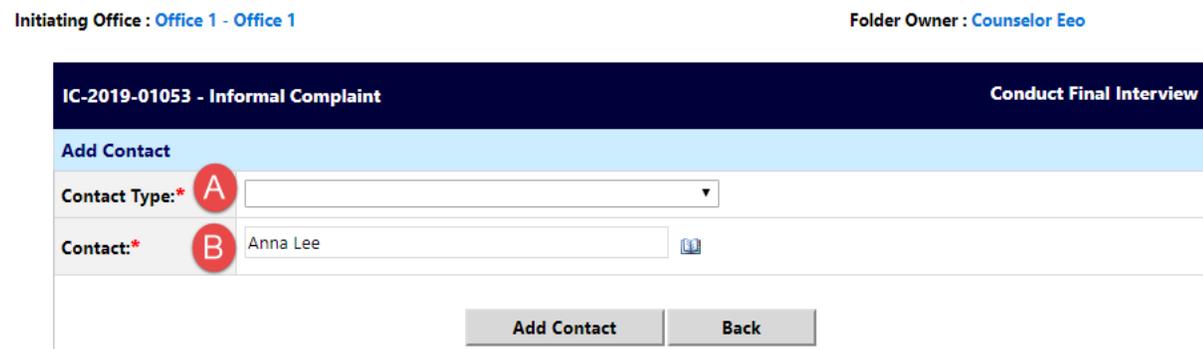
1.6.5 Contacts

The *Contacts* tab allows users to manage contacts associated with the complaint, including *Witnesses*, *Complaint Person(s) Against*, and *Representatives*. Users can also add new contacts using this tab. An example *Contacts* tab is shown below:



All *Contacts* added to the case are included in the (A) *Contacts List*, with fields noting the contact’s Phone, Email, Contact Type and associated Issue (if applicable). There is also the option to (C) **Remove** a contact from the folder. Follow the steps below to (B) **Add New Contact**:

1. Navigate to the *Contacts* tab and click **Add New Contact**. The *Add Contact* form appears:



2. Select a **(A) Contact Type** from the *Contact Type* drop-down list, then click the **lookup** icon to select a **(B) Contact** to add.
3. If the **Witness** contact type is selected, connect the **Witness** to an existing **Issue ID** using the *Issue ID* drop-down list.

Contact Type:*	Witness
Issue ID:*	
Contact:*	Anna Lee

4. If the contact does not exist in the system, authorized users can add a new system contact from the *Search for Contact* screen (accessible via the **Lookup** icon). From this screen, click **New > Employee**:

Q Search **+ New** Select Criteria Save Criteria

Contact Type

Contact Information

First Name*

Last Name*

Full Name*

Email

Address (Primary)

Organization Name

a. The *New Contact* screen appears as shown below:

Save Select Spelling... Back Close

Contact Information

Title: Office:

First Name: * MI:

Last Name: * Suffix:

E-Mail:

Home Address

Address Line 1: Address Line 2:

City: State/Province:

Country: ZIP:

Primary Phone #: Fax:

Secondary Phone #: Address Type:



- b. Complete all required fields. Required fields are outlined in red. When complete, click **Save** to save the new contact, or **Select** to save the new contact and add the contact to the case folder.

5. After adding the contact to the case folder, the person appears on the *Contacts* tab:

IC-2019-01053 - Informal Complaint					Conduct Final Interview
Contacts					
Add New Contact					
↑ Contact Name ↓	Phone	Email	↑ Contact Type ↓	↑ Issue ↓	
Ted Smith		test@ains.com	Complaint Person Against		
Anna S Lee		agentlees@gmail.com	Witness	Harassment - Non-Sexual - 52797	

1.6.6 Fees

The *Fees* tab allows users to capture fees related to the Complaint. Fees can be added under separate types as defined in the system. An example *Fees* screen is shown below:

Complaint Details | Issues and Bases | Contacts | **Fees** | Corrective Actions | Case Event Log | Assignments | Documents | Roles | Consolidated Complaint

Initiating Office: Office 1 - Office 1 | Folder Owner: Counselor Eeo

IC-2019-01053 - Informal Complaint				Conduct Final Interview
Fees				
Fee Type*	Complaint Type	Account	Amount (\$)*	
Atty Fees	informal	N/A	\$2,000	
Add Fee				
Save				

All Fees added to the folder are listed under the **(A)** *Fees* list. Users can click **(B)** **Add Fee** to insert additional fields for capturing fees. Click **(C)** **Save** to save any fees added to the folder.

1.6.7 Corrective Actions

The *Corrective Actions* tab allows for capturing specific actions taken to resolve the complaint. Corrective Actions can be monetary or non-monetary. Actions can be captured, viewed, edited, or removed from this tab. A sample *Corrective Actions* tab is displayed below:



PC-22-00024 - Formal Complaint

Corrective Action(s)

Monetary - Back Pay/Front Pay - Accepted **A**

Corrective Action Type: * Monetary

Benefit: Back Pay/Front Pay

Amount (\$): 5000.00

Date of Settlement: * 07/01/2022

Narrative: Sample Narrative

Disposition

Status: * Accepted

Status Narrative: Status Narrative is Standard

Monetary - Disciplinary Action (Modified) - Not Accepted **B**

Corrective Action Type: * Monetary

Benefit: Disciplinary Action (Modified)

Amount (\$): 5000.00

Date of Settlement: * 08/25/2022

Narrative: Sample Narrative 2

Disposition

Status: * Not Accepted

Status Narrative: Sample Status Narrative #2

Add Corrective Action(s)

save **C**

All **(A) Corrective Actions** added to the folder are listed here. Each action listed also indicates the action's **(B) Disposition** (whether it was Accepted or Not Accepted by the AP). There is also the option to click **(C) Add Corrective Action(s)** to add more Corrective Actions.

1.6.8 Event Log

While working within Formal and Informal Complaints, case events are tracked in the Case Event Log. An example Case Event Log tab is shown below:



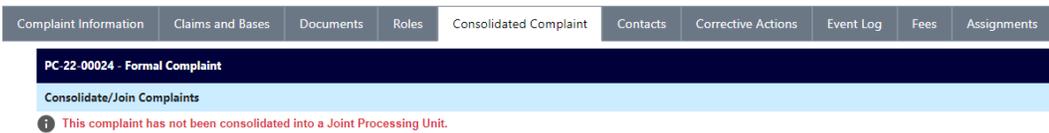
PC-22-00024 - Formal Complaint						Administrative Closure
Event Log						
Add Formal Event B						
Event Name	Event By	Event Date	Event Comments	Created Date	C	
Acknowledgement Sent A	Manager Manager	05/19/2022	Acknowledgement Sent in Email to test@gains.com	05/19/2022	Delete	
Receive Formal Complaint	Manager Manager	05/19/2022		05/19/2022		
EEO Specialist Assigned	Manager Manager	05/19/2022	Specialist Specialist Assigned as EEO Specialist	05/19/2022		
Initial Contact	Manager Manager	05/16/2022		05/19/2022		
Formal Created	Manager Manager	05/16/2022	Formal Complaint has been Created with No PC-22-00024	05/19/2022		

Case Events are listed in the **(A)** *Event Name* column. You can click the **hyperlink** within the *Event Name* column to view details on the case events.

The Add Formal Event button allows you to **(B)** **Add Formal Event** if you want to manually add a case event. You may also have the option to **(C)** **Delete** case events depending on your role.

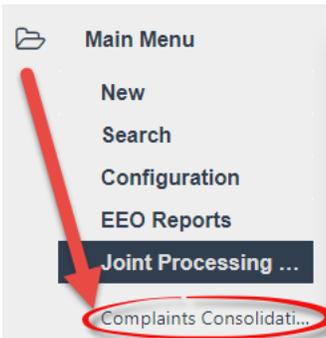
1.6.9 Consolidated Complaint

Complaints which share similarities are eligible to be entered into a Consolidated Complaint. Additionally, multiple complaints from a single AP, or multiple APs with similar allegations are eligible to be entered into a consolidated complaint. While the Consolidated Complaints feature is always present in a case folder, it only contains relevant information for the associated cases after the cases have been added into a Joint Processing Unit.



To join consolidated complaints:

1. Within the *Main Menu*, click **Joint Processing Units > Complaints Consolidation**.



2. The *Consolidate Complaints* window appears. Click **Add Joint Processing Unit**.



Introduction to eComplaint

Consolidate Complaints

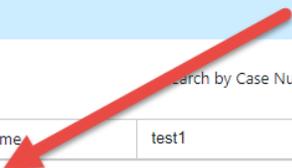
Complaints Consolidation

Joint Processing Units

Search by Case Number:

	Joint Processing Unit Name	test1	
--	----------------------------	-------	--

Add Joint Processing Unit



3. A blank *Joint Processing Unit Name* section appears. Complete all empty fields.

Complaints Consolidation

Joint Processing Units

Search by Case Number:

	Joint Processing Unit Name	test1	
	Joint Processing Unit Name	Sample Joint Processing Unit #JM1	

Name:

Description:

Created Date:

Please save the form before adding complaints.

Add Joint Processing Unit

4. Click **Save**. The *Consolidate Complaints* window refreshes and displays the New Joint Processing Unit row.

Consolidate Complaints

Complaints Consolidation

Joint Processing Units

Search by Case Number:

	Joint Processing Unit Name	test1	
	Joint Processing Unit Name	Sample Joint Processing Unit #JM1	

Add Joint Processing Unit



5. Expand the Joint Processing Unit row by clicking the + button. The workspace refreshes to display the full Joint Processing Unit entry and all its fields. Click **Add/View Complaints**.



Introduction to eComplaint

Created Date: 09/28/2022

Add/View Complaints (0)

Add Joint Processing Unit

6. A list of complaints that have been added to this Joint Processing Unit appears.

Consolidate Complaints

Initiating Office : Office 1. - Office 1. Folder Owner : David Admin

Joint Processing Unit - JPU1

Joint Complaints

Search Complaints Back

Complaint Folder Number	Complaint Name	Complaint Against	Status	Consolidation Date	
FC-2019-01029	Anna S Lee	COMMODITY FUTURES TRADING COMMISSION	Civil Action	09/17/2019	+

7. Click **Search Complaints**. The page refreshes and the *Search For Complaints* screen appears.

Consolidate Complaints

Initiating Office : Office 1. - Office 1. Folder Owner : David Admin

Joint Processing Unit - JPU1

Search for Complaints

Issues: [] [Q] Base(s): [] [Q]

Incident Date From: mm/dd/yyyy Incident Date To: mm/dd/yyyy

Search

Join Selected Complaints Back *If a Complaint is already included in any Joint Processing Unit, it will be discarded.*

8. Use the lookups to select the **Issues**, and the **Base(s)**, and then use the date pickers to select **Incident Dates** for the desired Consolidated Complaint.

9. Click **Search**.

Joint Processing Unit - test1

Search for Complaints

Issues: Appointment/Hire X Assignment of Duties X Awards X [Q]

Base(s): Age X Color X Disability X EPA X GINA X [Q]

Incident Date From: 02/04/2022 Incident Date To: 09/27/2022

Search

Join Selected Complaints Back *If a Complaint is already included in any Joint Processing Unit, it will be discarded.*

10. The page refreshes to display a list of complaints which match the selected criteria. Click the checkboxes associated with the desired complaints.

11. Click **Join Selected Complaints**.



- The screen refreshes and displays the selected complaints within the *Consolidated Complaint* section. These cases are now considered to be in a Joint Processing Unit, and information related to the other joined cases can be viewed within the *Consolidated Complaint* tab.

Joint Processing Unit - JPU1					
Joint Complaints					
Search Complaints		Back			
Complaint Folder Number	Complaint Name	Complaint Against	Status	Consolidation Date	
FC-2019-01029	Anna S Lee	COMMODITY FUTURES TRADING COMMISSION	Civil Action	09/17/2019	
FC-2019-01011	TFIRST TLAST	Army	Administrative Closure	10/30/2019	

1.7 General Actions

There are several general actions that you may need to take while processing EEO Contacts and Complaints, including adding Issues to complaints, requesting extensions, and withdrawing complaints. Each is described in the following sections:

1.7.1 Add Issue

Many steps in the eComplaint process require having issues present in the case folder. Follow the steps below to add a new issue to the *Issues and Bases* tab.

- Open the desired Complaint case folder and navigate to the *Issues and Bases* tab. Click **Add Issue** to add a new Issue to the case folder.

The screenshot shows a navigation bar with tabs: Complaint Information, Claims and Bases, Documents, Roles, Consolidated Complaint, Contacts, Corrective Actions, Event Log, Fees, and Assignments. Below the navigation bar, the case title 'PC-22-00022 - Formal Complaint' is displayed, along with a link for 'Accept/Dismiss Claims'. The 'Issues and Bases' section is active, showing a message: 'No issues have been added. Click on "Add Issue" to add a new issue.' A blue 'Add Issue' button is visible at the bottom left, circled in red, with a red arrow pointing to it from the right.

- The page refreshes to display additional fields. Select an **Issue Title** from the drop-down list.



Introduction to eComplaint

PC-22-00022 - Formal Complaint Accept/Dismiss Claims

Issues and Bases

New Issue

Issue Title: *

Date of Incident: [] to []

Basis:

Age Sex Race Color Religion Disability

Reprisal National Origin GINA EPA PDA Non-EEO

Statutes:

Title VII Equal Pay Act (EPA) Age Discrimination in Employment Act (ADEA)

Rehabilitation Act The Genetic Information Nondiscrimination Act Pregnancy Discrimination Act

Disposition

Status: Accepted Dismissed

Disposition Date: mm/dd/yyyy

Dismissed Reason: []

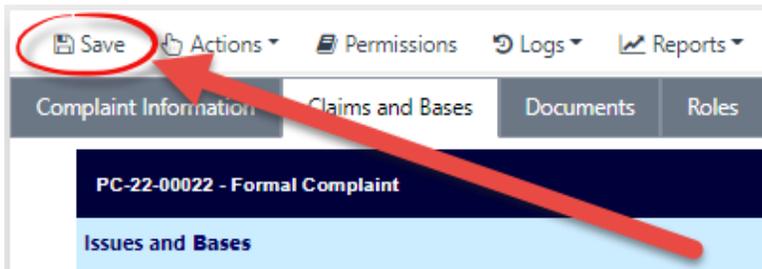
Disposition Narrative: []

Comments: []

Remedy(ies) or Resolution Requested: []

Add Issue

3. Select the **Basis** from the available checkboxes. Depending on the selected checkbox, additional fields may appear to capture more information.
4. Complete the remaining fields on the form with the required details.
5. Click **Save** to save the issue.



6. After saving, the *View/Add Witness* button appears to allow users to add witnesses to the issue, if required. Click **View/Add Witness**.

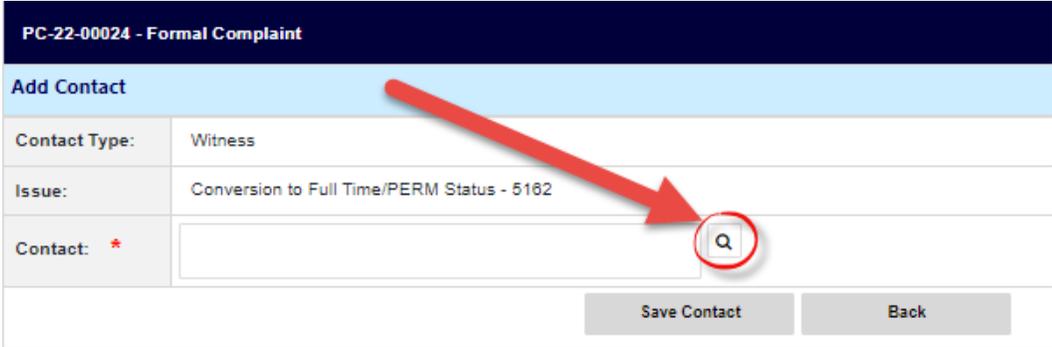


7. The screen below appears. Click **Add New Contact**.

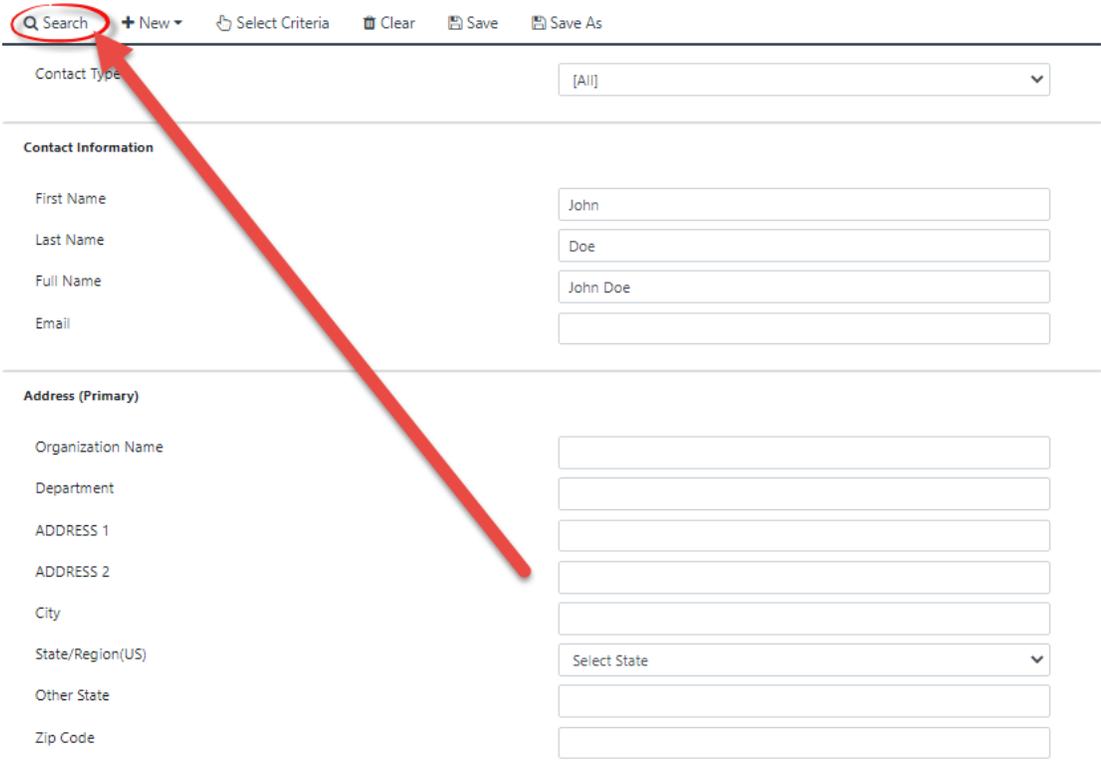




8. The page refreshes to display the Add Contact workspace. Click the **Contact** lookup.



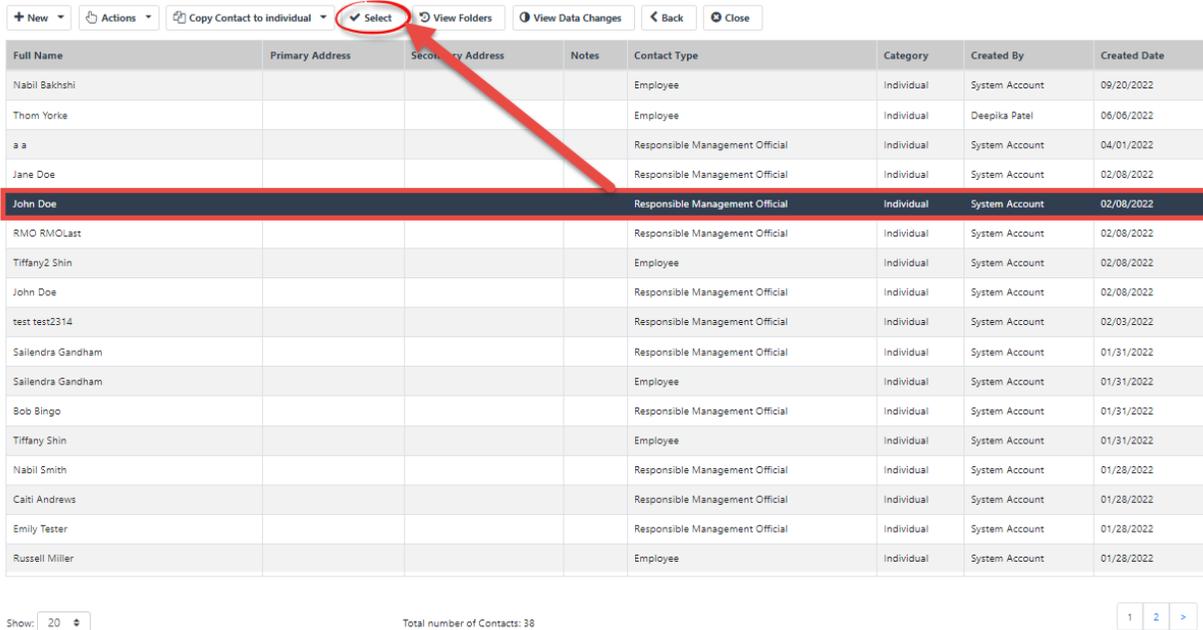
9. The Search for Contact pop-up window appears. Enter the Contact Search Criteria in the available fields, and then click **Search**.



10. The pop-up window refreshes to display the search results. Select the desired Contact and click **Select**.



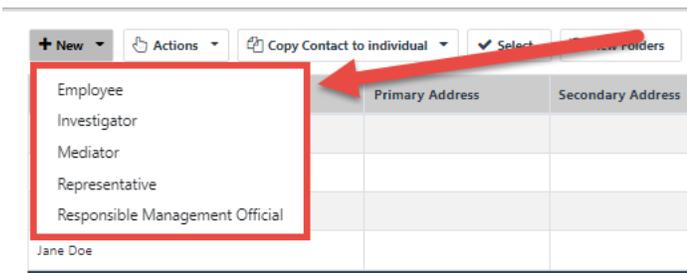
Introduction to eComplaint



Full Name	Primary Address	Secondary Address	Notes	Contact Type	Category	Created By	Created Date
Nabli Bakhshi				Employee	Individual	System Account	09/20/2022
Thom Yorke				Employee	Individual	Deepika Patel	06/06/2022
a a				Responsible Management Official	Individual	System Account	04/01/2022
Jane Doe				Responsible Management Official	Individual	System Account	02/08/2022
John Doe				Responsible Management Official	Individual	System Account	02/08/2022
RMO RMOLast				Responsible Management Official	Individual	System Account	02/08/2022
Tiffany2 Shin				Employee	Individual	System Account	02/08/2022
John Doe				Responsible Management Official	Individual	System Account	02/08/2022
test test2314				Responsible Management Official	Individual	System Account	02/03/2022
Sailendra Gandham				Responsible Management Official	Individual	System Account	01/31/2022
Sailendra Gandham				Employee	Individual	System Account	01/31/2022
Bob Bingo				Responsible Management Official	Individual	System Account	01/31/2022
Tiffany Shin				Employee	Individual	System Account	01/31/2022
Nabli Smith				Responsible Management Official	Individual	System Account	01/28/2022
Caiti Andrews				Responsible Management Official	Individual	System Account	01/28/2022
Emily Tester				Responsible Management Official	Individual	System Account	01/28/2022
Russell Miller				Employee	Individual	System Account	01/28/2022

Show: 20 Total number of Contacts: 38

11. If you are unable to locate the desired contact using a search, click the **New** drop-down list and select the desired contact type to create a new contact.



12. After selecting the Contact Type, the pop-up window refreshes to display additional fields. The New Employee Contact Type form is displayed below. Complete the required fields and then click **Save**.



Contact Information			
Title:	<input type="text"/>	Office:	<input type="text"/>
First Name:*	<input type="text"/>	MI:	<input type="text"/>
Last Name:*	<input type="text"/>	Suffix:	<input type="text"/>
E-Mail:	<input type="text"/>		
Home Address			
Address Line 1:	<input type="text"/>	Address Line 2:	<input type="text"/>
City:	<input type="text"/>	State/Province:	<input type="text"/>
Country:	<input type="text" value="United States"/>	ZIP:	<input type="text"/>
Primary Phone #:	<input type="text"/>	Fax:	<input type="text"/>
Secondary Phone #:	<input type="text"/>	Address Type:	<input type="text"/>
Work Address			
Address Line 1:	<input type="text"/>	Address Line 2:	<input type="text"/>
City:	<input type="text"/>	State/Province:	<input type="text"/>
Country:	<input type="text" value="United States"/>	ZIP:	<input type="text"/>
Primary Phone #:	<input type="text"/>	Fax:	<input type="text"/>
Secondary Phone #:	<input type="text"/>	Address Type:	<input type="text"/>
Additional Information			
Pay Plan:	<input type="text"/>	Series:	<input type="text"/>
Grade:	<input type="text"/>	Occupation:	<input type="text"/>
Employee Type:	<input type="text"/>	Title:	<input type="text"/>

1.7.2 Request Due Date Extension

The Request Due Date Extension option allows authorized users to extend the due date for the complaint. Extensions can be requested for both Informal and Formal Complaints. Follow the steps below to request a due date extension for a Formal or Informal Complaint:

(!!) Note: For Informal Complaints, the due date cannot be extended until ADR has been offered.

1. From within a complaint case folder (at most points in the process), select the option **Request Due Date Extension** from the *Next Action* drop-down list and then click the **Green arrow** button. The *Request Due Date Extension* pop-up window appears as shown below:



PC-22-00033 - Request Due Date Extension

Submit Close

Request for Time Extension

Date of Request for Time Extension

Date of Request for Time Extension: *

Extension Request Details

Extension Request Letter: [Add Document\(s\)](#)

Number of Day(s) Requested for Time Extension: *

Was the Request for Time Extension Been Granted?: * Yes No

Date of Time Extension Granted/Rejected: *

Comments:

2. Use the date picker to select the *Date of Request for Time Extension*.
3. Click the **Add Document** link to upload supporting documentation.
(!!) Note: If the extension is granted, adding an Extension Request Letter to the request is required.
4. Enter a **number** in the *Number of Day(s) Requested for Time Extension* field.
5. Within the *Was the Request for Time Extension Been Granted?* field, Select the **Yes** radio button to grant the extension.
(!!) Note: After selecting to grant the extension, a new due date automatically populates.
6. Use the date picker to select the *Date of Time Extension Granted/Rejected*.
7. Click **Submit**. The pop-up window closes, the page refreshes, and the Due Date Extension is applied, and is indicated as shown below:

Formal Remaining Days: 248

Formal Dates	
Formal Complaint Filed On:	09/07/2022
Investigation to Be Completed By:	06/05/2023 Extended
Formal Complaint Closed On:	N/A



1.7.3 Withdraw from Complaint

At most phases in the complaint process, the AP can withdraw the complaint and cease case processing activities. If the AP withdraws a complaint, it is via one of the selections available under the *Next Action* drop-down list. Follow the steps below to withdraw from a complaint.

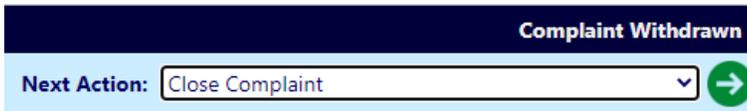
1. From within a complaint (at most points in the process), select the option **Withdraw from Complaint** under the *Next Action* drop-down list and then click the **Green arrow** button. The page refreshes and the *Complaint Withdrawal* pop-up window appears as shown below:

(!!) Note: The Withdraw from Complaint Next Action selection is always available, regardless of the complaint folder status.

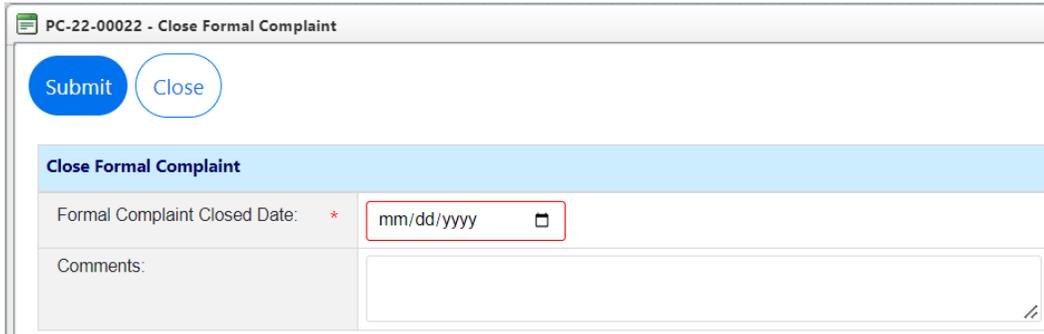
2. Click **Attach Document(s)** to upload a *Withdrawal Document*.
3. Use the date picker to select a **Date of Complaint Withdrawal** when the action took place.
4. Enter any *Comments*, if applicable.
5. When complete, click **Submit** to submit the withdrawal request.

6. After committing the withdrawal, the Complaint is now in *Complaint Withdrawn* status. Next the complaint must now be closed. Select **Close Complaint** from the *Next Action* drop-down list and then click the **Green arrow** button to close the complaint:

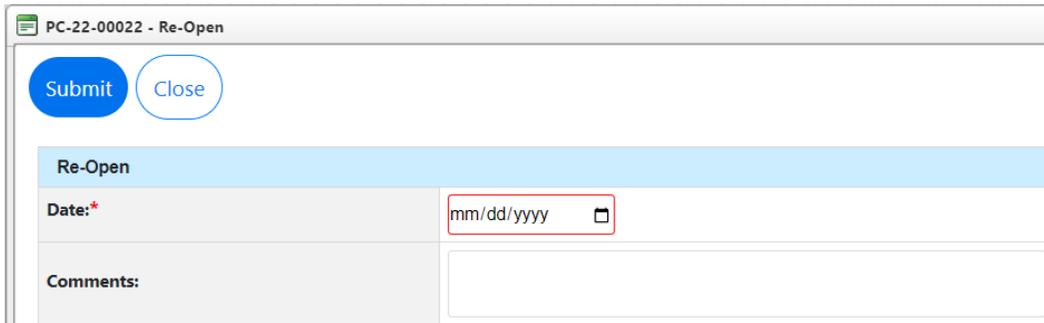




7. The *Close Complaint* pop-up window appears. Select the *Complaint Closed Date* and click **Submit**.



8. The page refreshes and the Complaint is now withdrawn and closed. The complaint can be re-opened after withdrawal. To re-open the complaint, open the withdrawn complaint case folder and select **Re-Open** from the *Next Action* drop-down list, and then click the **Green arrow** button. The *Re-Open* pop-up window appears.



9. Use the date picker to select the **Re-Open Date** and then enter any *Comments* in the field.
10. Click **Submit** to re-open the complaint. The pop-up window closes, and the complaint refreshes to indicate it is in the *Complaint Withdrawn* status.

(!!) Note: After re-opening a case folder, the case reverts to the most recent status prior to withdrawal.



2 EEO Contact Processing

When an Aggrieved Person (AP) contacts the agency regarding an EEO complaint, it is first logged as an EEO Contact. This EEO Contact begins the complaints process and can be advanced to the Informal Complaint and Formal Complaint stages if required or kept on file in case the AP decides to file a complaint in the future. This chapter provides information about:

- Creating an EEO Contact.
- Working with the EEO Contact folder.
- Processing an EEO Contact.
- Completing an EEO Contact (including multiple possible outcomes.)

2.1 Create an EEO Contact

Follow the steps below to initiate an EEO Contact after contact from an AP.

1. A Counselor role user logs in to eComplaint, then from the *Main Menu* click **Main Menu > New > EEO Contact**:



2. The *New EEO Contact* page appears. Click the *Aggrieved Person* lookup to locate an existing contact or create a new one:

A screenshot of the 'New EEO Contact' form. The form has a dark blue header with the text 'New EEO Contact'. Below the header is a light blue section titled 'Contact Information'. There are two input fields: 'Aggrieved Person: *' and 'Region: *'. The 'Aggrieved Person' field has a search icon (magnifying glass) inside it, which is circled in red. A red arrow points from the search icon to the right. To the right of the 'Region' field is a 'Next' button and a red link that says 'Click Next to Continue.'.

3. The *Search for Contact* screen appears.
 - a. To search for an existing contact, use the search fields and click **(A) Search** to locate the contact, then select the contact and click **Select**.



EEO Contact Processing

The screenshot shows the top navigation bar with a search icon and the text 'Search', a '+ New' button, and icons for 'Select Criteria', 'Clear', 'Save', and 'Save As'. Below the navigation bar is a 'Contact Type' dropdown menu with '[All]' selected. The 'Contact Information' section contains several input fields: 'First Name', 'Last Name', 'Full Name', and 'Email'.

- b. Alternatively, click **(B) New > Employee** to create a new contact. The pop-up window refreshes to display the *New Contact* page.

The screenshot shows the 'New Contact' page with a 'Search in Active Directory' button in the top right. The form contains various fields: 'Prefix', 'Suffix', 'First Name*', 'Last Name*', 'District', 'Geographic Office', 'Grade', 'Steps', 'Pay Plan', 'Series', 'Employee Type', 'Occupation', 'Hours of Work', 'Title', 'Phone Number', and 'Employee ID'. The 'First Name*' and 'Last Name*' fields are highlighted in red. There are also 'Save' and 'Select' buttons at the top left of the form area.

- c. Complete the required information (required fields are highlighted in red) and click **(A) Save** to save the new contact.

(!!) Note: If errors are present on the form, the system displays an error message detailing the field that requires correcting.

- d. After successfully creating the new contact, a confirmation message appears. Click **OK**.
- e. Click **(B) Select** to select the newly added contact. The pop-up window closes, and the selected contact appears in the Aggrieved Person field.

4. Click the **Region** lookup.



EEO Contact Processing

New EEO Contact

Contact Information

Aggrieved Person: * Sample Sampleton X

Region: *  **Next** *Click Next to Continue.*

5. The *Region Selection* pop-up window appears. Expand the Region folders until you locate the desired region and click the **checkbox** adjacent the region.

Region Selection

Filter by Name: **Search**

Selected Region:

- Peace Corps (PC)
- HQ (HQ)
- US Citizen Employee (USC)
- Non-US Citizen Employees (NUSE)
- Volunteers (VOL)

6. Click **OK**. The pop-up window closes, and the selected Region appears in the field.

7. Click **Next**.

New EEO Contact

Contact Information

Aggrieved Person: * Sample Sampleton X

Region: * HQ >> US Citizen Employee  **Next** *Click Next to Continue.*

8. The page refreshes to display additional Contact Information fields. Click **Save**.



EEO Contact Processing

CON-PC-22-00012 - EEO Contact Status: Open (Inquiry Created)

Contact Information

Aggrieved Person:	Sample Sampleton	<input type="button" value="Delete EEO Contact"/>	
Region: *	HQ >> US Custom Employee		
Date Aggrieved Person First Contacted Agency: *	09/07/2022	Method of Contact:	
Intake Person:	Deepika Patel	Inquiry Purpose: *	To seek information about the EEO process
Date of First Incident: *	09/18/2022		
Date of Latest Incident: *	09/19/2022	Deadline to file an Informal Complaint:	11/03/2022
Concern Reported by Aggrieved Person:			
IS INCIDENT AN EEO MATTER?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A		
IS INCIDENT HARASSMENT-RELATED?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A		
Select one of the following options to continue:			
<input type="checkbox"/> The Aggrieved Person wants to file an EEO Complaint at this time.			
<input type="checkbox"/> The Aggrieved Person DOES NOT want to file an EEO Complaint at this time.			

Within this screen, you can click the **Assign Counselor** button to assign a counselor to the case folder, if you are not a counselor. You can click the **Create Informal Complaint** button to directly create an Informal Complaint using the new EEO Contact.

The *EEO Contact* screen and processing/completing a contact are explored in the following section.

2.2 EEO Contact Folder

After the EEO Contact is created and saved, it appears in the workspace as shown below:



EEO Contact Processing

The screenshot displays the 'EEO Contact' processing interface. At the top, the folder path is 'New Folder / EEO Contact 2020 AR 00028 [Open]'. The navigation bar includes 'Save', 'Actions', 'Permissions', 'Logs', 'Discussions', 'Reports', 'Spelling', and 'View As (EEO Specialist)'. The 'EEO Contact' tab is selected, with other tabs being 'Issues and Bases', 'Event Log', and 'Documents'. The folder owner is 'Admin Last'. The main form is titled '2020 AR 00028 - EEO Contact' and has a status of 'Open (Inquiry Created)'. The form includes fields for 'Aggrieved Person' (Blainy Jones), 'Date Aggrieved Person', 'First Contacted Agency', 'Intake Person' (Admin Last), 'Date of First Incident', 'Method of Contact', 'Inquiry Purpose', and 'Deadline to file an Informal Complaint'. There are also radio buttons for 'IS INCIDENT AN EEO MATTER?' and 'IS INCIDENT HARASSMENT-RELATED?'. A 'Delete EEO Contact' button is visible.

The page opens to the **(A) EEO Contact tab**, where all information related to the EEO Contact is located. There are also tabs for Issues and Bases, the Event Log, and Documents.

Additional actions can be taken on the EEO Contact using the **(B) Action Bar** (see the eCASE User Manual for more information on these actions).

Finally, the **(C) EEO Contact Case Form** displays in the workspace.

2.3 Process Inquiry

Follow the steps below to process an *EEO Contact* in eComplaint.

1. After saving the initial EEO Contact, open the EEO Contact folder. The *EEO Contact* tab appears.

(!!) Note: Within the context of this manual, the Inquiry is the processing of the EEO Contact request.



EEO Contact Processing

EEO Contact		Issues and Bases	Event Log	Documents
CON-PC-22-00013 - EEO Contact		Status: Open (Inquiry Created)		
Contact Information				
Aggrieved Person:	Jake Burger <input type="text"/>		<input type="button" value="Delete EEO Contact"/>	
Region: *	HQ >> US Citizen Employee			
Date Aggrieved Person First Contacted Agency: *	<input type="text" value="mm/dd/yyyy"/>	Method of Contact:	<input type="text"/>	
Intake Person:	Deepika Patel	Inquiry Purpose: *	<input type="text"/>	
Date of First Incident: *	<input type="text" value="mm/dd/yyyy"/>			
Date of Latest Incident: *	<input type="text" value="mm/dd/yyyy"/>	Deadline to file an Informal Complaint:	TBD	
Concern Reported by Aggrieved Person:	<input type="text"/>			
IS INCIDENT AN EEO MATTER?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A			
IS INCIDENT HARASSMENT-RELATED?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A			
Select one of the following options to continue:				
<input type="checkbox"/> The Aggrieved Person wants to file an EEO Complaint at this time.				
<input type="checkbox"/> The Aggrieved Person DOES NOT want to file an EEO Complaint at this time.				

2. Use the date picker to select the *Date Aggrieved Person First Contacted Agency*. After selecting a date, the *Deadline to file an Informal Complaint* automatically calculates and displays:

CON-PC-22-00013 - EEO Contact		Status: Open (Inquiry Created)	
Contact Information			
Aggrieved Person:	Jake Burger <input type="text"/>		<input type="button" value="Delete EEO Contact"/>
Region: *	HQ >> US Citizen Employee		
Date Aggrieved Person First Contacted Agency: *	<input type="text" value="09/15/2022"/>	Method of Contact:	<input type="text"/>
Intake Person:		Inquiry Purpose: *	<input type="text"/>
Date of First Incident: *	<input type="text" value="mm/dd/yyyy"/>		
Date of Latest Incident: *	<input type="text" value="mm/dd/yyyy"/>	Deadline to file an Informal Complaint:	<input type="text" value="10/31/2022"/>
Concern Reported by Aggrieved Person:	<input type="text"/>		
IS INCIDENT AN EEO MATTER?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A		
IS INCIDENT HARASSMENT-RELATED?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A		
Select one of the following options to continue:			
<input type="checkbox"/> The Aggrieved Person wants to file an EEO Complaint at this time.			
<input type="checkbox"/> The Aggrieved Person DOES NOT want to file an EEO Complaint at this time.			

3. Select the **Inquiry Purpose** from the drop-down list.
4. Use the date picker to select the **Date of First Incident**.
5. Use the date picker to select the **Date of Latest Incident**.
6. Additional fields and selections are available on this form. Review all questions to ensure the proper selections are made depending on the facts and circumstances surrounding the complaint.



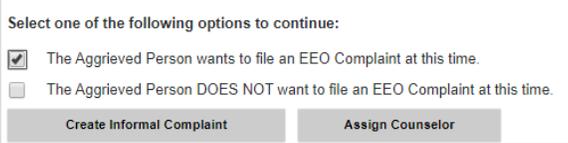
7. Under *Is incident harassment related?* if **Yes** is selected, an additional field appears to *Notify management?* If **Yes** is selected, a button appears to **Send Email**, as shown below. You can click this button to send an email to management.

8. Click **Save** to save the details entered on the form. All required fields must be complete to save the form.

2.4 Complete EEO Contact

To complete the EEO Contact process, the user must determine which pathway to follow. Under the field *Select one of the following options to continue*, two checkboxes are available.

One of these checkboxes must be selected to continue to Inquiry process. Each option is described in the table below:

Option	Description
<p>The Aggrieved Person wants to file an EEO Complaint at this time.</p>	<p>The AP elects to move forward in creating an EEO Complaint. Selecting this option prompts the page to refresh and display to Create Formal Complaint or Assign Counselor buttons.</p> 
<p>The Aggrieved Person DOES NOT want to file an EEO Complaint at this time.</p>	<p>The AP does not wish to proceed with the EEO Complaint process at this time. This selection prompts the page to refresh and display the <i>Closing Comments</i> free text field.</p>

Depending on the selection made, see the following subsections for next steps in the process.



2.4.1 Create Informal Complaint from an Inquiry

From the Inquiry screen, follow the steps below to proceed to Complaint creation:

1. Within the *EEO Contact* page, ensure the required fields are complete and then click the **Aggrieved Person wants to file an EEO Complaint at this time** checkbox.
2. The workspace refreshes to display additional buttons. Click **Create Informal Complaint**.

Select one of the following options to continue:

The Aggrieved Person wants to file an EEO Complaint at this time.

The Aggrieved Person DOES NOT want to file an EEO Complaint at this time.

Create Informal Complaint Assign Counselor

3. The screen refreshes to display an updated EEO Contact case folder, with the status updated to **(A) Completed On Time (Informal Complaint Created)**. You can also click the link to view the newly created **(B) Informal Complaint**.

Issues and Bases EEO Contact Event Log Documents

A

IN-2020-01962 - EEO Contact Status: Completed On Time (Informal Complaint Created)

Contact Information

Aggrieved Person:	Beverly Shorp X		
Date Aggrieved Person First Contacted Agency:	07/21/2020	Method of Contact:	
Intake Person:	Super User	Inquiry Purpose*:	To seek information about the EEO process
Date of First Incident:	mm/dd/yyyy	Deadline to file an Informal Complaint:	07/28/2020
Concern Reported by Aggrieved Person:			
IS INCIDENT AN EEO MATTER?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A		
IS INCIDENT HARASSMENT-RELATED?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A		
Select one of the following options to continue:			
<input checked="" type="checkbox"/> The Aggrieved Person wants to file an EEO Complaint at this time.			
<input type="checkbox"/> The Aggrieved Person DOES NOT want to file an EEO Complaint at this time.			
Reason for Closing:	Informal Process Initiated	Contact Closed Date:	07/21/2020
Closing Comments:	Informal process Initiated	Informal Complaint:	IC-2020-01962 B

4. The *Informal Complaint* is now available for further action, and this EEO Contact is now closed.

2.4.2 Assign a Counselor

If you'd like to assign a counselor at this point (not required), follow the steps below on the *Inquiry* screen.

1. Within the *Inquiry* form, after selecting one of the first two options, select **Assign Counselor**:



EEO Contact Processing

Select one of the following options to continue:

- The Aggrieved Person gives permission for name to be used when attempting resolutions.
- The Aggrieved Person DOES NOT give permission AT THIS TIME for name to be used to resolve concerns.
- Aggrieved Person DOES NOT want to file an EEO Complaint at this time.

Create Informal Complaint

Assign Counselor

2. The *Inquiry* screen refreshes to show the *Assign Counselor* fields, as shown below:

The screenshot shows the EEO Contact processing interface. At the top, there are navigation tabs: EEO Contact, Issues and Bases, Event Log, and Documents. Below the tabs, it shows 'Initiating Office : CSOSA -' and 'Folder Owner : Admin Last'. The main content area is titled '2020-AR-00028 - EEO Contact' with a status of 'Open (Inquiry Created)'. The 'Assign Counselor' form contains the following fields:

- Task Name:** (A) Conduct Intake Interview
- Counselor:** (B) [Drop-down menu]
- Comments:** (C) [Text area]
- Turnaround Days:** (D) 3

At the bottom of the form, there are two buttons: 'Assign Task' and 'Back'.

3. The (A) *Task Name* field is auto populated, as it defaults to the first task in the Informal Complaint process.
4. Select a (B) **Counselor** from the *Counselor* drop-down list.
5. Add (C) **Comments** in the *Comments* field, if desired.
6. Enter the (D) **Turnaround Days** for the assigned task. A default value is automatically entered but can be changed as needed.
7. Click **Assign Task** to assign the task to the selected Counselor:



2020-AR-00028 - EEO Contact		Status: Open (Inquiry Created)
Assign Counselor		
Task Name:	Conduct Intake Interview	
Counselor:*	Admin Last	
Comments:	Please complete the intake interview in the time provided	
Turnaround Days:*	3	
<input type="button" value="Assign Task"/> <input type="button" value="Back"/>		

2.4.3 Do Not File an EEO Complaint

An AP may wish not to file an EEO Complaint at the present time. If so, follow the steps below to close the Inquiry.

1. Within the *EEO Contact* form, select the **The Aggrieved Person DOES NOT want to file an EEO Complaint at this time** checkbox. The page refreshes to display additional fields.

Select one of the following options to continue:

The Aggrieved Person wants to file an EEO Complaint at this time.

The Aggrieved Person DOES NOT want to file an EEO Complaint at this time.

Prior to closing the EEO Contact be sure to notify Aggrieved Person that the last day to file a complaint is Monday, October 17, 2022.

Reason for Closing:	Aggrieved Person DOES NOT want to file an EEO Complaint at this time.
Closing Comments:	
<input type="button" value="Close EEO Contact"/>	

2. The *Reason for Closing* field is auto populated and cannot be changed. Add a **comment** in the *Closing Comment* free-text field to explain circumstances around the closure.

(!!) Note: As indicated above the Reason for Closing field, contact the AP and notify them of their last day to file a complaint. This date is also displayed in the notification message.

3. Click **Close EEO Contact**.

Prior to closing the EEO Contact be sure to notify Aggrieved Person that the last day to file a complaint is Monday, October 17, 2022.

Reason for Closing:	Aggrieved Person DOES NOT want to file an EEO Complaint at this time.
Closing Comments:	This is a sample Closing Comment for documentation purposes.
<input type="button" value="Close EEO Contact"/>	

4. A confirmation message appears. Click **Yes** to close the EEO Inquiry.
5. The pop-up window closes, and the EEO Contact page refreshes to display that the status of the Inquiry is now updated to Completed On Time (Closed).



2.5 Reopen EEO Contact

Within the allotted time frame, an AP who initially elected not to pursue a complaint may change their mind and elect to pursue an EEO Complaint. Follow the steps below to reopen a closed EEO Contact.

1. Navigate to the EEO Contact folder for the contact that needs to be reopened.
2. Within the *EEO Contact* tab, click **Reopen**.

The screenshot shows the 'EEO Contact' interface for contact 'CON-PC-22-00014 - EEO Contact'. The status is 'Completed On Time (Closed)'. The 'Contact Information' section includes fields for 'Aggrieved Person' (Jake Burger), 'Region' (HQ >> US Citizen Employee), 'Date Aggrieved Person First Contacted Agency' (09/01/2022), and 'Method of Contact'. A red arrow points to the 'Reopen' button, which is circled in red.

3. The page refreshes to display the Reopen workspace. Enter any relevant information in the **Comments** field.
4. Click **OK**.

The screenshot shows the 'Reopen' workspace for contact 'CON-PC-22-00014 - EEO Contact'. The status is 'Completed On Time (Closed)'. The 'Comments' field contains the text 'Sample Reopening Comment for Documentation Purposes.'. Below the field, there is a prompt: 'Click OK to Reopen Inquiry or click Back to go to previous screen.'. The 'OK' button is circled in red, and a red arrow points to it.

5. The page refreshes to display the full EEO Contact case folder, and the status is updated to *In Progress (Inquiry Reopened)*.

The screenshot shows the updated EEO Contact case folder. The status is 'Status: In Progress (Inquiry Reopened)'. A 'Delete EEO Contact' button is visible at the bottom right.



3 Informal Complaints

After an Inquiry is complete, the Aggrieved Person may opt to proceed to creating an Informal Complaint.

This section contains information about:

- Creating a new Informal Complaint
- Working in an Informal Complaint folder
- Rights and Responsibilities
- Conducting the Initial Interview
- Traditional Counseling
- Documenting the Final Interview
- Submitting Corrective Actions
- Issuing a Notice of Right to File
- Converting an Informal Complaint to a Formal Complaint
- Alternative Dispute Resolution
- Informal Closure

Informal Complaints are recommended be processed from an existing Inquiry. From the *Inquiry* folder, there are options to create an Informal Complaint. Consult the *Create Informal Complaint from an Inquiry* subsection of this document for more information about how to create an Informal Complaint from an existing Inquiry. Alternatively, a new Informal Complaint can be created without proceeding from an Inquiry. This process is described in the subsection below.

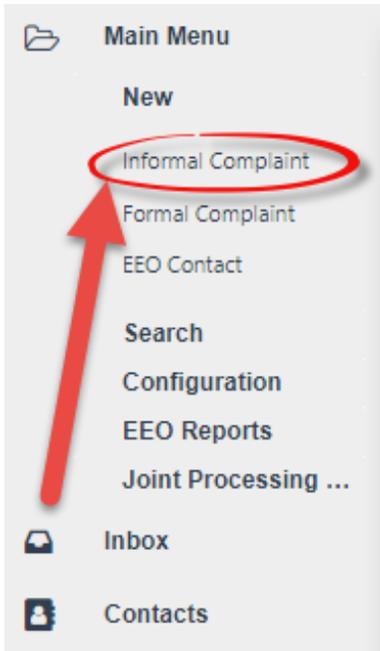
3.1 Create New Informal Complaint

Follow the steps below to create a new *Informal Complaint*.

1. Counselors are responsible for creating Informal Complaints. The Counselor must login to the eComplaint application.
2. Within the *Home Page*, click **Main Menu > New > Informal Complaint:**



Informal Complaints



3. The page refreshes to display a blank *New Informal Complaint* form.

Save Spell...

New Informal Complaint

Complaint Information

Aggrieved Person: *	<input type="text"/>	Q
Region: *	<input type="text"/>	🔍
Initial Contact Date: *	<input type="text" value="mm/dd/yyyy"/>	📅

Next *Click Next to continue.*

4. In the *Aggrieved Person* field, click the **Lookup** icon. The *Search for Contact* pop-up window appears. Use this pop-up window execute a search, select the contact to be added to the Complaint, and then click **Select**.

(!!) Note: The Aggrieved Person is also the Claimant.



Informal Complaints

Q Search + New ▾ Select Criteria Save Save As

Contact Type [All] ▾

Contact Information

First Name

Last Name

Full Name

Email

Address (Primary)

Organization Name

Department

ADDRESS 1

ADDRESS 2

City

State/Region(US) Select State ▾

Other State

Zip Code

(!!) Note: Within the Search for Contact pop-up window, the +New drop-down list allows you to create new Contacts from within the lookup screen if the contact does not exist in the system. Locate the contact, or create a new one, then click Select to add this contact to the complaint.

5. Click the **Region** lookup. The *Region Selection* pop-up window appears.

New Informal Complaint

Complaint Information

Aggrieved Person: * Jake Burger X

Region: *

Initial Contact Date: * mm/dd/yyyy

 Click Next to continue.



6. Expand the folder tree and click the **checkbox** adjacent the desired location. Click **OK**.



Informal Complaints

Region Selection

Filter by Name:

Selected Region:

Peace Corps (PC)

- HQ (HQ)
 - US Citizen Employee (USC)
 - Non-US Citizen Employees (NUSE)
 - Volunteers (VOL)



- The pop-up window closes, and the selected value appears in the Region field. Use the date picker to select the **Initial Contact Date**.
- Click **Next**.

Save Spell...

New Informal Complaint

Complaint Information

Aggrieved Person: *	John Doe X
Region: *	HQ >> US Citizen Employee
Initial Contact Date: *	09/05/2022

Click Next to continue.



- The page refreshes to display the *Complaint Information* tab of the newly created Informal Complaint case folder.



Informal Complaints

Complaint Information	Claims and Bases	Documents	Project Team	Consolidated Complaint	Appeal Events	Contacts	Corrective Actions	Event Log
PC-22-00031 - Informal Complaint Rights and Responsibilities								
<input type="checkbox"/> Remand <input type="checkbox"/> Conflict of Interest		Next Action: <input type="text"/> →						
Aggrieved Person: <u>John Doe</u>				EEO Contact #: N/A				
Date Information Informal Remaining Days: 19								
Inquiry Dates			Informal Dates			Formal Dates		
Incident: mm/dd/yyyy <input type="text"/>			Initial Interview: N/A			<i>N/A until complaint becomes formal</i>		
Initial Contact: 09/05/2022 <input type="text"/>			ADR Completed On: N/A					
45th Day After Incident: TBD			Final Interview: N/A					
ADR Offered On: N/A			EEO Counselor's Report Submitted On: N/A					
Inquiry Closed Date: N/A			Notice of Right to File Dis. Complaint Provided On: N/A					
			Formal Complaint Must Be Filed By: N/A					
			Counseling Due Date: 10/05/2022					
			Counseling Closed On: N/A					
Anonymity								
The complainant has the right to remain anonymous at the pre-complaint stage of the EEO counseling process.				<input type="checkbox"/> Yes, I elect to remain anonymous.				
				<input type="checkbox"/> No, I waive my right to remain anonymous.				
Does the complainant wish to remain anonymous?								
Complaint Against								
Region: *		<input type="text" value="HQ >> US Citizen Employee"/>						
		<input type="button" value="Add RMO"/>						
RMO(s):		No Responsible Management Official (RMO) have been added against this complaint.						

10. Before additional action can be taken on the case folder, determine whether the AP elects to remain anonymous. Locate the *Anonymity* section and click the **Yes radio button** if the AP elects to remain anonymous. If the AP waives the right to remain anonymous, select **No**:

Anonymity	
The complainant has the right to remain anonymous at the pre-complaint stage of the EEO counseling process.	<input type="checkbox"/> Yes, I elect to remain anonymous.
	<input type="checkbox"/> No, I waive my right to remain anonymous.
Does the complainant wish to remain anonymous?	

11. Click **Save** to save the status. Consult the subsections below for information about the actions you can now take in the Informal Complaint folder.

3.2 Informal Complaint Folder

After the Informal Complaint is created in the system, the *Complaint Information* appears as shown in the example below:



Informal Complaints

Complaint Information
Claims and Bases
Documents
Project Team
Consolidated Complaint
Appeal Events
Contacts
Corrective Actions
Event Log

PC-22-00031 - Informal Complaint
Rights and Responsibilities

Remand Conflict of Interest Next Action: ▼ ➔

Aggrieved Person: John Doe 👤
EEO Contact #: N/A

Date Information
Informal Remaining Days: 19

Inquiry Dates	Informal Dates	Formal Dates
Incident: <input type="text" value="mm/dd/yyyy"/>	Initial Interview: N/A	<i>N/A until complaint becomes formal</i>
Initial Contact: <input type="text" value="09/05/2022"/>	ADR Completed On: N/A	
45th Day After Incident: TBD	Final Interview: N/A	
ADR Offered On: N/A	EEO Counselor's Report Submitted On: N/A	
Inquiry Closed Date: N/A	Notice of Right to File Dis. Complaint Provided On: N/A	
	Formal Complaint Must Be Filed By: N/A	
	Counseling Due Date: 10/05/2022	
	Counseling Closed On: N/A	

Anonymity

The complainant has the right to remain anonymous at the pre-complaint stage of the EEO counseling process.

Does the complainant wish to remain anonymous?*

Yes, I elect to remain anonymous.

No, I waive my right to remain anonymous.

Complaint Against

Region: HQ >> US Citizen Employee 🗺️

RMO(s): Add RMO

No Responsible Management Official (RMO) have been added against this complaint.

The *Informal Complaint* interface consists of two primary elements: The **(A) Complaint Information** form, where the user lands after opening the complaint, and the various **(B) Tabs** for processing the complaint. Each are detailed in the following sections.

3.2.1 Complaint Information Form Fields

The fields on the *Complaint Information* tab are shown below, and described in the following table:



Informal Complaints

Complaint Information | Claims and Bases | Documents | Roles | Consolidated Complaint | Contacts | Corrective Actions | Event Log | Fees | Assignments

PC-22-00036 - Informal Complaint

A

Rights and Responsibilities

Remand Conflict of Interest

Next Action: →

Aggrieved Person: [Jake Burger](#) EEO Contact #: N/A

Date Information Informal Remaining Days: -2

Inquiry Dates	Informal Dates	Formal Dates
Incident: <input type="text" value="mm/dd/yyyy"/>	Initial Interview: N/A	<i>N/A until complaint becomes formal</i>
Initial Contact: <input type="text" value="09/01/2022"/>	ADR Completed On: N/A	
45th Day After Incident: N/A	Final Interview: N/A	
ADR Offered On: N/A	EEO Counselor's Report Submitted On: N/A	
Inquiry Closed Date: N/A	Notice of Right to File Dis. Complaint Provided On: N/A	
B	Formal Complaint Must Be Filed By: N/A	
	Counseling Due Date: 10/01/2022	
	Counseling Closed On: N/A	

Anonymity

The complainant has the right to remain anonymous at the pre-complaint stage of the EEO counseling process.

- Yes, I elect to remain anonymous.
 No, I waive my right to remain anonymous.

Does the complainant wish to remain anonymous?*

C

Complaint Against

Region:

D

RMO(s):
 No Responsible Management Official (RMO) have been added against this complaint.

Case Details

Action Office:

E

Description:

Representative(s):
 No Representative(s) have been added to this case.

Role Assignments

Counselor:

F

Manager:

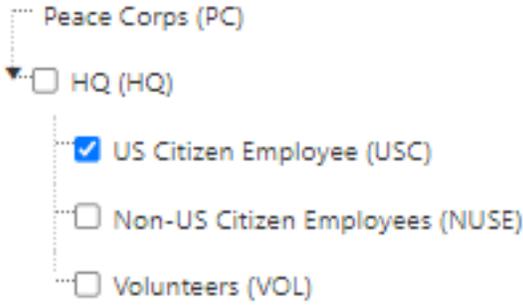
EEO Specialist:

ADR Specialist:

Next Action: →



Informal Complaints

Reference	Field	Description
A	Complaint ID	The Informal Complaint Identification Number . If there is an associated EEO Contact Case, the ID appears as a hyperlink. If there is an associated EEO Contact, this is linked in the <i>EEO Contact #</i> field.
B	Date Information	This section tracks the pertinent dates for each period in the complaint process. There are fields for <i>Incident Date</i> , <i>Inquiry Dates</i> , <i>Informal Dates</i> , and <i>Formal Dates</i> .
C	Anonymity	Use the radio buttons to indicate whether the AP wishes to remain anonymous.
D	Complaint Against	<p>The <i>Region</i> lookup is used to select the region of the person against whom the complaint is being filed. Use the  Lookup icon to select a region. The <i>Region</i> list includes nested fields, use the Show/Hide button to show nested lists and use the checkbox to select the entity against whom the complaint is filed:</p>  <p>Additionally, use the Add RMO button to add a Responsible Management Official to the complaint.</p> <p>(!!) Note: This field can be altered after the complaint case folder is created by clicking the lookup and selecting another value from the pop-up window.</p>

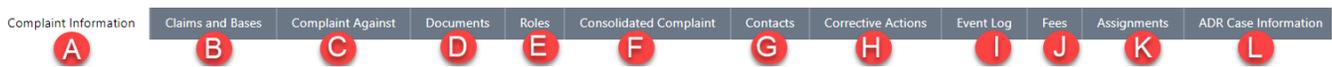


Informal Complaints

Reference	Field	Description
E	Case Details	This subsection tracks information about the complaint including the <i>Action Office</i> (if applicable), a <i>Description</i> for the case, and the Add Representatives button. If this information was provided in an origination EEO Contact, these details are automatically added to the IC.
F	Role Assignments	Assigned roles for processing the complaint, including <i>Counselor, Manager, EEO Specialist, and ADR Specialist</i> .

3.2.2 Tabs

The *Informal Complaint* case folder includes the following tabs, as described in the table below:



Reference	Tab	Description
A	Complaint Information	Details about the Informal Complaint are captured in this tab. Important dates are also listed in this tab to aid in visibility while processing complaints.
B	Claims and Bases	Specific Issues related to the complaint are added and managed from this tab. Each issue can be associated with a basis of discrimination, as well as Witnesses who can be included in complaint-related activities, such as interviews.
C	Complaint Against	Details about the organization the complaint has been filed against are captured on this tab.



Informal Complaints

Reference	Tab	Description
D	Documents	Documents associated with the complaint can be viewed and managed from the <i>Documents</i> tab. Documents can also be added and removed, if required.
E	Roles	Manage the users, groups, and permissions associated with this Complaint.
F	Consolidated Complaint	View associated consolidated complaints (if any have been created).
G	Contacts	Manage <i>Contacts</i> related to this complaint. These can be added as new contacts or pulled from existing system contacts.
H	Corrective Actions	This tab allows authorized users to create and record Corrective Action entries. Multiple Corrective Actions can be logged within this tab.
I	Event Log	View a list of events captured in the system while the complaint is processed. Step outcomes and associated documentation can be viewed from this tab. See the <i>Case Event Log</i> section for details.
J	Fees	Create and manage fees related to this Complaint.
K	Assignments	The Assignment tab typically drives the case folder workflow, however, in the eComplaint application, the <i>Assignments</i> tab is used to record Sub Folders, Linked Folders, and FYI Copies.



Reference	Tab	Description
L	ADR Case Information	If eComplaint – ADR integration is configured, the <i>ADR Case Information</i> tab is available once an ADR case has been initiated from the folder.

(!!) Note: Additional case tabs may appear depending upon the organizational configuration.

3.3 Anonymity/Rights and Responsibilities

The Aggrieved Person has rights and responsibilities throughout the Complaint lifecycle, including the right to remain anonymous. Before additional action can be taken on the IC, determine whether the AP elects to remain anonymous, and provide their Rights and Responsibilities. Follow the steps below to log these actions:

1. Open the desired Informal Complaint case folder and within the *Complaint Information* tab, locate the *Anonymity* subsection. Click the **Yes** radio button if the AP elects to remain anonymous. Alternatively, if the AP waives the right to remain anonymous, click the **No** radio button.

2. Click **Save** to save the change in status.
3. Select **Rights and Responsibilities** from the *Next Action* drop-down list, and then click the **Next** arrow.

4. The *Rights and Responsibilities* pop-up window appears. First, use the date picker to select the **Date the following provided to the aggrieved**.



5. The aggrieved party should also be provided with the *Notice of Rights and Responsibilities*, *Notice of Right of Representation*, and *Notice to Right to Anonymity*. Select the **Yes** radio button beside each to indicate that the aggrieved party was provided with all documentation.
6. Enter any **relevant information** in the *Comments* field.
7. Click **Submit**. The pop-up window closes, and the Informal Complaint folder refreshes to display the updated status.

3.4 Initial Interview

Complete the steps outlined below to process the complaint through the normal lifecycle starting with conducting the Initial Interview:

(!!) Note: The Anonymity radio button must be complete before logging the Initial Interview.

1. Open the desired Informal Complaint. The folder opens to the *Complaint Information*.
2. Click the **(A) Next Action** drop-down list and select **Complete Initial Interview**, then click the **(B) Arrow**:

3. The *Initial Interview* pop-up window appears. Use the date picker to select the Date of Initial Interview.
4. Enter the name of the **Initial Interview EEO Counselor** in the field.
5. Enter a **summary of initial interview** using the free text field.



6. When complete, click **Submit**.
7. The pop-up window closes, and the case folder refreshes.

3.5 Offer ADR

After the Initial Interview has been conducted, the next step is to offer ADR. To complete the Offer ADR workflow step:

1. Open the desired case folder and navigate to the *Complaint Information* tab. Select **Offer ADR** from the *Next Action* drop-down list, then click the **Arrow** button.

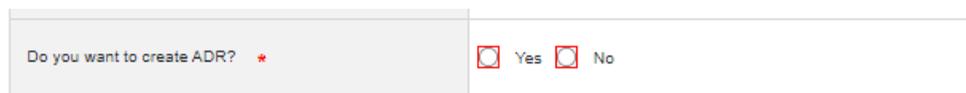
2. The *ADR Offer* pop-up window appears. Use the date picker to select the **Date ADR Offered by Agency**.

3. Enter any relevant information in the *Comments* field.
4. Click **Submit**. The pop-up window closes, and the case folder page refreshes to display a new Status: Review IP.
5. Within the *Next Action* drop-down list, select **Capture ADR Acceptance** and click the **Arrow** button.





6. The *ADR Acceptance Details* pop-up window appears. Select one of the *Did the Aggrieved Person accept ADR?* radio buttons based on the AP's decision.
7. Use the date picker to select the **Date of ADR Accepted/Rejected**.
8. Enter any relevant information in the *Comments* field.
9. If the AP accepted ADR, the *Do you want to create ADR?* field appears. If you select **Yes**, an ADR case will be created from eComplaint. If **No** is selected, you can proceed with ADR through eComplaint, but no ADR case will be created. When an ADR case is created, all pertinent fields specified on the *eComplaint - ADR Configuration* tab will map to the newly created ADR case.



10. Click **Submit** to log the decision. If ADR is accepted, consult the *Informal ADR* section for next steps. Otherwise, see the *Traditional Counseling* section.

3.6 Informal Alternative Dispute Resolution

APs have the option to pursue ADR to resolve their complaint. ADR must be offered to the AP as part of the Initial Interview process. The AP decides whether to pursue ADR. If the AP does not accept ADR, traditional counseling is pursued. The following sections capture the Informal ADR process.

(!!) Note: If the AP elects to remain anonymous, you cannot pursue ADR.

3.6.1 ADR Acceptance

Follow the steps below to complete the ADR Acceptance stage.

1. After the AP is offered ADR, users can indicate if the ADR was accepted or declined during the *Capture ADR Acceptance* phase.
2. Select **Capture ADR Acceptance** from the *Next Action* drop-down list and click the **Arrow** button.



- The *Informal Accept/Reject of ADR* pop-up window appears. Select one of the *Did the Aggrieved Person accept ADR?* radio buttons based on the AP's decision. If **No** is selected, the case proceeds into Traditional Counseling. See the Traditional Counseling section for details. If **Yes** is selected, the case folder proceeds into ADR.

(!!) Note: If the No radio button is selected, then this is the formal designation that the AP has rejected ADR.

- Provide a *Date ADR Accepted* (this is required), and optionally provide any comments.
- If you selected the **Yes** *Did the Aggrieved Person accept ADR?* radio button, the *Do you want to create ADR?* field appears. If you select **Yes**, an ADR case will be created from eComplaint.
- Click **Submit** to submit the acceptance.
- The complaint enters *Informal ADR*. See the following sections for details on completing the ADR process.

3.6.2 ADR Event

Complaints in the Informal ADR process require to capture ADR Events. Follow the steps below to capture an ADR event:

- Open a complaint in the Informal ADR Process, and select **Capture ADR Event** from the *Next Action* menu and click the **Arrow** button:

- The *Conduct Informal ADR* pop-up window appears. Fields are available to capture details about the ADR event, as described in the following table:



Informal Complaints

Submit

Close

Conduct Informal ADR	
ADR Document:	Add Document(s)
Date ADR Held: *	<input type="text" value="mm/dd/yyyy"/> 
Type of ADR Held: *	<input type="text" value=""/> ▼
Resources Used: *	<input type="text" value=""/> ▼
Agency Official at ADR:	<input type="text"/>
Comments:	<input type="text"/>

Field	Description
ADR Document	Use the Add Document link to add any supporting documentation as an attachment available of the <i>Documents</i> tab.
Date ADR Held	Use the calendar icon to select a date when the ADR event occurred.
Type of ADR Held	Use the drop-down list to select the type of ADR event being captured. Out-of-the-box options include <i>Early Neutral Evaluation, Facilitation, Fact Finding, Mediation, Ombuds, Peer Review</i> and <i>Settlement Conferences</i> .
Resources Used	Indicate the resources used for the Informal ADR Event. Out-of-the-box options include <i>Federal Executive Board, In-house, Other, Other Federal Agency, and Private Organizations</i> .



Informal Complaints

Field	Description
Agency Official at ADR	Note the agency official in attendance during the ADR.
Comment	Provide any comments.

3. Click **Submit**.
4. After the ADR Event is submitted, it can be viewed from the *Case Event Log*. Select the **Informal ADR Event** to view the details and any associated documentation:

Complaint Details | Issues and Bases | Contacts | Fees | Corrective Actions | **Case Event Log** | Documents | Roles | Consolidated Complaint

Initiating Office : CSOSA - Folder Owner : Admin Last

2020-COMP-00045 - Informal Complaint Informal ADR

Event Log

Add Log Activity

Event Name	Event By	Event Date	Event Comments	Created Date
Informal ADR Event	Admin Last	5/4/2020		5/4/2020
Informal ADR Accepted	Admin Last	5/4/2020	ADR Accepted	5/4/2020
Informal Offer ADR	Admin Last	5/1/2020	Offered ADR	5/4/2020
Initial Interview	Admin Last	5/1/2020	Went well	5/4/2020
Counselor Assigned	Admin Last	4/30/2020	Admin Last Assigned as Counselor	4/30/2020
Informal Created	Admin Last	4/30/2020	Informal Complaint has been Created with No IC-2020-00028, Initial Contact Date is 4/29/2020	4/30/2020

Repeat this process to add more ADR Events as needed. Any events added to the complaint can be viewed from the *Case Event Log*.

3.6.3 ADR Outcome

After submitting ADR Events, the ADR Outcome must be captured. Follow the steps below to capture the ADR Outcome.

1. Open the desired Informal Complaint case folder, and navigate to the **Complaint Details** tab.
2. Select **Capture ADR Outcome** from the *Next Action* drop-down list and click the **Arrow** button.

Informal ADR

Next Action: Capture ADR Outcome 

3. The *ADR Outcome* screen appears. Use the date picker to select the **Date ADR Ended**.



Submit Close

Informal ADR Outcome	
Date ADR Ended: *	<input type="text" value="mm/dd/yyyy"/>
Outcome of ADR: *	<input type="text"/>
Comments:	<input type="text"/>

4. Select the **Outcome of ADR** from the drop-down list. Selections include: *Settlement*, *No Settlement*, and *No ADR Attempt*.

(!!) Note: The Outcome of ADR drop-down list selection determines the Next Actions that the case folder must take.

5. Enter **Comments**, if applicable.

6. Click **Submit**. The next step depends on the selected Outcome; see the table below.

Outcome	Next Steps
No Settlement	Complaints that did not reach settlement through ADR must proceed to Conduct Final Interview. Additionally, select a <i>No Settlement Type</i> .
No ADR Attempt	If No ADR Attempt is selected, the complaint routes to Traditional Counseling. See the <i>Traditional Counseling</i> section for more details
Settlement	If Settlement is reached, the complaint moves into Informal Closure. See the <i>Informal Closure</i> section for more details. Additionally, there is the option to add a <i>Settlement Agreement</i> attachment document.

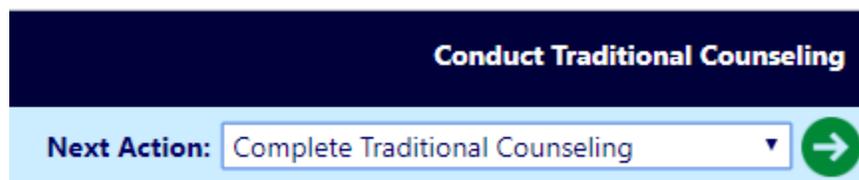
3.7 Traditional Counseling

If the AP does not opt for ADR, or a resolution is not reached in the ADR process, the complaint enters Traditional Counseling. This counseling takes place offline with the outcome logged in eComplaint. Complete the steps below to record the Traditional Counseling information:



Informal Complaints

1. Open a Complaint eligible for Traditional Counseling, open the desired case folder and navigate to the *Complaint Information* tab. Select **Complete Traditional Counseling** from the *Next Action* drop-down list, then click the **Arrow** button to proceed:

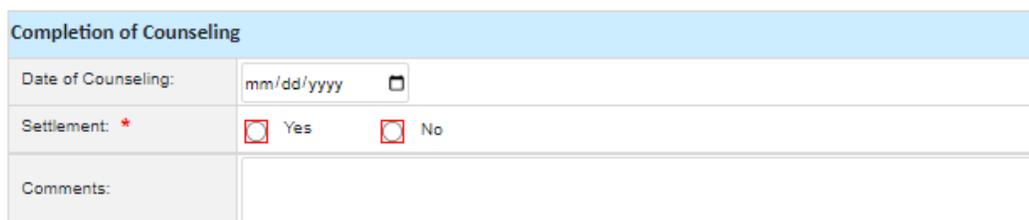


Conduct Traditional Counseling

Next Action: Complete Traditional Counseling 

2. The *Complete Traditional Counseling* pop-up window appears. Use the date picker to select the **Date of Counseling** when the counseling was completed.



Completion of Counseling

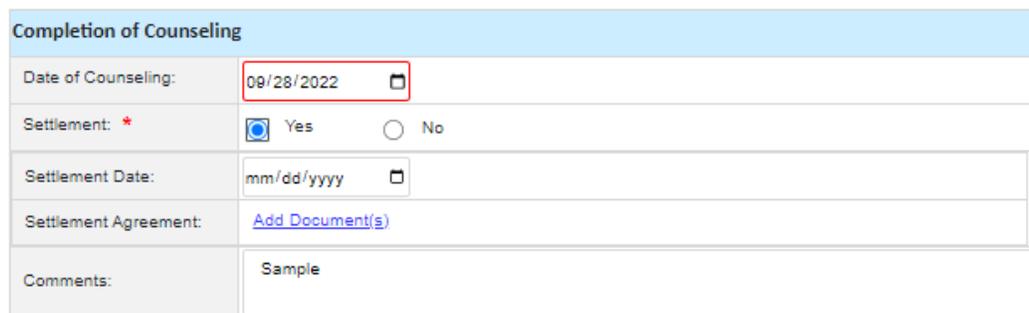
Date of Counseling: mm/dd/yyyy 

Settlement: * Yes No

Comments:

3. Indicate if there was a Settlement by selecting the **Yes** or **No** radio button.
 - a. If the **Yes** radio button is selected, the pop-up window refreshes to display additional fields.
4. Use the date picker to select the **Settlement Date**.
5. Click **Add Documents** upload a Settlement Agreement.



Completion of Counseling

Date of Counseling: 09/28/2022 

Settlement: * Yes No

Settlement Date: mm/dd/yyyy 

Settlement Agreement: [Add Document\(s\)](#)

Comments: Sample

6. Enter any **additional information** in the Comments field.
7. Click **Submit**. The pop-up window closes and the *Complaint Information* tab refreshes to display the updated status:
 - a. If Settlement was reached, the status updates to *Informal Closure*. See the *Corrective Actions* section for details of next steps.



- b. If no settlement is reached, the next step is to *Conduct Final Interview*. See the *Final Interview* section for details.

3.8 Final Interview

The *Final Interview* portion of the process, if required per your configuration, occurs outside the application, however the results of this interview can be logged in eComplaint. To log Final Interview details:

1. When a complaint is eligible for *Final Interview*, the next step appears as *Conduct Final Interview* on the *Complaint Information* tab. Open the desired Complaint case folder.

2. Select **Conduct Final Interview** from the *Next Action* drop-down list and then click the **Arrow** button. The *Final Interview* pop-up window appears.

(!!) Note: The screen below is an example. The actual outcome details will vary depending upon customer configuration.

3. Use the date picker to select the **Date of Final Interview**.
4. Enter any additional information in the **Comments** field, if desired.
5. Click **Submit**. The pop-up window closes and the *Complaint Information* tab refreshes to display the updated status *Informal Closure*.
6. If the complaint successfully reached settlement, proceed to the *Submit Corrective Actions* section. Otherwise, if no settlement was reached, see section *Issue Notice of Right to File*.



3.9 Corrective Actions

Informal Complaints which have reached settlement proceed to *Informal Closure*. As part of Informal Closure, *Corrective Actions* must be submitted for the complaint. Follow the steps below to create Corrective Actions.

1. Open a complaint case folder in *Informal Closure* status and select **Corrective Actions** from the *Next Action* drop-down list.
2. Click the **Arrow** button. The *Corrective Actions* pop-up window appears:

3. Click **Add Corrective Action(s)**. The pop-up window refreshes, and additional fields appear for capturing the Corrective Actions:

4. Select the **Corrective Actions Type** from the drop-down list. This selection determines the options within the *Benefit* drop-down list.
5. Select the **Benefit** from the drop-down list.
6. Use the date picker to select the **Date of Settlement**.
7. Enter **Narrative Information** in the *Narrative* field.
8. Select the **Status** from the drop-down list.



9. Complete any remaining required fields.
10. Click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display a new status: *Pre Closure*.
11. Click **Save** record the changes to the case folder. If desired, navigate to the Corrective Actions tab and click the **Add Corrective Action** button to add more Corrective Action Entries as needed.

3.10 Issue Notice of Right to File

During the final interview phase, the AP may elect not to settle the dispute. For disputes which do not reach settlement, the AP must be issued a notice of right to file, informing the AP of their right to file a formal complaint.

(!!) Note: Cases require a Case Manager before issuing a Notice of Right to File.

Follow the steps below to issue a notice of right to file:

1. Within a complaint where Settlement was not reached, navigate to the *Complaint Information* tab, and select **Issue Notice of Right to File** from the *Next Action* menu then click the **Arrow** button.



2. The *Letter Template Information* appears. This pop-up window contains a predefined letter template for issuing a notice of right to file, including fields completed with information specific to this complaint:

Informal Complaints

Print | Send | Close

Issue Date*: 

Send Option:

To Email*:

Letter Template Information

Letter Template: * Notice of Right to File
Note: * fields are mandatory

Notice of Right to File Formal Complaint against Discrimination

October 4, 2022

Jake Burger

Dear Jake Burger:

On 10/3/2022 you contacted the HQ Alternative Dispute Resolution Center regarding an issue of concern to you. Specifically, you requested Traditional Counseling (or Mediation, if applicable) with regard to your issue of Duty Hours. You alleged that this action was due, all or in part, based on (your applicable complaint base(s) – color, age, race, disability, etc.).

Unfortunately, your issue was not resolved during counseling. Therefore, you now have the right to file a formal discrimination complaint with the within 15 calendar days after receipt of this notice. Please refer to the information you were previously provided on your rights and responsibilities, and the steps and time line for the complaint process.

If you file a complaint, it must be in writing, signed by you, be specific and contain only the issue discussed with me. It must also state whether you have filed a grievance under the negotiated or administrative grievance procedures or an appeal to the Merit Systems Protection Board on the same issues. You must immediately notify the Employment Complaints Division, in writing, if you are being represented by counsel.

Sincerely,

Randall Hamm

3. Click the **Calendar** tool to select the Issue Date for this letter. The date is important as it is used to calculate the time the AP has to issue the notice to file (must occur within 15 days of the issue date):

Print | Send | Close

Issue Date*: 

Send Option:

To Email*:

Letter Template Information

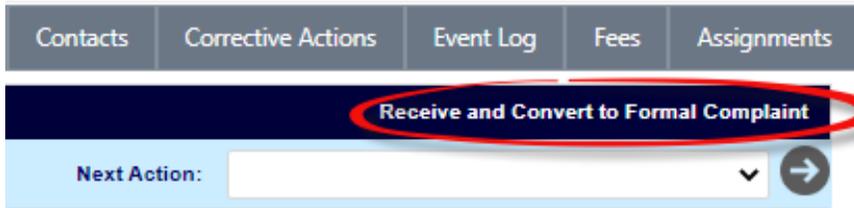
Letter Template: * Notice of Right to File
Note: * fields are mandatory

Notice of Right to F

4. Under the *Send Option* drop-down list there are selections for **Email** or **Hand Mail Copy**. If using **Email**, enter the **To Email** in the field.
5. You can configure the body of the message via the text editing tools, if required. Complete any edits and click **Send**. Alternatively, use the **Print** option to print to hard copy and send via post.



6. The Complaint status updates to *Receive and Convert to Formal Complaint* status.



7. If the AP elects to proceed to a Formal Complaint, follow the steps outlined in the *Convert to Formal Complaint* section.

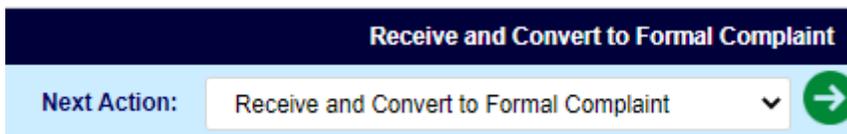
(!!) Note: Before the IC is converted to a formal complaint, the following actions may still be available: Offer ADR (if not previously offered), ADR Events, Acceptance and Outcome, as well as Settlement and Withdrawal.

3.11 Receive and Convert to Formal Complaint

An AP may elect to change a Complaint from an Informal Complaint to a Formal Complaint following receipt of a *Notice of Right to File*. Follow the steps below to convert to a Formal Complaint:

(!!) Note: Only Managers and Superusers can convert an Informal Complaint to a Formal Complaint.

1. Open the desired Informal Complaint case folder in *Receive and Convert to Formal Complaint* status.
2. Select **Receive and Convert Formal Complaint** from the *Next Action* drop-down list.



3. Click the **Arrow** button. The *Complaint Information* tab refreshes to display the *Receipt of Formal Complaint* workspace:



Informal Complaints

PC-22-00037 - Informal Complaint
Receive and Convert to Formal Complaint

Receipt of Formal Complaint

Upload Formal Complaint: *	Add Document *Please attach formal complaint		
Complainant:	Jake Burger		
Date of Formal Complaint: *	mm/dd/yyyy		
Does the Formal Complaint Allege:	Mixed EEO/MSPB Issues? <input type="checkbox"/>		
	Class(Group-Based) Issues? <input type="checkbox"/>		
Date Formal Complaint Received by Agency:	mm/dd/yyyy		
Delivery Method:	<div style="border: 1px solid #ccc; padding: 2px;">▼</div>		
Comments:	<div style="border: 1px solid #ccc; height: 20px;"></div>		

Select	Issue(s)	Base(s)	Date of Incident
<input type="checkbox"/>	Duty Hours	Religion	01/02/2021 to 07/04/2022

Please note that if a claim is not selected here to be converted, it will not be accessible in the "Accept/Dismiss Claims" step.

Convert to Formal Complaint
Back

4. Click **Add Document** to upload the letter received from the AP in the *Upload Formal Complaint* field.
5. Use the date picker to select the **Date of Formal Complaint**.
6. Complete any remaining required fields. The Convert to Formal Complaint button is activated. Click **Convert to Formal Complaint**.

Select	Issue(s)	Base(s)	
<input checked="" type="checkbox"/>	Duty Hours	Religion	

Please note that if a claim is not selected here to be converted, it will not be accessible in the "Accept/Dismiss Claims" step.

Convert to Formal Complaint
Back

(!!) Note: If this is a Mixed EEO/MSPB type (see the Does the Formal Account Allege field), hearing events are not allowed, and Final Agency Decision (FAD) is to be issued within 120 days of filing the Formal Complaint.

7. A confirmation message appears. Click **OK**. The case folder refreshes to display the newly converted Formal Complaint case folder, as shown below.



Informal Complaints

Complaint Details | Issues and Bases | Contacts | Fees | Corrective Actions | Case Event Log | Documents | Roles | Consolidated Complaint

Initiating Office: CSOSA - Folder Owner: Admin Last

2020-COMP-00050 - **Formal Complaint** Send Acknowledgement

EEO Contact#: N/A Remand Conflict of Interest Mixed Case Class Complaint **Next Action:** →

Complainant: Baxter Scrumo

Date Information Formal Remaining Days: 182

Inquiry Dates	Informal Dates	Formal Dates
Incident: <input type="text"/>	Initial Interview: 5/4/2020	Formal Complaint Filed On: 5/4/2020
Initial Contact: 5/4/2020 <input type="text"/>	ADR Completed On: N/A	Investigation to Be Completed By: 11/2/2020
45 th Day After Incident: TBD	Final Interview: 5/4/2020	Formal Complaint Closed On: N/A
ADR Offered On: 5/4/2020	EEO Counselor's Report Submitted On: N/A	
Inquiry Closed Date: N/A	Notice of Right to File Dis. Complaint Provided On: 5/4/2020	
	Formal Complaint Must Be Filed By: 5/19/2020	
	Counseling Due Date: 6/3/2020	
	Counseling Closed On: 5/4/2020	

Anonymity

- The Informal Complaint is now converted to a Formal Complaint. Proceed to the Formal Complaint section to begin processing the Formal Complaint.

3.12 Pre-Closure

ICs in Pre Closure status must have the complaint closed using the Close Complaint step. Follow the steps below to close a complaint in Pre Closure status.

- Open a complaint in Pre Closure Status.
- Select **Close Complaint** from the Next Action drop-down list and then click the **Next** arrow.

Receive and Convert to Formal Complaint

Next Action: Close Complaint →

- The *Close Informal Complaint* pop-up window appears. Use the date picker to select the **Informal Complaint Closed Date**.
- Enter any **Comments**, then click **Submit**.

Close Informal Complaint

Informal Complaint Closed Date: *

Comments:

- A confirmation pop-up window appears. Click **OK** to close the complaint.



- Closed complaints can also be reopened if needed, while in Pre Closure status. After a complaint is closed, select **Re-Open** from the *Next Action* drop-down list and then click the **Arrow** button.

- The *Re-Open* pop-up window appears. Select the *Date* when the complaint was re-opened, and provide any *Comments*, then click **Submit**:

- The case is re-opened in *Pre Closure* status.

3.13 Conduct Final Interview

After a case folder reaches Pre-Closure status, you can complete the Final Interview. To conduct Final Interview:

- Open the desired Case Folder and within the *Complaint Information* tab, select **Conduct Final Interview** from the *Next Action* drop-down list.

- Click the **Arrow** button. The *Final Interview* pop-up window appears.



Informal Complaints

3. Use the date picker to select the **Date of Final Interview**.
4. Enter any relevant information in the **Comments** field.
5. Click **Submit**. The pop-up window closes and the *Complaint Information* tab refreshes. The Complaint is now in the Informal Closure status.



4 Formal Complaints

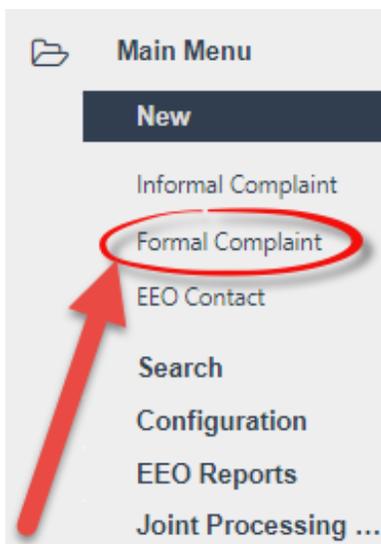
After an Informal Complaint has been converted to a Formal Complaint it can begin the resolution process and eventually reach closure. Formal Complaints must be processed from an existing Informal Complaint after conversion. This section contains details on:

- The Formal Complaint Folder
- Conversion and Processing
- Alternative Dispute Resolution
- The Investigation Phase
- EEOC Hearings
- Final Agency Decision
- Appeals
- Case Closure
- Remands, Abeyances, and Compliance

4.1 Create New Formal Complaint

The Manager must login to eComplaint to convert an Informal Complaint to a Formal Complaint or create a new Formal Complaint. Follow the steps below to create a new Formal Complaint.

1. Within the *Launch Pad*, click **Main Menu > New > Formal Complaint**:



2. The page refreshes to display a blank *New Formal Complaint* form, as shown below.



Formal Complaints

Save Spell...

New Formal Complaint

Complaint Information

Complainant: *	John Doe	Q
Region: *	HQ >> US Citizen Employee	
Initial Contact Date: *	mm/dd/yyyy	
Date of Formal Complaint: *	mm/dd/yyyy	Next <i>Click Next to continue.</i>

3. In the *Complainant* field, click the **Lookup** icon. The *Search for Contact* pop-up window appears. Use the fields this pop-up window to create the search criteria and click **Search**.

Q Search + New Select Criteria Save Save As

Contact Type [All]

Contact Information

First Name
Last Name
Full Name
Email

Address (Primary)

Organization Name
Department
ADDRESS 1
ADDRESS 2
City
State/Region(US) Select State
Other State
Zip Code

4. The pop-up refreshes to display a list of contacts that match the search criteria. Select the contact to be added to the Complaint, and then click **Select**.

+ New Actions Copy Contact to individual Select View Folders View Data Changes Back Close

Full Name	Primary Address	Secondary Address	Notes	Contact Type
Jake Burger				Employee

(!!) Note: If the contact does not exist within eCASE, within the *Search for Contact* pop-up window, click the **New** drop-down list to create a new **Contact** from within the lookup screen. Alternatively, locate the contact, or create a new one, then click **Select** to add this contact to the complaint.



Formal Complaints

5. Click the **Region** lookup. The *Region Selection* pop-up window appears.
6. Expand the folder tree and click the **checkbox** adjacent the desired region. Click **OK**.

Region Selection

Filter by Name:

Selected Region:

The image shows a tree view under 'Peace Corps (PC)'. The 'HQ (HQ)' folder is expanded, and a red box highlights the 'US Citizen Employee (USC)' checkbox, which is checked. A red arrow points from this checkbox to the 'OK' button, which is also circled in red. The 'Cancel' button is visible to the right of the 'OK' button.

7. The pop-up window closes, and the selected value appears in the Region field. Use the date picker to select the **Initial Contact Date**.
8. Use the date picker to select the **Date of Formal Complaint**.
9. Click **Next**.

The screenshot shows the 'New Formal Complaint' form. The 'Complainant' field is populated with 'John Doe'. The 'Region' field is populated with 'HQ >> US Citizen Employee'. The 'Initial Contact Date' is set to '09/01/2022' and the 'Date of Formal Complaint' is set to '09/07/2022'. The 'Next' button is highlighted with a red circle and a red arrow points to it. The text 'Click Next to continue.' is visible next to the 'Next' button.

10. The page refreshes to display the newly created Formal Complaint case folder.



Formal Complaints

Complaint Information | Claims and Bases | Documents | Roles | Consolidated Complaint | Contacts | Corrective Actions | Event Log | Fees | Assignments

PC-22-00038 - Formal Complaint Receive Formal Complaint

Remand
 Conflict of Interest
 Mixed Case
 Class Complaint
 Consolidated
 Next Action:

Complainant: Jake Burger EEO Contact #: N/A

Date Information Formal Remaining Days: 178

Inquiry Dates		Informal Dates		Formal Dates	
Incident:	mm/dd/yyyy	Initial Interview:	N/A	Formal Complaint Filed On:	10/02/2022
Initial Contact:	09/30/2022	ADR Completed On:	N/A	Investigation to Be Completed By:	03/31/2023
45th Day After Incident:	N/A	Final Interview:	N/A	Formal Complaint Closed On:	N/A
ADR Offered On:	N/A	EEO Counselor's Report Submitted On:	N/A		
Inquiry Closed Date:	N/A	Notice of Right to File Dis. Complaint Provided On:	N/A		
		Formal Complaint Must Be Filed By:	N/A		
		Counseling Due Date:			
		Counseling Closed On:	N/A		

Anonymity
At the Informal Stage, the Aggrieved Person did not indicate whether or not they wished to remain Anonymous.

Complaint Against

Region: * HQ >> US Citizen Employee

RMO(s): Add RMO
No Responsible Management Official (RMO) have been added against this complaint.

4.2 Formal Complaint Folder

After a Formal Complaint is created from an Informal Complaint, it opens to the *Complaint Information* tab, as shown in the example below:

Home / Formal Complaint / Complaint PC-22-00033 [In Progress]

Save | Actions | Permissions | Logs | Reports | Spelling

Complaint Information | Claims and Bases | Documents | Project Team | Consolidated Complaint | Appeal Events | Contacts | Corrective Actions | Event Log

PC-22-00033 - Formal Complaint Receive Formal Complaint

Remand
 Conflict of Interest
 Mixed Case
 Class Complaint
 Consolidated
 Next Action:

Complainant: John Doe EEO Contact #: N/A

Date Information Formal Remaining Days: 168

Inquiry Dates		Informal Dates		Formal Dates	
Incident:	mm/dd/yyyy	Initial Interview:	N/A	Formal Complaint Filed On:	09/07/2022
Initial Contact:	09/01/2022	ADR Completed On:	N/A	Investigation to Be Completed By:	03/08/2023
45th Day After Incident:	TBD	Final Interview:	N/A	Formal Complaint Closed On:	N/A
ADR Offered On:	N/A	EEO Counselor's Report Submitted On:	N/A		
Inquiry Closed Date:	N/A	Notice of Right to File Dis. Complaint Provided On:	N/A		
		Formal Complaint Must Be Filed By:	N/A		
		Counseling Due Date:			
		Counseling Closed On:	N/A		



The Formal Complaint interface consists of two primary elements: The **(A)** *Complaint Information* form, where the user lands after opening the complaint, and the various **(B)** *Tabs* for processing the complaint. Each are detailed in the following sections.

4.2.1 Form Fields

The fields on the *Complaint Information* form are identified in the image below and described in the following table:



Formal Complaints

Complaint Information	Claims and Bases	Documents	Project Team	Consolidated Complaint	Appeal Events	Contacts	Corrective Actions	Event Log																																			
<div style="display: flex; justify-content: space-between;"> A PC-23-00633 - Formal Complaint Receive Formal Complaint </div>																																											
<input type="checkbox"/> Remand <input type="checkbox"/> Conflict of Interest <input type="checkbox"/> Mixed Case <input type="checkbox"/> Class Complaint <input type="checkbox"/> Consolidated Next Action: <input type="text"/> →																																											
Complainant: John Doe				EEO Contact #: N/A																																							
Date Information								Formal Remaining Days: 188																																			
<div style="display: flex; justify-content: space-between;"> B Inquiry Dates Informal Dates Formal Dates </div>			<table border="1"> <tr><td>Incident:</td><td>mm/dd/yyyy</td></tr> <tr><td>Initial Contact:</td><td>09/01/2022</td></tr> <tr><td>45th Day After Incident:</td><td>TBD</td></tr> <tr><td>ADR Offered On:</td><td>N/A</td></tr> <tr><td>Inquiry Closed Date:</td><td>N/A</td></tr> </table>			Incident:	mm/dd/yyyy	Initial Contact:	09/01/2022	45th Day After Incident:	TBD	ADR Offered On:	N/A	Inquiry Closed Date:	N/A	<table border="1"> <tr><td>Initial Interview:</td><td>N/A</td></tr> <tr><td>ADR Completed On:</td><td>N/A</td></tr> <tr><td>Final Interview:</td><td>N/A</td></tr> <tr><td>EEO Counselor's Report Submitted On:</td><td>N/A</td></tr> <tr><td>Notice of Right to File Dis. Complaint Provided On:</td><td>N/A</td></tr> <tr><td>Formal Complaint Must Be Filed By:</td><td>N/A</td></tr> <tr><td>Counseling Due Date:</td><td></td></tr> <tr><td>Counseling Closed On:</td><td>N/A</td></tr> </table>			Initial Interview:	N/A	ADR Completed On:	N/A	Final Interview:	N/A	EEO Counselor's Report Submitted On:	N/A	Notice of Right to File Dis. Complaint Provided On:	N/A	Formal Complaint Must Be Filed By:	N/A	Counseling Due Date:		Counseling Closed On:	N/A	<table border="1"> <tr><td>Formal Complaint Filed On:</td><td>09/07/2022</td></tr> <tr><td>Investigation to Be Completed By:</td><td>03/06/2023</td></tr> <tr><td>Formal Complaint Closed On:</td><td>N/A</td></tr> </table>			Formal Complaint Filed On:	09/07/2022	Investigation to Be Completed By:	03/06/2023	Formal Complaint Closed On:	N/A
Incident:	mm/dd/yyyy																																										
Initial Contact:	09/01/2022																																										
45th Day After Incident:	TBD																																										
ADR Offered On:	N/A																																										
Inquiry Closed Date:	N/A																																										
Initial Interview:	N/A																																										
ADR Completed On:	N/A																																										
Final Interview:	N/A																																										
EEO Counselor's Report Submitted On:	N/A																																										
Notice of Right to File Dis. Complaint Provided On:	N/A																																										
Formal Complaint Must Be Filed By:	N/A																																										
Counseling Due Date:																																											
Counseling Closed On:	N/A																																										
Formal Complaint Filed On:	09/07/2022																																										
Investigation to Be Completed By:	03/06/2023																																										
Formal Complaint Closed On:	N/A																																										
C Anonymity At the Informal Stage, the Aggrieved Person did not indicate whether or not they wished to remain Anonymous.																																											
D Complaint Against Region: <input type="text" value="HQ -> US Citizen Employee"/>																																											
RMO(s): <input type="button" value="Add RMO"/> No Responsible Management Official (RMO) have been added against this complaint.																																											
E Case Details Action Office: <input type="text"/> <input type="button" value="Q"/>																																											
Description: <input type="text"/>																																											
Representative(s): <input type="button" value="Add Representative"/> No Representative(s) have been added to this case.																																											
F Role Assignments Manager: <input type="text" value="Manager Manager"/> <input type="button" value="Q"/>																																											
EEO Specialist: <input type="text"/> <input type="button" value="Q"/>																																											
ADR Specialist: <input type="text" value="Adr Specialist Adr Specialist"/> <input type="button" value="Q"/>																																											
<input type="button" value="Save"/> <input type="button" value="Send Email"/>																																											



Formal Complaints

Reference	Field	Description
A	Complaint ID	The Formal Complaint ID as well as an associated <i>EEO Contact #</i> (if applicable). If there is an associated EEO Contact Case, the ID appears as a hyperlink.
B	Date Information	Pertinent dates for each period in the complaint process. There are columns for <i>Inquiry Dates</i> , <i>Informal Dates</i> , and <i>Formal Dates</i> .
C	Anonymity	The AP's anonymity declaration as made in the Informal Complaint stage.
D	Complaint Against	<p>The <i>Region</i> where the complaint is being filed. Use the  Lookup icon to select a region. The list includes nested fields, use the Show/Hide button to show nested lists and use the checkbox to select the entity against whom the complaint is filed:</p> <div data-bbox="613 1119 1380 1369"> <ul style="list-style-type: none"> <input type="checkbox"/> GENERAL SERVICES ADMINISTRATION <input type="checkbox"/> FEDERAL ACQUISITION SERVICE <ul style="list-style-type: none"> <input checked="" type="checkbox"/> OFFICE OF INTEGRATED TECHNOLOGY SERVICES <input type="checkbox"/> OFFICE OF ACQUISITION MANAGEMENT <input type="checkbox"/> OFFICE OF ASSISTED ACQUISITION SERVICES <input type="checkbox"/> OFFICE OF GENERAL SUPPLIES AND SERVICES </div>
E	Case Details	Information about the complaint including the <i>Action Office</i> (if applicable), a <i>Description</i> for the case, and <i>Representatives</i> .
F	Role Assignments	Assigned roles for processing the complaint, including <i>Counselor</i> , <i>Manager</i> , <i>EEO Specialist</i> , and <i>ADR Specialist</i> .



4.2.2 Tabs

The *Formal Complaint* case includes the both the tabs present in the Informal Complaint and the tabs highlighted in the image and table below:



Reference	Tab	Description
A	Corrective Actions	The <i>Corrective Actions</i> tab is where authorized users can upload information regarding any Corrective Actions that are suggested during the Formal Complaints process.
B	Hearing Events	The <i>Hearing Events</i> tab is where users can upload information regarding hearings that occur with regards to the Formal Complaint.
C	Documents	Documents associated with the complaint can be viewed and managed from the <i>Documents</i> tab. Documents can also be added and removed, if required.
D	Roles	Manage the users, groups, and permissions associated with this Complaint.
E	Consolidated Complaint	View associated consolidated complaints (if any have been created).
F	Contacts	Manage <i>Contacts</i> related to this complaint. These can be added as new contacts or pulled from existing system contacts.



Reference	Tab	Description
G	Corrective Actions	This tab allows authorized users to create and record Corrective Action entries. Multiple Corrective Actions can be logged within this tab.
H	Event Log	View a list of events captured in the system while the complaint is processed. Step outcomes and associated documentation can be viewed from this tab. See the <i>Case Event Log</i> section for details.
I	Fees	Create and manage fees related to this Complaint.
J	Assignments	The Assignment tab typically drives the case folder workflow, however, in the eComplaint application, the <i>Assignments</i> tab is used to record Sub Folders, Linked Folders, and FYI Copies.

4.3 Conversion and Case Folder Processing

This subsection details creating new Formal Complaints and some of the basic Formal Complaint process. Managers, eComplaint Specialists, and Superusers can process the Formal Complaint through to Closure.

If you are creating a new Formal Complaint, see the Create New Formal Complaint section. If converting from an Informal Complaint, see the Receive and Convert to Formal Complaint subsection.

4.3.1 Acknowledgement of Formal Complaint

To begin the Formal Complaint Resolution Process:

1. Locate and open the desired Formal Complaint case folder. The *Complaint Information* page appears.



Formal Complaints

Complaint Details | Issues and Bases | Contacts | Fees | Corrective Actions | Case Event Log | Assignments | Documents | Roles | Consolidated Complaint

Initiating Office : PO 1 - PO 1 | Folder Owner : Counselor Eeo

FC-2019-01085 - Formal Complaint [Send Acknowledgement](#)

Complaint Information | Inquiry Case #: IN-2019-01085 | Mixed Case: | Class Complaint: | Next Action: [→](#)

Date Information		Formal Remaining Days: 68
Inquiry Dates	Informal Dates	Formal Dates
Initial Contact Date: 10/4/2019	Informal Complaint Date Filed:* 10/7/2019	Formal Complaint Date Filed: 10/14/2019
Incident Date: 10/3/2019	Informal Complaint Due Date: 11/6/2019	Formal Complaint Due Date: 12/28/2019
Deadline to File Informal Complaint: 11/17/2019	Informal Complaint Closed Date: 10/21/2019	Formal Complaint Closed Date: N/A
Inquiry Closed Date: 10/7/2019	Deadline to File Formal Complaint: 11/5/2019	
	Is ADR Offered? Yes	
	Is ADR Accepted? No	

- Review the details of the Complaint and ensure that an EEO Specialist has been assigned to the case folder. If not, assign one now and click **Save**.
- After review, select **Send Acknowledgement** from the *Next Action* drop-down list and then click the **Arrow** button.

Send Acknowledgement

Next Action: [→](#)

- The *Send Template To File* pop-up window appears, displaying the Acknowledgement Letter Template which is distributed by the system. First, use the date picker to select the *Acknowledgment Letter Sent Date*.

[Print](#) | [Send](#) | [Close](#)

Acknowledgment Letter Sent Date*:

Send Option:

To Email*:

Letter Template Information

Letter Template: * Formal Complaint Filed

Note: * fields are mandatory

July 23, 2020

VIA Federal Express

[Beverly Shorp](#)

|

RE: Acknowledgement Letter

EEO Complaint of [Beverly Shorp](#)

Formal Docket Number(s): [FC-2020-01974](#)

Dear Ms. [Beverly Shorp](#)

The Office of Equal Employment Opportunity Diversity and Special Programs hereby acknowledge receipt of your formal complaint of discrimination received in this office on 07/23/2020, alleging that the Court Services and Offender Supervision Agency discriminated against you based on your **race (black), age (46) and reprisal (prior EEO activity)**.

After a review of the EEO Counselor's report, we will determine whether to accept, or to dismiss your complaint based upon regulations issued by the Equal Employment Opportunity Commission (EEOC) in Chapter 29, Part 1614 of the Code of Federal Regulations. In the event of dismissal of your complaint, you have the right to appeal to the EEOC.

- Select the **Send Option** from the drop-down list. If **Email** is selected, you are required to provide the **To Email Address**.



6. Review the text in the Acknowledgement Letter, make any required changes, and click **Send**.
 - a. Alternatively, click **Print** to print a copy of the *Acknowledgement* Letter, or click **Close** to close the window without sending the letter.

7. The pop-up window closes, and the *Complaint Information* tab refreshes.

4.3.2 Add Counselor Report

After sending the Acknowledgment (see *Acknowledgment of Formal Complaint*), you'll have the option to add a Counselor Report. Follow the steps below to create a Counselor Report:

1. Open the Formal Complaint case folder, and within the Complaint Information tab, select **Add Counselor Report** from the *Next Action* drop-down list and click the **Arrow** button.

2. The *Add Counselor Report* pop-up window appears as shown below. Click **Add Documents** to attach a Counselor Report:

3. Use the date pickers to select the **Date Counselor Report Requested** and **Date Counselor Report Sent**.



4. Click **Submit**. The pop-up window closes, and the Complaint Information tab refreshes to display the Assign EEO Specialist status. The report is now logged and can be viewed from the *Case Event Log*.

4.3.3 Assign EEO Specialist

You are required to add an EEO Specialist before additional action can be taken on the Formal Complaint. From the *Complaint Information* tab, navigate to the *Role Assignments* section of the *Complaint Information* tab and click the lookup to select and assign the *EEO Specialist* role:

The screenshot shows the 'Role Assignments' section of a software interface. It contains three rows for assigning roles: 'Manager', 'EEO Specialist', and 'ADR Specialist'. Each row has a text input field with a search icon (magnifying glass) to its right. The 'Manager' field contains 'Manager Manager' and the 'ADR Specialist' field contains 'Adr Specialist Adr Specialist'. A red arrow points to the search icon in the 'EEO Specialist' field, which is also circled in red. Below the form are 'Save' and 'Send Email' buttons.

4.3.4 Accept/Dismiss Claims

Follow the steps below to Accept or Dismiss Formal Complaint claims:

1. Open a Formal Complaint in *Accept/Dismiss Claims* status.
2. Select **Accept/Dismiss Claims** from the Next Action drop-down list, then click the **Arrow** button.

The screenshot shows the 'Accept/Dismiss Claims' section of a software interface. It features a dark blue header with the text 'Accept/Dismiss Claims'. Below the header is a light blue bar with a label 'tion:' followed by a dropdown menu showing 'Accept/Dismiss Claims' and a green arrow button.

3. The *Complaint Information* tab refreshes to display the *Accept/Reject Claims* section. First, use the date picker to select the **Date of Claims Accept/Dismissal**.



Formal Complaints

PCF-22-00022 - Formal Complaint

Accept/Dismiss Claims

Date of Claims Accept/Dismissal: * mm/dd/yyyy

Comments:

Save Claims Add Claims Back

4. Enter any relevant **information** in the *Comments* field.
5. Click **Add Claims**.

PCF-22-00022 - Formal Complaint

Accept/Dismiss Claims

Date of Claims Accept/Dismissal: * 10/03/2022

Comments: Sample 123

Save Claims Add Claims Back

6. The tab refreshes to display the *Add Claim* workspace. Click **Add Claim**.

Complaint Information Claims and Bases Documents Roles

PCF-22-00022 - Formal Complaint

Add Claim

Save Back

7. The page refreshes to display additional fields. Select the **Issue Title** from the drop-down list.

PCF-22-00022 - Formal Complaint Accept/Dismiss Claims

Issue Title: *

Date of Incident: to

Basis:

Age Sex Race Color Religion Disability

Reprisal National Origin GINA EPA PDA Non-EEO

Statutes:

Title VII Equal Pay Act (EPA) Age Discrimination in Employment Act (ADEA)

Rehabilitation Act The Genetic Information Nondiscrimination Act Pregnancy Discrimination Act

Comments:

Remedy(ies) or Resolution Requested:

Add Claim

Save Back

8. Select any of the **Basis** checkboxes that apply.



Formal Complaints

(!!) Note: Some of these checkboxes may prompt additional fields to appear.

9. Enter any **Comments** in the field.
10. Enter the **Remedy or Resolution Requested** within the field.
11. Click **Save**. The page refreshes and the Claim information is recorded.

Remedy(ies) or Resolution Requested:

12. The page refreshes and the *Accept/Dismiss Claims* workspace appears. Click **Take Action** to act on an existing claim.

PCF-22-00022 - Formal Complaint Accept/Dismiss Claims

Accept/Dismiss Claims

Date of Claims Accept/Dismissal:

Comments:

Issue(s)	Base(s)	Date of Incident	Status	Accept/Dismiss
Examination/Test	Religion	<input type="text"/> to <input type="text"/>	Pending	<input type="button" value="Take Action"/>

13. The page refreshes and the *Take Action on Issue* workspace appears as shown below.

PCF-22-00022 - Formal Complaint Accept/Dismiss Claims

Take Action on Issue

Issue Title:

Date of Incident: to

Basis:

Age Sex Race Color Religion Disability

Reprisal National Origin GINA EPA PDA Non-EEO

Religion:

Christian Jewish Muslim Hindu

Buddhist Other Not Disclosed Non-religions

Statutes:

Title VII Equal Pay Act (EPA) Age Discrimination in Employment Act (ADEA)

Rehabilitation Act The Genetic Information Nondiscrimination Act Pregnancy Discrimination Act

Comments:

Disposition

Action: Accept Dismiss

Date of Accept/Dismiss Action:

14. Provide as much information as possible and complete all required fields.
15. Navigate to the *Disposition* section and click either the **Accept** or **Dismiss** checkbox.



Formal Complaints

- a. If **Dismiss** is selected, additional fields appear for capturing the *Dismissal Reason* and *Dismissal Narrative*. Both fields are required.

Disposition

Action: Accept Dismiss

Date of Accept/Dismiss Action: 5/5/2020

Dismissal Reason:*

Dismissal Narrative:*

Save Action **Back**

16. Use the date picker to select the **Date of Accept/Dismiss Action**.

17. When complete, click **Save Action**.

Disposition

Action: Accept Dismiss

Date of Accept/Dismiss Action: 10/03/2022

Dismissal Reason: * Filing a complaint which is the basis of a pending civil action

Dismissal Narrative: * This is an example Dismissal Narrative.

Save Action **Back**

18. The tab refreshes to display the Accept/Dismiss Claims workspace, with the *Status* updated to reflect the selected disposition.

Issue(s)	Base(s)	Date of Incident	Status	Accept/Dismiss
Examination/Test	Religion	to	Dismissed	Take Action

Save Claims **Add Claims**

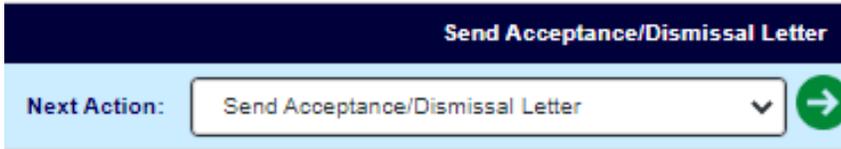
19. To add any additional claims, click **Add Claims**. Continue to add claims and take action on these claims until the claim(s) analysis is complete.

20. Click **Save Claims** when action is taken on all claims in the complaint.

21. The page refreshes to display the full *Complaint Information* tab and featuring an updated status of *Send Acceptance/Dismissal Letter*.

22. Select **Send Acceptance/Dismissal Letter** from the *Next Action* drop-down list, then click the **Arrow** button.





23. The *Letter Template Information* pop-up window appears, displaying the Acceptance/Dismissal Letter Template which is distributed by the system. First select the *Send Option* from the drop-down list.
 - a. If you select **Email**, enter the **To Email** in the field.
24. Use the date picker to select the **Accept/Dismiss Letter Sent Date**, which is required.
25. Review the text in the Letter, make any required changes and click **Send**. Alternatively, click **Print** to print a copy of the *Acceptance/Dismissal Letter*, or click **Close** to close the window without sending the letter.

Print | Send | Close

Accept/Dismiss Letter Sent Date*:

Send Option:

To Email*:

Letter Template Information

Letter Template: * Letter of All Dismissed Claims
 Note: * fields are mandatory

Acceptance / Dismissal Letter

Date: 10/04/22

Deepika Patel

AINS

Re: Case Number –PCF-22-00022

Dear Jake Burger :

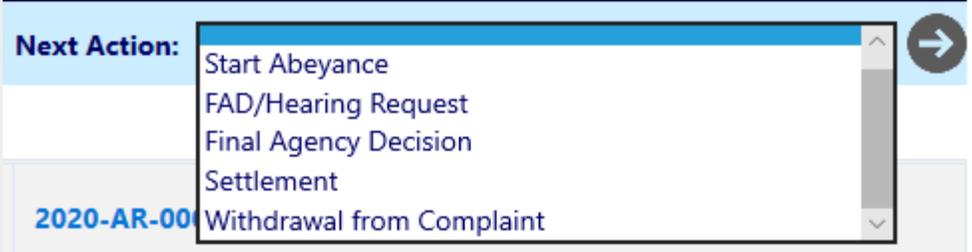
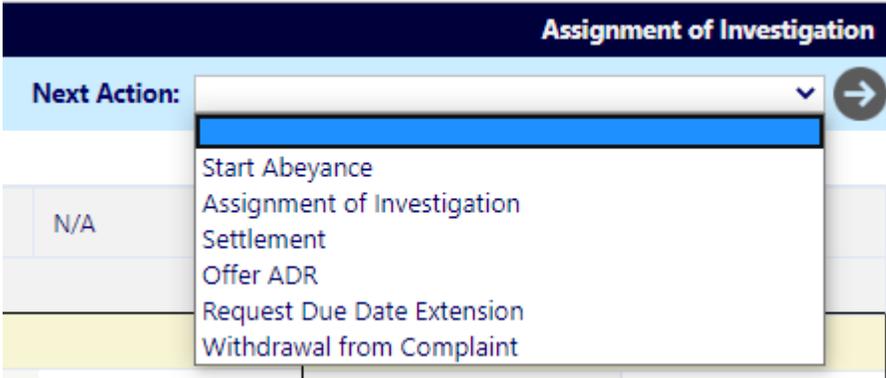
This letter acknowledges receipt of your Equal Employment Opportunity (EEO) complaint of discrimination against HQ >> Non-US Citizen Employees dated and based on the postmark is considered filed on 9/1/2022. It has been assigned the complaint number shown above. Please refer to this complaint number in any future communication on the subject EEO complaint.

The following is the status of your issues accepted for Investigation for

Issue	Incident Date	Narrative	Rejected	Reason for Rejection
Examination/Test		X	Dismissed	Filing a complaint which is the basis of a pending civil action

The next actions depend on whether the complaint was **Accepted** or **Dismissed**. Consult the following table for details on next steps for either outcome:

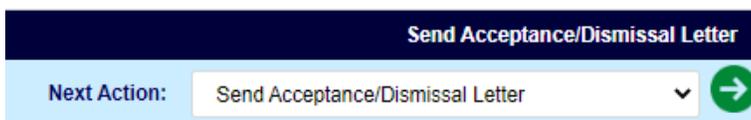


Action	Next Steps
Dismiss	<p>The complaint is dismissed and enters <i>FAD/Hearing Request</i> status. The following actions are available:</p> 
Accept	<p>The complaint is accepted and enters <i>Assignment of Investigation</i> status. The following actions are available:</p> 

4.3.5 Send Acceptance/Dismissal Letter

If a claim is accepted or dismissed, the AP must send the Acceptance or Dismissal Letter. Follow the steps below to send Acceptance/Dismissal Letter:

1. Navigate to a request in Send Acceptance/Dismissal Letter status.
2. Select **Send Acceptance/Dismissal Letter** from the *Next Action* menu, and then click the **Arrow** button.



3. The *Letter Template* pop-up window appears, with the selected Acceptance/Dismissal Letter template displayed in the Text Editor. Make any required changes to the content of the message.
4. Use the date picker to select the **Accept/Dismiss Letter Sent Date**.
5. If the letter template is to be sent using a different format than Email, select the new format from the *Send Option* drop-down list.
6. Enter the recipients email address in the To Email field.
7. Click **Send**. The pop-up window closes, and the Complaint Information tab refreshes to display the new status *FAD/Hearing Request*.

Print Send Close

Accept/Dismiss Letter Sent Date*: 10/5/2022

Send Option: Email

To Email*:

Letter Template Information

Letter Template: * Letter of All Dismissed Claims

Note: * fields are mandatory

Acceptance / Dismissal Letter

Date: 10/05/22

Manager Manager

4.3.6 Receive FAD/Hearing Request

If a claim is dismissed, the AP has the option to request a Hearing. Follow the steps below to log the AP's decision.

1. Navigate to a request in *FAD/Hearing Request* status.
2. Select **FAD/Hearing Request** from the *Next Action* menu, then click the **Arrow** button.

FAD/Hearing Request

Next Action: FAD/Hearing Request

3. The *FAD/Hearing Request* pop-up window appears as shown below.





Request for FAD/Hearing	
Request For: *	<input type="radio"/> Hearing <input type="radio"/> FAD
Comments:	<div style="border: 1px solid #ccc; height: 60px;"></div>

4. Select the radio button to indicate the type of request being made, **Hearing** or **FAD**. Additional fields appear in the pop-up window.
5. Use the date picker to select the **Date of Hearing Request/Date of FAD Request**.
6. Enter any **Comments** information in the *Comments* field.
7. Click **Submit** to submit the request. Consult the EEOC Hearing section for next steps.
 - a. If a *Hearing* is requested, see the *EEOC Hearing* section for next steps.
 - b. If *Immediate FAD* is requested, see the *Final Agency Decision* section for next steps.
8. The pop-up window closes and the Complaint Information tab refreshes to display an updated status of **Final Agency Decision**.

4.4 Final Agency Decision

The Final Agency Decision phase includes two possible outcomes: Standard FAD, or FAD with AJ Decision. Each is described in the following subsections.

4.4.1 Standard FAD

Formal Complaints which are dismissed reach the Final Agency Decision stage. Follow the steps below to process a Final Agency Decision:

1. Navigate to a request in *Final Agency Decision* status.
2. Within the *Complaint Information* tab, select **Final Agency Decision** from the *Next Action* menu, then click the **Arrow** button. The *Final Agency Decision* pop-up window appears as shown below:



Formal Complaints

Submit

Close

Final Agency Decision (FAD)		
Final Agency Decision Document: *	Add Document(s)	
Date of FAD: *	mm/dd/yyyy <input type="text"/>	
FINAL AGENCY DECISION		
ISSUE(S)	BASIS(ES)	AGENCY FOUND DISCRIMINATION
Examination/Test	Religion	<input type="checkbox"/> Dismissal <input type="checkbox"/> Discrimination <input type="checkbox"/> No Discrimination
FAD Summary Findings:	<input type="checkbox"/> Dismissal of Complaints <input type="checkbox"/> Finding No Discrimination <input type="checkbox"/> Finding Discrimination	
Comments:	<input type="text"/>	

3. Complete all the fields in this pop-up window. All fields except *Comments* are required.

Field	Description
Final Agency Decision Document	Attach the Final Agency Decision document using the Add Document link
Date of FAD	Select the date of the FAD
Final Agency Decision	Within the <i>Final Agency Decision</i> workspace, each <i>Issue</i> is listed, along with associated <i>Basis(es)</i> . Within the <i>Agency Found Discrimination</i> column, a selection must be made for all <i>Basis(es)</i> . Click one of the Dismissal , Discrimination , or No Discrimination checkboxes.
FAD Summary Findings	Use the checkboxes to designate the result of the FAD Findings. Note that the summary should match to the selections made under <i>Agency Found Discrimination</i> .
Comments	Provide comments about the FAD



Formal Complaints

4. Click **Submit** to submit the FAD.



Final Agency Decision (FAD)		
Final Agency Decision Document: *	Add Document(s)(1)	
Date of FAD: *	10/03/2022	
FINAL AGENCY DECISION		
ISSUE(S)	BASIS(ES)	AGENCY FOUND DISCRIMINATION
Examination/Test	Religion	<input checked="" type="checkbox"/> Dismissal <input type="checkbox"/> Discrimination <input type="checkbox"/> No Discrimination

The Complaint is now eligible for Complainant Appeal. See the Complainant Appeal section for next steps.

4.4.2 FAD with AJ Decision

If a FC completes the EEOC Hearing phase and enters into FAD, the FAD has some differences to account for the additional AJ Decision. Follow the steps below to process FAD with an AJ Decision.

1. Navigate to a request in *Final Agency Decision* status.
2. Select **Final Agency Decision** from the *Next Action* menu, then click the **Arrow** button. The *Final Agency Decision* screen appears as shown below, featuring a row in the workspace for each Issue/Basis.



Final Agency Decision (FAD)		
Final Agency Decision Document: *	Add Document(s)	
Date of FAD: *	10/04/2022	
FINAL AGENCY DECISION		
ISSUE(S)	BASIS(ES)	AGENCY FOUND DISCRIMINATION
Duty Hours	Religion	<input type="checkbox"/> Dismissal <input checked="" type="checkbox"/> Discrimination <input type="checkbox"/> No Discrimination
	Sex	<input type="checkbox"/> Dismissal <input type="checkbox"/> Discrimination <input checked="" type="checkbox"/> No Discrimination
	Race	<input checked="" type="checkbox"/> Dismissal <input type="checkbox"/> Discrimination <input type="checkbox"/> No Discrimination
Pay Including Overtime	EPA	<input type="checkbox"/> Dismissal <input type="checkbox"/> Discrimination <input checked="" type="checkbox"/> No Discrimination
FAD Summary Findings:	<input type="checkbox"/> Dismissal of Complaints <input type="checkbox"/> Finding No Discrimination <input type="checkbox"/> Finding Discrimination	
Comments:	<div style="border: 1px solid gray; height: 30px;"></div>	



3. Complete all the fields on this screen. These fields are described in the table below:

Field	Description
Final Agency Decision Document	Attach the Final Agency Decision document by clicking the Add Document link.
Date of FAD	Provide the date of the FAD.
Final Agency Decision	<p>Under the <i>Final Agency Decision</i>, each <i>Issue</i> is listed, along with associated Basis(es).</p> <p>Click the checkboxes in the Agency Found Discrimination column to indicate the result.</p>
FAD Summary Findings	<p>Use the checkboxes to indicate the result/a summary of the FAD Findings. Note that the summary should match to the selections made under <i>Agency Found Discrimination</i>. If the FAD findings do not match with the FAD summary finding, a message displays indicating “Please check that the findings of each issue and bases align with the FAD summary findings.”</p> <p>(!!) Note: Depending upon your configuration, selecting one of these checkboxes may prompt additional fields to appear.</p>
Implement AJ Decision?	<p>Determine whether the AJ Decision is to be implemented. Options are Fully Implemented if all Issues/Bases are also implemented, Partially Implemented if some but not all Issues/Bases are implemented, or Not Implemented if none of the Issues/Bases are implemented.</p>
Comments	Provide comments about the FAD.

4. Click Submit to submit the FAD. The pop-up window closes and the Complaint Information tab refreshes to display the updated status.



4.5 Complainant Appeal

After a complaint has reached the Final Agency Decision stage, the Complaint is now eligible for Complainant Appeal.

4.5.1 Create an Appeal

To create an appeal of a Final Agency Decision:

1. Navigate to a request in *Final Agency Decision* status.
2. Select **Complainant Appeal** from the *Next Action* menu, then click the **Arrow** button.



3. The *Appeal Creation* pop-up window appears as shown below. Click **Add Document(s)** to upload the Notice of Appeal.



Appeal	
Notice of Appeal:	Add Document(s)
Appeal by (Appellant): *	<input type="radio"/> Complainant <input type="radio"/> Agency
Appeal to:	EEOC OFO
Date of Notice of Appeal: *	<input type="text" value="mm/dd/yyyy"/> <input type="button" value=""/>
Date Agency Received Notice of Appeal:	<input type="text" value="mm/dd/yyyy"/> <input type="button" value=""/>
Appeal Number:	<input type="text"/>
Basis for Appeal: *	<input type="text" value=""/> <input type="button" value="v"/>
Comments:	<input type="text"/>

4. Select one of the **Appeal by (Appellant)** radio buttons.
5. Use the date picker to select the **Date of Notice of Appeal**.
6. Select the **Basis for Appeal** from the drop-down list.
7. Enter any **Comments** in the field.
8. When complete, click **Submit** to submit the appeal. The pop-up window closes, and the *Complainant Information* tab refreshes to display the new status.



4.5.2 Appeal Decision – Affirm

Follow the steps below to affirm an appeal decision:

1. Navigate to a request in *Appeal Process* status.
2. Select **Appeal Decision** from the *Next Action* menu, then click the **Arrow** button. The *Appeal Decision* screen appears as shown below.



Appeal Decision	
Appeal Decision:	Add Document(s)
Appeal Decision: *	<input type="text" value="mm/dd/yyyy"/>
Date Agency Received Appeal Decision:	<input type="text" value="mm/dd/yyyy"/>
Finding of Appeal Decision: *	<input type="radio"/> Affirmed <input type="radio"/> Denied <input type="radio"/> Partial Affirmed-Denied
Comments:	<input type="text"/>

3. Use the date picker to select the **Date of Appeal Decision**.
4. Under *Finding of Appeal Decision*, select the **Affirmed** radio button.
5. Enter any relevant **Comments** in the field.
6. Click **Submit**.

4.5.3 Appeal Decision – Denied/Denied in Part

Follow the steps below to apply a finding of Denied or Partial Denied for an appeal decision.

1. Navigate to a request in *Appeal Process* status.
2. Select **Appeal Decision** from the *Next Action* menu, then click the **Arrow** button. The *Appeal Decision* pop-up window appears as shown below.



Formal Complaints

Submit

Close

Appeal Decision	
Appeal Decision:	Add Document(s)
Appeal Decision: *	<input type="text" value="mm/dd/yyyy"/> <input type="button" value=""/>
Date Agency Received Appeal Decision:	<input type="text" value="mm/dd/yyyy"/> <input type="button" value=""/>
Finding of Appeal Decision: *	<input type="checkbox"/> Affirmed <input type="checkbox"/> Denied <input type="checkbox"/> Partial Affirmed-Denied
Comments:	<input type="text"/>

3. Click **Add Documents** to open the Select Item pop-up window and upload the Appeal Decision Document.
4. Use the date picker to select the **Date of Appeal Decision**.
5. Under *Finding of Appeal Decision*, select **Denied** or **Partial Affirmed-Denied**.
6. Additional fields appear for capturing remands, as shown below. All of these fields are required.



Formal Complaints

Submit
Close

Appeal Decision		
Appeal Decision:	Add Document(s)(1)	
Appeal Decision: *	10/06/2022 <input type="text"/>	
Date Agency Received Appeal Decision:	mm/dd/yyyy <input type="text"/>	
Finding of Appeal Decision: *	<input type="radio"/> Affirmed <input checked="" type="radio"/> Denied <input type="radio"/> Partial Affirmed-Denied	
Remand to Agency: *	<div style="border: 1px solid #ccc; padding: 2px; display: inline-block;">Accept/Dismiss Claims</div>	
Period of Remand: *	<input style="width: 50px;" type="text"/> Days	
Start of Remand Period: *	mm/dd/yyyy <input type="text"/>	
End of Remand Period: *	mm/dd/yyyy <input type="text"/>	
ISSUE(S)	BASIS(ES)	REMAND(S)
Disciplinary Action - Demotion	Sex	<input type="checkbox"/> Yes <input type="checkbox"/> No
	National Origin	<input type="checkbox"/> Yes <input type="checkbox"/> No
Harassment - Non-Sexual (Formal Non-ADR - Settled)	Non-EEO	<input type="radio"/> Yes <input type="radio"/> No
Pay Including Overtime	EPA	<input type="checkbox"/> Yes <input type="checkbox"/> No
Retirement	Reprisal	<input type="checkbox"/> Yes <input type="checkbox"/> No
Comments:	<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div>	

7. Select from the Remand to Agency drop-down list. Options include **Accept/Dismiss Claims, Informal, and Reinvestigation**. Based on this selection, the folder reverts to the relevant status in a new case folder tracked as a *Remand*.



(!!) Note: The Informal option is only available if the Formal Complaint originated as an Informal Complaint.

8. Enter the **Period of Remand (in days)** in the field.
9. Use the date picker to select the **Start of Remand Period**. The *End of Remand Period* field is automatically populated based on this selection.
10. For all *Issue(s)/Basis(es)* entry, select one of the **Yes/No** radio buttons for those requiring *Remand(s)*.
11. Enter any relevant **Comments** in the field.
12. When complete, click **Submit**. The pop-up window closes, and the *Complaint Information* tab refreshes to display that the complaint is now in *Accept/Dismiss Claims* status, and a link is now present for easy access to the newly created complaint folder where the processing can proceed.

13. Click the **Link** to open the new complaint. The new case folder appears in a new tab, displaying the *Complaint Information* tab. Historical cases are listed in hyperlink format at the top of the *Complaint Information* tab.

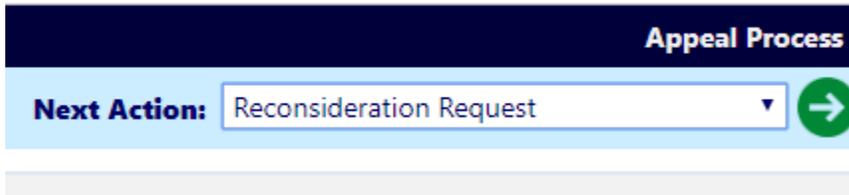
14. The complaint is marked as a Remand. The completed complaint is linked for reference. The *Status* and next action depend on the selection made under *Remand for Agency*.
15. Continue processing the case as required by the remand. See the related section(s) in this manual for details.

4.5.4 Reconsideration Request

Follow the steps below to process a Reconsideration Request after an Appeal:



1. Navigate to the *Complaint Information* tab, and select **Reconsideration Request** from the *Next Action* list, then click the **Next** arrow.



2. The *Request for Consideration* screen appears as shown below.

2023-COMP-00221 - Request for Reconsideration

Submit Close

Reconsideration of Appeal Decision	
Request for Reconsideration:	Add Document(s)
Reconsideration Requested By: *	<input type="radio"/> Complainant <input type="radio"/> Agency
Date of Request for Reconsideration: *	mm/dd/yyyy
Date Agency Received Complainant Request for Reconsideration	mm/dd/yyyy
Comments:	<div style="border: 1px solid #ccc; height: 40px;"></div>

3. For *Reconsideration Requested By* select either **Complainant** or **Agency**.
4. Provide the Date of Request for Reconsideration.
5. When complete, click **Submit**.
6. To log the reconsideration decision, navigate to the *Complaint Information* tab. Under the *Next Action* list, select **Reconsideration Decision**.
7. Click the **Next** arrow. The **Reconsideration Decision** screen appears as shown below:



8. Provide the Date of Reconsideration Decision.
9. Select the *Decision on Appeal Reconsideration*. Select **Affirmed** to affirm or **Denied** to deny the reconsideration request.
10. Click **Submit** to submit the decision.

4.6 Formal ADR

At most points in the Formal Complaint process, the AP can be offered and accept Alternative Dispute Resolution. The Formal ADR process is the same as the ADR process for an Informal Complaint.

Some additional notes about Formal ADR:

- ADR can be withdrawn at any time before it is complete.
- Once settlement is reached, the Formal ADR is complete. Corrective Actions may be selected at the next step and entered in the Corrective Actions tab.
 - One or more *Monetary* and *Non-monetary* corrective actions can be added.
 - The disposition for the corrective action is also tracked at this stage. If the *Disposition* of a corrective action is Not Accepted, it is not counted in the 462 Report.

Follow the steps below to process ADR for a Formal Complaint.

1. Navigate to the *Complaint Information* page of a Formal Complaint that qualifies for ADR.
2. Select **Offer ADR** from the *Next Action* drop-down list and then click the **Arrow** button.



Formal Complaints

Accept/Dismiss Claims

Next Action: Offer ADR ▼ 

- The *Formal Offer ADR* pop-up window appears. Use the date picker to select the **Date ADR Offered by Agency**.
- Enter any **Comments** in the *Comments* field, then click **Submit**.

Formal Offer ADR

Date ADR Offered by Agency: *	<input type="text" value="mm/dd/yyyy"/> 
Comments:	<input type="text"/>

- The pop-up window closes and the *Complaint Information* tab refreshes to display the **Review IP** status. Determine if the ADR has been accepted.
- Select **Capture ADR Acceptance** from the *Next Action* drop-down list and then click the **Arrow** button.

Review IP

Next Action: Capture ADR Acceptance ▼ 

- The *Formal ADR Acceptance Details* window appears. Make a selection determining *Has Complainant been provided the option to participate in ADR?* using the **Yes** or **No** radio buttons.

2023-COMP-00088 - Formal ADR Acceptance Details

Formal Accept/Reject of ADR

Has Complainant been provided the option to participate in ADR? *	<input checked="" type="radio"/> Yes <input type="radio"/> No
Date of ADR Accepted by Complainant: *	<input type="text" value="mm/dd/yyyy"/> 
Comments:	<input type="text"/>
Do you want to create ADR?	<input type="checkbox"/> Yes <input type="checkbox"/> No

- Use the date picker to select **Date ADR Accepted by Complainant**.



9. Enter any relevant **Comments** in the Comments field.
10. If ADR has been accepted, select **Yes** or **No** in the *Do you want to create ADR?* field. If you select **Yes**, an ADR case will be created from eComplaint. If **No** is selected, you can proceed with ADR through eComplaint, but no ADR case will be created. When an ADR case is created, all pertinent fields specified on the *eComplaint - ADR Configuration* tab will map to the newly created ADR case.
11. Click **Submit** to submit the acceptance. Alternatively, click **Save** to save any updates to the ADR or click **Close** to close the window without sending the ADR Offer.
12. After clicking Submit, the pop-up window closes and the Complaint Information tab refreshes to display the new status of *Review IP*.
 - a. If ADR is accepted (**Yes** radio button selected in step 7 above), the ADR moves forward. See the *Informal ADR* section for details on ADR processing, as the steps are identical for a Formal Complaint.
 - b. If ADR is not accepted (**No** selected in step 6 above), see the *Investigation* section for next steps.

4.7 Investigation

After a Formal Complaint is acknowledged and the AP's claims are accepted, the Formal Complaint moves to the Investigation phase. Investigation begins with *Assignment of Investigation*.

4.7.1 Assignment of Investigation

Follow the steps below to complete the *Assignment of Investigation*:

1. Open the Formal Complaint case folder that requires Assignment of Investigation and within the *Complaint Information* tab, select **Assignment of Investigation** option from the Next Action drop-down list.
2. Click the **Arrow** button.



3. The *Assignment of Investigation* pop-up window appears.



Formal Complaints

Submit

Close

Assignment of Investigation	
Case Documents:	Add Document(s)
Investigator:	<input type="radio"/> External <input type="radio"/> Internal
Investigation Dates	
Date Investigation Requested: *	<input type="text" value="mm/dd/yyyy"/>
Date Complaint File Sent to Investigator:	<input type="text" value="mm/dd/yyyy"/>
Due Dates	
Due Date for IP: *	<input type="text" value="mm/dd/yyyy"/>
Due Date of ROI to Agency: *	<input type="text" value="mm/dd/yyyy"/>
Comments:	<input type="text"/>

4. Click **Add Documents** open the *Select Item* pop-up window and upload supporting documentation, if desired.
5. Select one of the **Investigator** radio buttons. The pop-up window refreshes, and a list of all associated contacts appear under the selection.
6. Use the date picker to select the **Date Investigation Requested**. The *Due Date of ROI to Agency* field populates automatically based on this selection.
7. Use the date picker to select the **Due Date for IP**.
8. Complete the *Communication to Investigator* fields to customize the email message that is sent alongside this assignment.



Formal Complaints

[Communication to Investigator]	
To:	<input type="text"/>
From:	<input type="text"/>
Cc:	<input type="text"/>
Subject:	<input type="text"/>
Message:	<input type="text"/>

Field	Description
To:	Enter the message recipient email address in this field.
From:	Enter the sender email address in this field.
Cc:	Enter any carbon copy recipients in this field.
Subject:	Enter the subject of the message in this field.
Message	Enter the contents of the message here.

9. Complete any remaining required fields.
10. When complete, click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the new status.

4.7.2 Assign/Reassign Investigator

Follow the steps below to reassign the Investigator for this investigation.

1. Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **Assign/Reassign Investigator** from the *Next Action* drop-down list, then click the **Arrow** button.



Review Draft ROI

Next Action: Assign/Reassign Investigator ➔

- The *Assign/Reassign Investigator* pop-up window appears. Use the date picker to select the **Date the new investigator is assigned**.



Assign/Reassign Investigator	
Date ROI to Be Submitted by Agency:	<input type="text" value="12/03/2022"/>
Date the new investigator is assigned: *	<input style="border: 2px solid red;" type="text" value="mm/dd/yyyy"/>
Investigator: *	<input type="text"/>
Type of Investigator: *	<input type="checkbox"/> Internal <input type="checkbox"/> External
Comments:	<div style="border: 1px solid #ccc; height: 30px;"></div>

- Use the **Lookup** icon to select an Investigator. The *Search for Contact* pop-up window appears. Use the fields in this window to create the search query and then click **Search**.



Formal Complaints

Search + New Select Criteria Clear Save Save As

Contact Type [All]

Contact Information

First Name
Last Name
Full Name
Email

Address (Primary)

Organization Name
Department
ADDRESS 1
ADDRESS 2
City
State/Region(US) Select State
Other State
Zip Code

- The pop-up window refreshes to display a list of matching contact. Select the desired **contact** and then click **Select**.

Full Name	Primary Address	Secondary Address	Notes	Contact Type	Category	Created By	Created Date
Jake Burger				Employee	Individual	Deepika Patel	09/30/2022
Sample Sampleton				Employee	Individual	Deepika Patel	09/30/2022

- The pop-up window closes, and the selected Contact appears in the *Investigator* field.
- Select the Type of Investigator (**External** or **Internal**) radio button.
- Enter any relevant **Comments** in the field.
- Click **Submit** to submit the reassignment. The pop-up window closes and the *Complaint Information* tab refreshes to display the new status.

4.7.3 Investigation Plan

If an Investigation Plan is required, follow the steps below to fulfill this requirement.

- Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **Review IP** from the *Next Action* drop-down list, then click the **Arrow** button.

Review IP

Next Action: Review IP →



- The *Review and Approve IP* pop-up window appears. Click **Add Documents** to open the *File Explorer* pop-up window and select the **Investigation Plan Document** to upload.



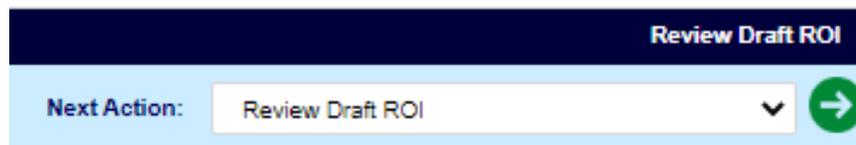
Submit Investigative Plan	
Investigation Plan Document: *	Add Document(s) Please attach the Investigation Plan Document
Date IP Initially Set to Be Completed:	10/27/2022
Date Investigative Plan Submitted: *	<input type="text" value="mm/dd/yyyy"/> <input type="button" value="📅"/>
Investigative Technique:	<input type="text" value=""/> <input type="button" value="▼"/>
Was the IP adequate based on the sufficiency review? *	<input type="checkbox"/> Yes <input type="checkbox"/> No
Comments:	<input type="text"/>

- Use the date picker to select the **Date Investigative Plan Submitted**.
- Under *Was the IP adequate based on the sufficiency review?*, select the **Yes** or **No** radio button to make a determination.
 - If the **Yes** radio button is selected, the tab refreshes to display the *Date IP Accepted* field. Use the date picker to select the **Date IP Approved**.
 - If the **No** radio button is selected, the tab refreshes to display additional fields. Use the date picker to select the **Date IP Rejected**.
- Click **Submit**. The pop-up window closes and the *Complaint Information* tab refreshes to display the new status of *Review Draft ROI*.

4.7.4 Review Draft ROI

Follow the steps below to process the Review Draft ROI phase.

- Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **Review Draft ROI** from the *Next Action* drop-down list, then click the **Arrow** button.



- The *Review Draft Report* pop-up window appears. Click **Add Documents** to open the *File Explorer* pop-up window and select **Report of Investigation** to upload.





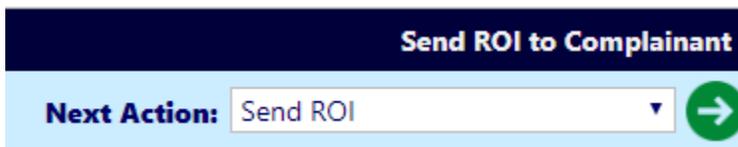
Submit Report of Investigation (ROI)	
Report of Investigation: *	Add Document(s) Please attach the Report of Investigation
Date ROI Initially Set to Be Completed:	12/03/2022
Date ROI Submitted: *	<input type="text" value="mm/dd/yyyy"/>
Date ROI Reviewed by Agency:	<input type="text" value="mm/dd/yyyy"/>
Was the ROI adequate based on the sufficiency review? *	<input type="radio"/> Yes <input type="radio"/> No
Comments:	<input type="text"/>

3. Use the date picker to select the **Date ROI Submitted**.
4. Under *Was the ROI adequate based on the sufficiency review?* select one of the **Yes** or **No** radio buttons to make a determination. Selecting either radio button prompts additional fields to appear.
 - a. If the **Yes** radio button is selected, use the date picker to select the **Date ROI Accepted by Agency**.
 - b. If the **No** radio button is selected, use the date picker to select the **Date ROI Rejected by Agency**.
5. Complete any remaining required fields and click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the updated status: *Send ROI to Complainant*.

4.7.5 Send ROI to Complainant

When the ROI is accepted and ready to submit to the AP, follow the steps below:

1. Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **Review Draft ROI** from the *Next Action* drop-down list, then click the **Arrow** button.



2. The Issue ROI to Complainant pop-up window appears. Click **Add Documents** to open the *File Explorer* pop-up window and select the **Report of Investigation** document to upload.



Formal Complaints

Submit

Close

Issue ROI to Complainant		
Attachment:	Add Document	<input type="button" value="Review Transmittal Letter"/>
Date ROI Submitted: *	<input type="text" value="mm/dd/yyyy"/>	<input type="text" value=""/>
Date ROI Approved by Agency:	<input type="text" value="mm/dd/yyyy"/>	<input type="text" value=""/>
To:	<input type="text" value="bela@ains.com"/>	
From:	<input type="text"/>	
Cc:	<input type="text"/>	
Subject:	<input type="text" value="CONFIDENTIAL PERSONNEL INFORMATION"/>	
Message:	<p>Dear Bela Walker,</p> <p>The complete investigation report has been attached here with.</p> <p>For any Additional investigation contact EEO Specialist.</p> <p>Regards, Specialist Specialist.</p>	

3. Use the date picker to select the **Date ROI Submitted**.
4. You can click the **Review Transmittal Letter** button to modify the attached transmittal letter, if desired.
5. Complete the *From*, *Cc*, *Subject*, and *Message* fields to compose the message to send the ROI to the AP directly from eComplaint.
6. Click **Submit** to submit the ROI.
7. The pop-up window closes and the Complaint Information tab refreshes to display the updated status: *FAD/Hearing Request*.



4.8 EEOC Hearing

An EEOC Hearing can be initiated through different channels. After a Formal Complaint enters *EEOC Hearing* status, there are several next steps available:

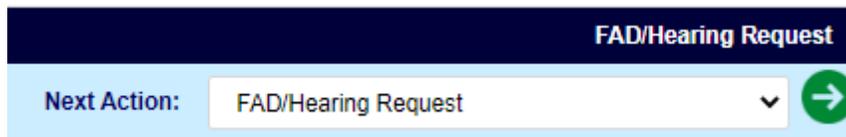
- Notice of Hearing
- Forward Complaint File
- Add Hearing Events
- Summary Judgment
- Complainant Files Forward to AJ
- Add Interim Order
- Hearing Completed

Additionally, at any point in the hearing process the AP may elect for Settlement, ADR, FAD or Withdrawal of the complaint.

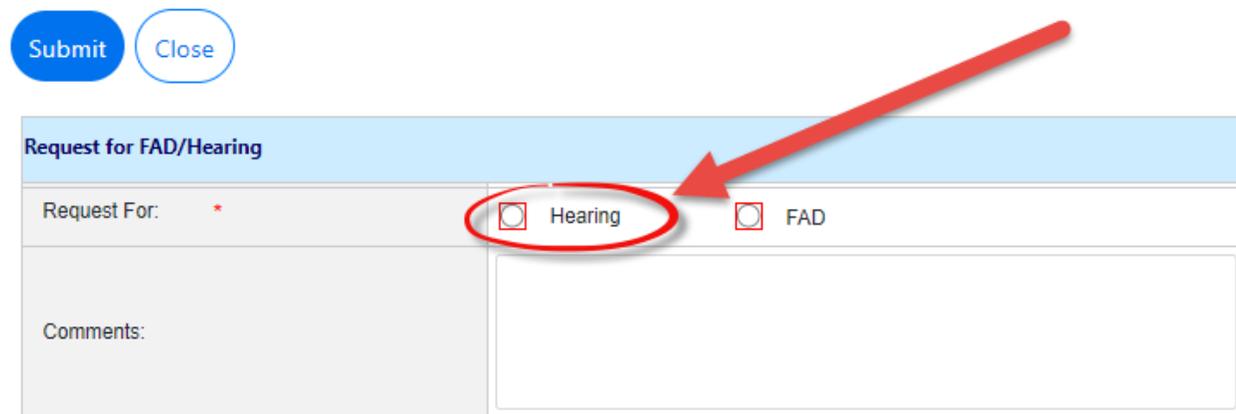
4.8.1 Hearing Request

Follow the steps below to process an AP’s request for hearing.

1. Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **FAD/Hearing Request** under the *Next Action* drop-down list, then click the **Arrow** button.



2. The *Request for FAD/Hearing* pop-up window appears. Select one of the **Request For** radio buttons.



(!!) Note: Either Request For radio button selection prompts the pop-up window to refresh and display additional fields. This procedure utilizes the Hearing selection.



- The pop-up window refreshes to display additional fields. Click **Add Documents** to open the *Select Item* pop-up window, where you can upload the Hearing Request attachment.

Submit Close

Request for FAD/Hearing

Hearing Request: [Add Document\(s\)](#)

Request For: * Hearing FAD

Date of Hearing Request: * mm/dd/yyyy

Date Agency Received Hearing Request: mm/dd/yyyy

Comments:

- Use the date picker to select the **Date of Hearing Request**.
- Complete any other required fields as needed, and then click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the updated status.

4.8.2 Notice of Hearing

Follow the steps below to submit the *Notice of Hearing*:

- Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **Notice of Hearing** from the *Next Action* drop-down list, then click the **Arrow** button.

EEOC Hearing

Next Action: Notice of Hearing

- The *Notice of Hearing* pop-up window appears. Click the **Add Document(s)** link to open the *Case Attachments* pop-up window and add the *Hearing Acknowledgment Order* document.



Submit Close

Notice of Hearing	
Hearing Acknowledgement Order:	Add Document(s)
Notice of Hearing Date: *	<input type="text" value="mm/dd/yyyy"/>
Date of Acknowledgement & Order:	<input type="text" value="mm/dd/yyyy"/>
Date Agency Received Acknowledgement Order:	<input type="text" value="mm/dd/yyyy"/>
EEOC Case No:	<input type="text"/>
Case Assigned to AJ:	<input type="text"/>
Comments:	<div style="border: 1px solid #ccc; height: 150px;"></div>

- Use the date picker to select the **Notice of Hearing Date**.
- Complete any other required fields as needed and then click **Submit** to submit the *Notice of Hearing*. The pop-up window closes and the Complaint Information tab refreshes to display the new status of *EEOC Hearing*.

4.8.3 Forward Complaint File

To forward the complaint file, follow the steps below:

- Navigate to the *Complaint Information* tab, then select **Forward Complaint File** under the *Next Action* drop-down list, then click the **Arrow** button.

EEOC Hearing

Next Action:



- The *Forward Complaint File* pop-up window appears as shown below. Click **Add Documents** to open the *Select Item* pop-up window, where you can select the Forward Document file to upload.

Submit Close

Forward Complaint	
Forward Document:	Add Document(s)
Date Agency Received Hearing Request:	mm/dd/yyyy
Date Complaint File Forwarded: *	mm/dd/yyyy
Comments:	<div style="border: 1px solid #ccc; height: 40px;"></div>

- Use the date picker to select the **Date Complaint File Forwarded**.
- Complete any additional required fields.
- Click **Submit** to forward the complaint file. The pop-up window closes and the *Complaint Information* tab refreshes to display the new status EEOC Hearing.

4.8.4 Summary Judgment

To add a Summary Judgment to the Formal Complaint, follow the steps below:

- Open the desired Formal Complaint case folder and within the Complaint Information tab, select **Summary Judgment** from the *Next Action* drop-down list, and click **Arrow** button.

EEOC Hearing	
Next Action:	Summary Judgement

- The *Summary Judgment* screen appears as shown below.

Submit Close

Summary Judgement	
Summary Judgement Document:	Add Document(s)
Date of Summary Judgement: *	mm/dd/yyyy
Comments:	<div style="border: 1px solid #ccc; height: 40px;"></div>

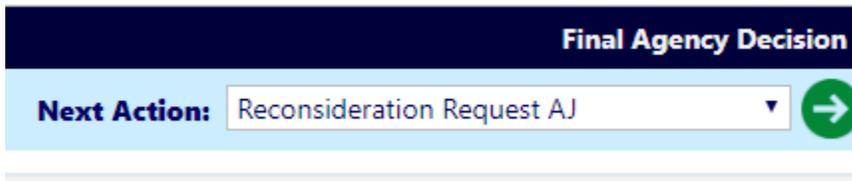


3. Use the **Add Document(s)** link to open the *Select Item* pop-up window, where you can add the Summary Judgment Document.
4. Use the date picker to select the **Date of Summary Judgment**.
5. Enter any *Comments* in the field provided, if desired.
6. When complete, click **Submit** to submit the Summary Judgment. The pop-up window closes, and the Complaint Information tab refreshes to display the new status *Final Agency Decision*.

4.8.5 Reconsideration Request (AJ)

Follow the steps below to process a Reconsideration Request (AJ):

1. Navigate to the *Complaint Information* tab and select **Reconsideration Request (AJ)** from the *Next Action* list, then click the **Arrow** button.



2. The *Request for Consideration (AJ)* pop-up window appears. Click **Add Documents** to open the *Case Attachments* pop-up window and select the **Request for AJ Reconsideration** document.



Reconsideration of AJ Decision	
Request for AJ Reconsideration:	Add Document(s)
AJ Reconsideration Requested By: *	<input type="checkbox"/> Complainant <input type="checkbox"/> Agency
Date of Request for AJ Reconsideration: *	mm/dd/yyyy <input type="text"/>
Date Agency Received Complainant Request for AJ Reconsideration:	mm/dd/yyyy <input type="text"/>
Comments:	<input type="text"/>

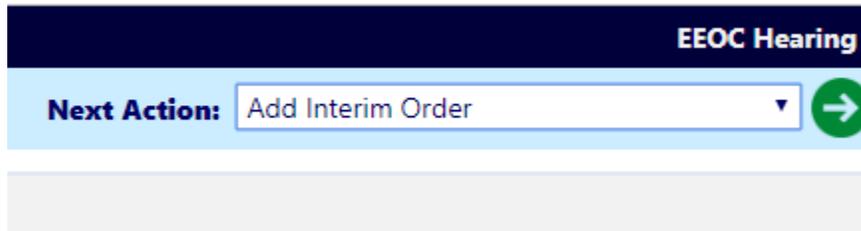
3. Select one of the **Reconsideration Requested By** radio buttons: **Complainant** or **Agency**.
4. Use the date picker to select the **Date of Request for AJ Reconsideration**.
5. When complete, click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the new status: *Final Agency Decision*.



4.8.6 Add Interim Order

Interim Orders can be added as part of the Hearing process. Follow the steps below to add an Interim Order:

1. Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **Add Interim Order** from the *Next Action* drop-down list, then click the **Arrow** button.



2. The *Add Interim Order* pop-up window appears. Click **Add Documents** to open the Case Attachments pop-up window, where you can select and upload the Interim Order Document.

Submit Close

Add Interim Order

Interim Order Document: *	Add Document(s)
Ordered To: *	<input type="text" value=""/>
Date Issued by AJ: *	<input type="text" value="mm/dd/yyyy"/> <input type="calendar"/>
Date Received by Agency: *	<input type="text" value="mm/dd/yyyy"/> <input type="calendar"/>
Start of Compliance: *	<input type="text" value="mm/dd/yyyy"/> <input type="calendar"/>
Period of Compliance: *	<input type="text" value=""/> days
Comments:	<input type="text"/>

Note: A red arrow points to the "Add Document(s)" link, which is circled in red.

3. Select the **outcome** that has been ordered from the *Ordered To* drop-down list.

(!!) Notes:

- **Remand for Counseling is only available if the complaint originated as an Informal Complaint. If you select Remand for Investigation a new folder is created to track the remand.**



- **Some selections within the Ordered To drop-down list may prompt the pop-up window to refresh and display additional fields.**
4. Use the date picker to select the **Date Issued by AJ**.
 5. Use the date picker to select the **Date Received by Agency**.
 6. Use the date picker to select the date for **Start of Compliance**.
 7. Enter the number of **Compliance Days** in the *Period of Compliance* field. After selecting this date, the pop-up window refreshes to display the *End of Compliance* field appears and automatically calculates the end of the compliance period.

Add Interim Order	
Interim Order Document: *	Add Document(s)(1)
Ordered To: *	Remand to Amend a Complaint ▼
Date Issued by AJ: *	10/03/2022 📅
Date Received by Agency: *	10/05/2022 📅
Start of Compliance: *	10/05/2022 📅
Period of Compliance: *	15 days
End of Compliance:	10/20/2022

8. Enter any relevant **Comments** in the field, if required.
9. Click **Submit** to submit the Interim Order. The pop-up window closes and the Complaint Information tab refreshes.
10. The status updates depending on the selection made in the Ordered To field. See the corresponding subsection for next steps.

4.8.6.1 Remand for Counseling

Follow the steps below to process a *Remand for Counseling*.

1. Navigate to the *Complaint Information* tab and select **Remand for Counseling** from the *Next Action* list, then click the **Arrow** button.

Remand for Counseling	
Next Action:	Remand for Counseling ▼ 

2. The *Remand for Counseling* pop-up window appears. Click **Add Documents** to open the *Case Attachments* pop-up window, where you can upload the required Attachments to the case folder.





Remand for Counseling	
Counseling Documents:	Add Document(s) Add Counselor Report and Notices
Remand by:	EEOC OFO
Counselor:	<input type="text"/>
Date of Counseling:*	<input type="text" value="mm/dd/yyyy"/> <input type="calendar"/>
Date of Notices Issued:	<input type="text" value="mm/dd/yyyy"/> <input type="calendar"/>
Comments:	<input type="text"/>

- Use the date picker to select **Date of Counseling**.
- Complete any other required fields and click **Submit** to submit the remand for counseling. The pop-up window closes and the *Complaint Information* tab refreshes to display the new status.

4.8.6.2 Remand to Amend a Complaint

Follow the steps below to process a *Remand to Amend a Complaint*.

- Navigate to the desired case folder and then click the *Claims and Bases* tab.
- Click **Add Issue**. The tab refreshes to display a blank *New Issue* entry.

(!!) Note: Any previously completed Issue entries are displayed in this tab. You can minimize the Issue Entry by clicking the +/- buttons.



Formal Complaints

Complaint Information | Claims and Bases | Documents | Roles | Consolidated Complaint | Contacts | Corrective Actions | Event Log | Fees | Assignments

PC-22-00016 - Informal Complaint Rights and Responsibilities

Issues and Bases

New Issue

Issue Title: *

Date of Incident: to

Basis: Age Sex Race Color Religion Disability
 Reprisal National Origin GINA EPA PDA Non-EEO

Statutes: Title VII Equal Pay Act (EPA) Age Discrimination in Employment Act (ADEA) +
 Rehabilitation Act The Genetic Information Nondiscrimination Act Pregnancy Discrimination Act

Alleged Status: Alleged Date:

Comments:

Remedy(ies) or Resolution Requested:

Add Issue

3. Select the **Issue Title** from the drop-down list. The workspace refreshes and the selected entry appears at the top of the new Issue entry.
4. Click any applicable **Basis** checkboxes.
(!!) Note: Depending upon the checkboxes selected, additional fields may appear. Complete these fields before proceeding.
5. Click any applicable **Statutes** checkboxes.
6. If applicable, click the **Alleged Status** checkbox to apply the Alleged status to the case folder, and then use the date picker to select the **Alleged Date**.
7. Enter any **Comments** in the field, if applicable.
8. Enter any **Remedy(ies) or Resolution Requested** information in the field, if applicable.
9. Select an **Issue Title** from the drop-down list. Fields appear to capture the *Amendment*, as shown below.
10. Click **Save** to record the new Issue information. The *Claims and Bases* tab refreshes and the new Issue is recorded.

Statutes: Title VII Equal Pay Act (EPA)
 Rehabilitation Act The Genetic Information Nondiscrimination Act

Alleged Status: Alleged Date:

Comments:

Remedy(ies) or Resolution Requested:

Add Issue

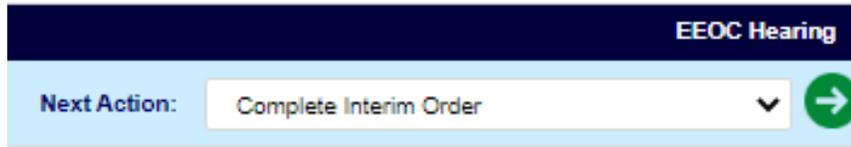
Save



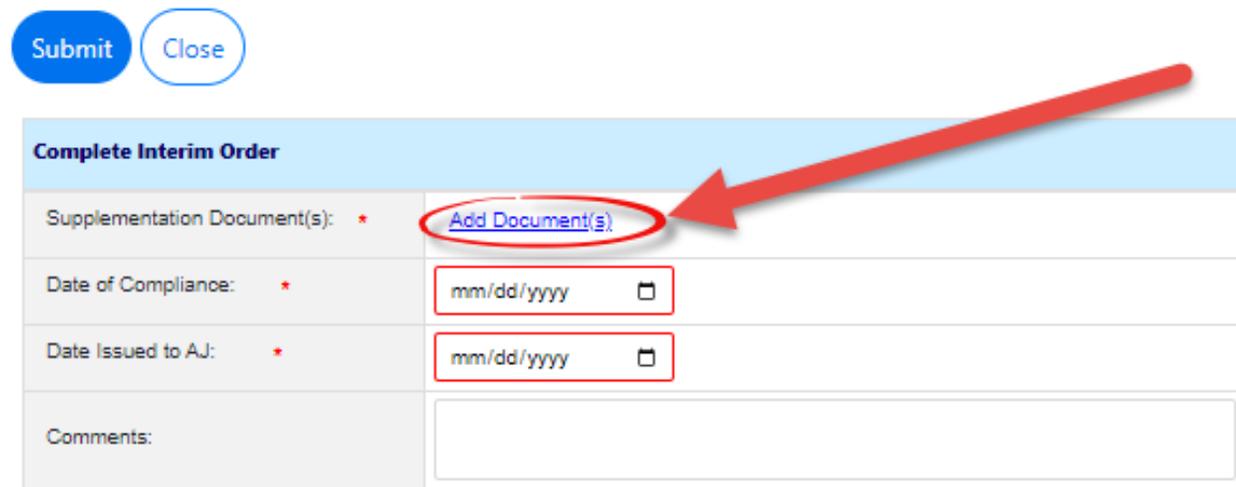
4.8.6.3 Complete Interim Order

Perform the steps below to complete the Interim Order:

1. Navigate to the *Complaint Information* tab and select **Complete Interim Order** from the *Next Action* list, then click the **Arrow** button.



2. The *Complete Interim Order* pop-up window appears. Click **Add Documents** to open the *Case Attachments* pop-up window, where you can upload supplementation documents.

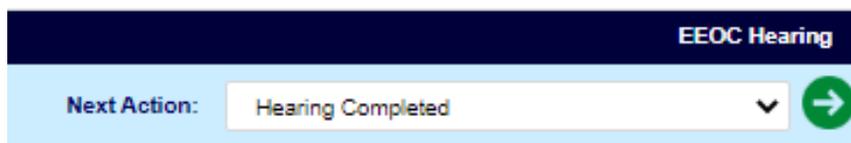


3. Use the date picker to select the **Date of Compliance**.
4. Use the date picker to select the **Date Issued to AJ**.
5. Enter any **Comments** in the free text field.
6. Click **Submit** to submit the interim order.

4.8.7 Hearing Completed

Follow the steps below to log the completion of the Hearing process.

1. Open the desired case folder and navigate to the *Complaint Information* tab.
2. Select **Hearing Completed** from the *Next Action* list, then click the **Arrow** button.



3. The *EEOC Hearing Outcome* pop-up window appears. Click **Add Documents** to open the *Case Attachments* pop-up window, where you can upload the Final Order attachment.



Formal Complaints

Submit

Close

Decision by Administrative Judge (AJ)		
Final Order:	Add Document	
Date of AJ Decision: *	<input type="text" value="mm/dd/yyyy"/>	
Date AJ Decision Received by Agency:	<input type="text" value="mm/dd/yyyy"/>	
FINDINGS OF AJ DECISION		
ISSUE(S)	BASIS(ES)	FINDING
Duty Hours	Religion	<input type="checkbox"/> Discrimination <input checked="" type="checkbox"/> No Discrimination
Appointment/Hire	GINA	<input type="checkbox"/> Discrimination <input checked="" type="checkbox"/> No Discrimination
Reassignment - Denied	Reprisal	<input type="checkbox"/> Discrimination <input checked="" type="checkbox"/> No Discrimination
Decision of Final Order:	<input type="checkbox"/> Dismissal <input type="checkbox"/> Finding No Discrimination <input type="checkbox"/> Finding Discrimination	
AJ Hearing Held:	<input checked="" type="radio"/> Yes <input type="radio"/> No	
Date Hearing Ended:	<input type="text" value="mm/dd/yyyy"/>	
AJ Ordered FAD:	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Comments:	<input type="text"/>	

4. Use the date picker to select the **Date of AJ Decision**.
5. Within *Findings of AJ Decision* workspace, ensure the AJ decision is accurately reflected for all Basis(es).
6. Select one of the **Decision of Final Order** checkboxes. Each checkbox selected prompts the pop-up window to refresh and display additional fields. For additional information about these checkboxes, consult the table below:



Formal Complaints

Decision	Details						
Dismissal	<p>If Dismissal is selected, also provide the <i>Reason for Dismissal</i> from the drop-down list:</p> <div style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;"> <p>Decision of Final Order: <input checked="" type="checkbox"/> Dismissal <input type="checkbox"/> Finding No Discrimination <input type="checkbox"/> Finding Discrimination</p> <p>Reason for Dismissal: <input type="text" value=""/> *</p> </div>						
Finding No Discrimination	<p>If Finding No Discrimination is selected, no additional fields are required.</p>						
Finding Discrimination	<p>If Finding Discrimination is selected, fields appear to capture the <i>Remedy Details</i>. Click Insert Item to add fields for capturing remedies. Each remedy has fields to capture the <i>Type</i>, <i>Benefit</i>, and <i>Amount</i>:</p> <div style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;"> <p>Decision of Final Order: <input type="checkbox"/> Dismissal <input type="checkbox"/> Finding No Discrimination <input checked="" type="checkbox"/> Finding Discrimination</p> <p>Remedy Details</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Type</th> <th style="width: 33%;">Benefit</th> <th style="width: 33%;">Amount (\$)</th> </tr> </thead> <tbody> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </tbody> </table> <p><input checked="" type="checkbox"/> Insert item</p> </div> <p>(!!) Note: If a Remedy is added at this screen, it should also be entered in the Corrective Actions tab of the FC.</p>	Type	Benefit	Amount (\$)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Type	Benefit	Amount (\$)					
<input type="text"/>	<input type="text"/>	<input type="text"/>					

7. Complete any remaining required fields.

(!!) Note: If the Finding does not match the Decision, an error message appears as shown below:

csosaeetest.ains.com says

Please check that the findings of each issue and bases align with the decision of the final order.



8. Click **Submit** to submit the outcome. The pop-up window closes and the *Complaint Information* tab refreshes to display the updated status.



4.9 Civil Action

At certain points in the process, it is possible for the AP to pursue Civil Action. Civil Actions have two parts: Civil Action and Civil Action Decision.

1. Open the desired Formal Complaint case folder and within the *Complaint Information* tab, select **Civil Action** from the *Next Action* drop-down list, then click the **Arrow** button.

The screenshot shows a dark blue header with the text "Final Agency Decision" in white. Below the header is a light blue bar containing the text "Next Action:" followed by a dropdown menu showing "Civil Action" and a green arrow button to the right.

2. The *Civil Action Filed* pop-up window appears. Click **Add Documents** to open the *Case Attachments* pop-up window, where you can upload the Civil Action Document.

The screenshot shows a pop-up window titled "Civil Action Filed". At the top left are two buttons: "Submit" (blue) and "Close" (white with blue border). The form contains the following fields:

- Civil Action Document: [Add Document\(s\)](#)
- Date of Civil Action: * (mm/dd/yyyy) [calendar icon]
- Civil Action Number: [text input]
- Civil Action District Court: * [dropdown menu]
- Comments: [text area]

3. Use the date picker to select the **Date of Civil Action**.
4. Select the **Civil Action District Court** from the drop-down list.
5. Complete any remaining required fields.
6. Click **Submit** to submit the Civil Action. The pop-up window closes and the *Complaint Information* tab refreshes.

4.9.1 Civil Action Decision

Follow the steps below to log a Civil Action Decision.

1. Navigate to the *Complaint Information* tab and select **Civil Action Decision** from the *Next Action* list, then click the **Arrow** button.

The screenshot shows a dark blue header with the text "Civil Action" in white. Below the header is a light blue bar containing the text "Next Action:" followed by a dropdown menu showing "Civil Action Decision" and a green arrow button to the right.



- The *Civil Action Disposition* pop-up window appears. Click **Add Documents** to open the *Case Attachments* pop-up window, where you can upload the Civil Action Final Order Document.



Civil Action Disposition	
Civil Action Final Order:	Add Document(s)
Date of Civil Action Final Order: *	mm/dd/yyyy
Disposition of Civil Action: *	<input type="text" value=""/>
Prevailing Party in Civil Action:	<input type="radio"/> Complainant <input type="radio"/> Agency
Comments:	<input type="text"/>

- Use the date picker to select the **Date of Civil Action Final Order**.
- Select the **Disposition of Civil Action** from the drop-down list.
- Select the desired **Prevailing Party in Civil Action** radio button.
- Enter any **Comments** in the free-text field, if necessary.
- Click **Submit**. The pop-up window closes and the *Complaint Information* tab refreshes to display the updated status.

4.10 Remands

When an appeal is *Denied* or *Denied in Part*, a case is *Remanded*. The existing complaint is closed and maintained as a historical record. The details are duplicated in a new FC marked as a *Remand*. An example remanded complaint is shown below:



Formal Complaints

Save Actions Permissions Logs Reports Spelling View As (ADR Specialist)

Complaint Information Claims and Bases Documents Roles Consolidated Complaint Contacts Corrective Actions Event Log Fees Assignments

PCV-22-00009 - Formal Complaint Accept/Dismiss Claims

(A) Remand Conflict of Interest Mixed Case Class Complaint Consolidated Next Action:

Please refer below for historical case(s): **(B)**
[PCV-22-00009_H](#)

Complainant: [Jake Burger](#) EEO Contact #: N/A

Date Information Formal Remaining Days: 163

Inquiry Dates		Informal Dates		Formal Dates	
Incident:	mm/dd/yyyy	Initial Interview:	N/A	Formal Complaint Filed On:	09/20/2022
Initial Contact:	09/08/2022	ADR Completed On:	N/A	Investigation to Be Completed By:	12/05/2022
45th Day After Incident:	N/A	Final Interview:	N/A	Formal Complaint Closed On:	N/A
ADR Offered On:	N/A	EEO Counselor's Report Submitted On:	N/A		
Inquiry Closed Date:	N/A	Notice of Right to File Dis. Complaint Provided On:	N/A		
		Formal Complaint Must Be Filed By:	N/A		
		Counseling Due Date:			
		Counseling Closed On:	N/A		

Anonymity
At the Informal Stage, the Aggrieved Person did not indicate whether or not they wished to remain Anonymous.

Complaint Against

Region:

RMO(s):
No Responsible Management Official (RMO) have been added against this complaint.

The complaint is marked as a **(A) Remand**. The completed complaint is **(B)** linked for reference. The **(C) Status** and **Next Action** depend on the selection made under *Remand for Agency*. If you click the link to the historical case, where this remand complaint originated, the previous complaint appears as shown in the following example.

Home / Complaint PCV-22-00009_H [Closed] **(A)**

Save Actions Logs Reports View As (ADR Specialist)

Complaint Information Claims and Bases Documents Roles Consolidated Complaint Appeal Events Contacts Corrective Actions Event Log Fees

PCV-22-00009_H - Formal Complaint Appeal Process

Remand Conflict of Interest Mixed Case Class Complaint Consolidated

This complaint has been remanded. Please refer to Case No [PCV-22-00009](#) to continue processing the case.

Complainant: [Jake Burger](#) **(B)** EEO Contact #: N/A

Date Information Formal Remaining Days: 163

The complaint is marked as **(A) Closed**, and a link is now present for easy access to the **(B)** newly created complaint folder where the processing can proceed.



4.11 Formal Settlement

Follow the steps below to log the settlement of a Formal Complaint.

1. Open the desired case folder and navigate to the *Complaint Information* tab. Select **Formal Settlement** from the *Next Action* drop-down list, then click the **Arrow** button.

The screenshot shows a dark blue header with the text "Civil Action". Below it is a light blue bar containing the text "Next Action:" followed by a dropdown menu showing "Settlement" and a green arrow button to the right.

2. The *Settlement* pop-up window appears. Click **Add Document(s)** to open the Case Attachments pop-up window and upload a *Settlement Attachment*.

The screenshot shows a pop-up window titled "Formal Settlement". At the top left are two buttons: "Submit" (blue) and "Close" (white with blue border). The main area has three rows:

- Row 1: "Settlement Attachment:" followed by a blue link "Add Document(s)" which is circled in red. A large red arrow points from the right towards this link.
- Row 2: "Date of Settlement: *" followed by a date picker showing "mm/dd/yyyy" and a calendar icon.
- Row 3: "Comments:" followed by a large empty text area.

3. Use the date picker to select the **Date of Settlement**.
4. Add any relevant **Comments** in the free-text field, if desired.
5. Click **Submit** to submit the Formal Settlement. The pop-up window closes and the *Complaint Information* tab refreshes to display the new status of *Corrective Actions*.

4.12 Compliance

Some FCs may require additional *Compliance* logging depending on the outcome of the complaint. Follow the steps below to log compliance:

1. Open the desired case folder and navigate to the *Complaint Information* tab. Select **Start Compliance** from the *Next Action* list, then click the **Arrow** button.

The screenshot shows a dark blue header with the text "Final Agency Decision". Below it is a light blue bar containing the text "Next Action:" followed by a dropdown menu showing "Start Compliance" and a green arrow button to the right.



- The *Start Compliance* pop-up window appears. Use the date picker to select the **Start of Compliance Date**.



Start Compliance	
Start of Compliance Date: *	<input type="text" value="mm/dd/yyyy"/>
Period of Compliance: *	<input type="text"/>
End of Compliance Date: *	<input type="text" value="mm/dd/yyyy"/>
Comments:	<input type="text"/>

- Enter the number of days in the compliance period in the **Period of Compliance** field. The *End of Compliance Days* field automatically computes the end date.
- Enter any **Comments** in the field, if needed.
- Click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the *Compliance Started* status.
- To manually end the compliance period, select **Compliance Closure** from the *Next Action* list, then click the **Arrow** button.

Compliance Started	
Next Action:	<input type="text" value="Compliance Closure"/>

- The *Compliance Closure* pop-up window appears. Use the date picker to select the **New Date of Compliance**.



Compliance Closure	
Start of Compliance Date:	<input type="text" value="10/07/2022"/>
Date of Compliance New: *	<input type="text" value="mm/dd/yyyy"/>
Comments:	<input type="text"/>

- Enter any **Comments** in the field, if necessary.



- Click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the new status *Final Agency Decision*.

4.13 Abeyance

An abeyance period denotes time that is not counted against the deadlines for a Formal Complaint. Starting an Abeyance effectively pauses the clock until the FC is taken out of Abeyance.

Follow the steps below to initiate Abeyance:

- Open the desired case folder and navigate to the Complaint Information tab. Select **Start Abeyance** from the *Next Action* list, then click the **Arrow** button.

Final Agency Decision

Next Action: Start Abeyance [v] [→]

- The *Start Abeyance* pop-up window appears. Use the date picker to select the **Start of Abeyance Period**.

Submit Close

Abeyance Period

Start of Abeyance Period: * mm/dd/yyyy [calendar icon]

Reason for Abeyance: [dropdown arrow]

Comments: [text area]

- Select the *Reason for Abeyance* from the drop-down list
- Enter any **Comments** in the field, and then click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the updated status *Held in Abeyance*.
- To end the Abeyance period, select **End Abeyance** from the *Next Action* drop-down list, then click the **Arrow** button.

Held in Abeyance

Next Action: End Abeyance [v] [→]



- The *End Abeyance* pop-up window appears. Use the date picker to select the **End of Abeyance period** (this cannot be a date in the future).



End of Abeyance Period	
Start of Abeyance Period:	<input type="text" value="10/07/2022"/>
End of Abeyance *	<input type="text" value="mm/dd/yyyy"/>
Comments:	<input type="text"/>

- Enter any **Comments** in the free text field.
- Click **Submit**. The pop-up window closes and the Complaint Information tab refreshes to display the last status before the abeyance began.

4.14 Close Complaint

A Formal Complaint can reach Close Complaint status in a number of ways, described in the procedures above. Once in a Formal Complaint is in *Administrative Closure* status, the next step is to Close Complaint. Complete the steps below to close the complaint:

- Open the desired case folder and navigate to the *Complaint Information* tab. Select **Close Complaint** from the *Next Action* list, then click the **Arrow** button.



- The *Close Formal Complaint* pop-up window appears. Use the date picker to select the **Formal Complaint Closed Date**.
- Enter any relevant **comments** in the *Comments* field.



Formal Complaints

Submit **Close**

Close Formal Complaint	
Formal Complaint Closed Date: *	<input type="text" value="mm/dd/yyyy"/> 
Comments:	<input type="text"/>

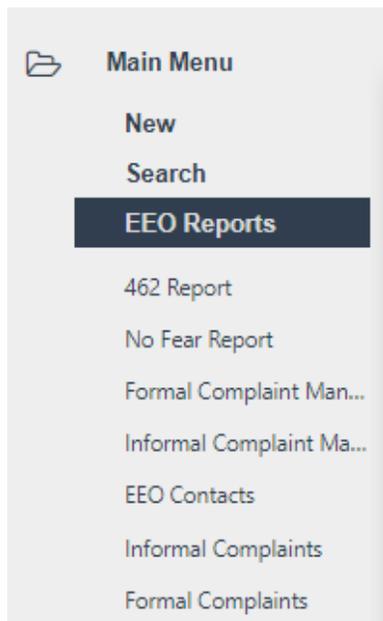
4. Click **Submit**. The pop-up window closes, and the Complaint Information tab refreshes to display the updated status *Administrative Closure*.



5 eComplaint Reports

eCASE eComplaint provides a detailed reporting tool, allowing authorized users to perform either preconfigured reports or ad hoc reports, including the following:

- 462 Reports
- No Fear Report
- Complaint Management Reports
- Custom Reports



The following sections provide information on running and viewing these reports.

5.1 EEO Reports

The *EEO Reports* menu option contains reports required by law and custom reports which can be modified to suit organizational need. The subsections below instruct users on how to complete each EEO Report.

(!!) Notes:

- **When working inside a report, do not alter the Select Query drop-down list.**
- **When working inside a report, do not alter the Output Table Properties.**

5.1.1 462 Reports

The 462 Report is required by the EEOC and is an annual federal equal opportunity statistical report of discrimination complaints. To generate the 462 Report:



1. Within the Launch Pad, click **Main Menu > EEO Reports > 462 Report**.
2. The page refreshes to display the *Report Parameters* page. Select the **Year** from the *Year* drop-down list, and then select the **Quarter/Month** from the drop-down list.

(!!) Note: After selecting the Year and Quarter drop-down list values, the page refreshes and the Report Start Date and Report End Date fields are automatically populated by the application.

The screenshot shows the 'EEO 462 Report' form. At the top, there are two buttons: 'Generate Report' and 'Back'. Below the title bar, the form contains the following fields and options:

- Year*:** A dropdown menu with the placeholder text '[Select Year]'.
- Report Start Date:** A text input field.
- Report End Date:** A text input field.
- Office:** A dropdown menu with the placeholder text '[Select Office]'.
- Agency*:** A text input field.
- Region:** A text input field with a small grid icon to its right, indicating a lookup function.
- Export to:** Three radio buttons labeled 'Excel', 'Pdf', and 'Web'. The 'Web' option is selected.

3. Select the **Office** from the drop-down list.
4. Enter an **Agency** in the *Agency* field.
5. Click the **Region** lookup. The *Region Selection* pop-up window appears.

This screenshot is similar to the previous one but highlights the 'Region' field. A red arrow points from the 'Region' text input field to the small grid icon to its right, which is used for the region lookup. The 'Agency*' field now contains the text 'PC'. The 'Export to' options remain the same, with 'Web' selected.

6. Expand the folder tree until you locate the desired Region selection. Click the **checkbox** adjacent the desired Region and click **OK**.



eComplaint Reports

Region Selection

Filter by Name: Search

Selected Region: Level121 (Level121)

Headquarters (HQ)

DOD4 (DOD4)

DOD2 (DOD2)

DOD (DOD)

DOD1 (DOD1)

DOD3 (DOD3)

Level121 (Level121)

OK

Cancel

- The pop-up window closes, and the selected **Region** appears in the field. Select an **Export Format** using the *Export to:* radio buttons. This is the file type format that the report data will be exported into.

(!!) Notes:

- Selecting the **Web** output radio button returns report results within the web browser.
- Selecting the **PDF** or **Excel** export options prompts the page to begin downloading the report results immediately upon successfully executing the report.

- Click **Generate Report**.

[Generate Report](#) [Back](#)

EEO 462 Report

Year*: 2021 Quarter 3

Report Start Date: 4/01/2021

Report End Date: 06/30/2021

Office: AINS

Agency*: AINS

Region: Level121 (Level121)

Export to: Excel Pdf Web

- The page displays the report results in the selected output.



5.1.2 No Fear Report

The No Fear Report is the Notification and Federal Employee Anti-Discrimination and Retaliation report. This report is an annual report setting forth information about the agency's efforts to improve compliance with the employment discrimination and whistleblower protection laws and detailing the status of complaints brought against the agency under these laws. To generate the No Fear Report:

1. Within the *Launch Pad*, click **Main Menu > EEO Reports > No Fear Report**.
2. The page refreshes to display the *Report Parameters* page. Select the **Year** from the *Select Year* drop-down list, and then select the **Quarter** from the *Select Quarter* drop-down list.

3. Click the **Region** lookup. The *Region Selection* pop-up window appears.

4. Expand the folder tree until you locate the desired Region selection. Click the **checkbox** adjacent the desired Region and then click **OK**.



eComplaint Reports

Region Selection

Filter by Name:

Selected Region: Level3 (Level3)

▼ Headquarters (HQ)

- DOD4 (DOD4)
- DOD2 (DOD2)
- ▼ DOD (DOD)
 - ▼ Level1 (Level1)
 - Level2 (Level2)
 - Level3 (Level3)
 - DOD1 (DOD1)
 - DOD3 (DOD3)

- The pop-up window closes, and the selected **Region** appears in the field. Select an **Export Format** using the *Export to*: radio buttons. This is the file type format that the report data will be exported into.

(!!) Notes:

- Selecting the **Web** output radio button returns report results within the web browser.
- Selecting the **PDF** or **Excel** export options prompts the page to begin downloading the report results immediately upon successfully executing the report.

- Click **Generate Report**.

No Fear Report

Year*:

Report Start Date:

Report End Date:

Region:

Export to: Pdf Web

- The page displays the report results in the selected output.



eComplaint Reports

PART I	PART II	PART III	PART IV and V	PART VI and VII	PART VIII	PART IX and X
Equal Employment Opportunity Data Post Pursuant to the No Fear Act: PC (REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH) For 3rd Quarter 2021 for period ending June 30, 2021						
Complaint Activity By Year						
Comparative Data						
Previous Fiscal Year Data						
	2016	2017	2018	2019	2020	2021 Thru 30-Jun
Number of Complaints Filed	0	0	0	0	0	0
Number of Complainants	0	0	0	0	0	0
Repeat Filers	0	0	0	0	0	0

5.1.3 EEO Contacts Report

The EEO Contacts Report produces a complete list of EEO Contacts. Follow the steps below to generate the EEO Contacts Report.

1. Within the *Launch Pad*, select **Main Menu > EEO Reports > EEO Contacts**. The page refreshes to display the *Report Parameters* screen.
2. Within the *Query Parameters* subsection, use the date pickers to select the **Start Date** and **End Date**.
3. Click **Run**. The page refreshes to display the report results.

Print
Print All
Export
Back

AINS

Query Report

Date: 7/27/2020
Time: 10:36 AM

Query - Informal Complaints

Case Number	Complainant Name	Organizational Unit	Initial Contact Date	Days in Counseling	Final Interview	Extension of Counseling	Status	Closed Date
FC-2020-01327	Abby Shine		10/01/2019	1	10/01/2019		Notice of Right to File Issued	10/01/2019
FC-2020-01352	Audrey M Lizaw		10/01/2019	1	10/01/2019		Notice of Right to File Issued	10/01/2019
FC-2020-01363	David Ray		10/01/2019	29	10/30/2019	11/12/2019	Notice of Right to File Issued	10/30/2019
FC-2020-01366	Abby Shine	Office Right Below HUD	01/01/2020	1	01/01/2020		Notice of Right to File Issued	01/01/2020
FC-2020-01369	Abby Shine		01/01/2020	90	02/01/2020	03/31/2020	Notice of Right to File Issued	03/31/2020

Show: 20
1 2 3 4 5 6 ... 8 >



5.1.4 Informal Complaints Report

The *Informal Complaints Report* produces a complete list of Informal Complaints. Follow the steps below to generate the *Informal Complaints Report*:

1. Within the *Launch Pad*, select **Main Menu > EEO Reports > Informal Complaints**. The page refreshes to display the *Report Parameters* page.
 - a. Do not alter the *Select Query* drop-down list.
 - b. Do not alter the *Output Table Properties*.

▶ Run 📁 Save 📁 Save As 👉 Select Criteria 🔄 Reload ◀ Back

Select Query Informal Complaints Query ▼

Query Description Informal Complaints created or closed or pending during the given date range

Query Parameters ⚙

Start Date* 1/1/2020 📅

End Date* 12/31/2020 📅

2. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.
3. Click **Run**. The page refreshes to display the report results.

🖨 Print 🖨 Print All 📄 Export ◀ Back

AINS

Query Report

Query - Informal Complaints

Date: 7/27/2020
Time: 10:36 AM

Case Number	Complainant Name	Organizational Unit	Initial Contact Date	Days in Counseling	Final Interview	Extension of Counseling	Status	Closed Date
FC-2020-01327	Abby Shine		10/01/2019	1	10/01/2019		Notice of Right to File Issued	10/01/2019
FC-2020-01352	Audrey M Lizaw		10/01/2019	1	10/01/2019		Notice of Right to File Issued	10/01/2019
FC-2020-01363	David Ray		10/01/2019	29	10/30/2019	11/12/2019	Notice of Right to File Issued	10/30/2019
FC-2020-01366	Abby Shine	Office Right Below HUD	01/01/2020	1	01/01/2020		Notice of Right to File Issued	01/01/2020
FC-2020-01369	Abby Shine		01/01/2020	90	02/01/2020	03/31/2020	Notice of Right to File Issued	03/31/2020

Show: 20 ⌵

1 2 3 4 5 6 ... 8 >



5.1.5 Formal Complaints Report

The Formal Complaints Report produces a complete list of Formal Complaints. Follow the steps below to produce the Formal Complaints Report.

1. Within the Launch Pad, click **Main Menu > EEO Reports > Formal Complaints**.
2. The page refreshes to display the *Report Parameters* page, with *Formal Complaints* selected in the *Select Query* drop-down list.

▶ Run 📄 Save 📄 Save As 🖱️ Select Criteria 🔄 Reload ⬅️ Back

Select Query Formal Complaints Query ▾

Query Description Formal Complaints created or closed or pending during the given date range

Query Parameters ⓘ

Start Date* 1/1/2020 📅

End Date* 12/31/2020 📅

- a. Do not alter the *Select Query* drop-down list.
 - b. Do not alter the *Output Table Properties*.
3. Under *Query Parameters*, select the **Start Date** and **End Date**.
 4. Click **Run**. The page refreshes to display the report results.



eComplaint Reports

[Print](#) [Print All](#) [Export](#) [Back](#)

AINS Query Report

Date: 7/27/2020
Time: 10:39 AM

Query - Formal Complaints

Complaint Number	Name	Organization	Date Filed Formal	Bases/Issues	Ackn. Letter Issued	Accept Dismiss Issued	Days since filed formal	Status	Closed Date
FC-2020-01327	Abby Shine		10/01/2019	{Claim: Awards (Basis: Color -)} {Claim: Evaluati...	10/01/2019	12/06/2019	243	Final ROI Submitted	
FC-2020-01333	Deepika Patel		05/01/2020		05/01/2020		1	Complaint Closed	05/01/2020
FC-2020-01336	Bela Sang		10/15/2018	{Claim: Conversion to Full Time/PERM Status (Basis...	10/15/2018	10/15/2018	575	Appeal Process	05/12/2020
FC-2020-01343	Lilo Hawaii		05/07/2020	{Claim: Appointment/Hire (Basis: Sex - Male)}	05/07/2020	05/07/2020	1	Final Agency Decision Completed	05/07/2020
FC-2020-01345	sravani		05/07/2020	{Claim: Appointment/Hire (Basis: Sex - Male)}	05/07/2020	05/07/2020	24	Forwarded Complaint File	

Show: 20

1 2 3 4 5 6 ... 7 >

5.1.6 15 Day Waiting Report

The *15 Day Waiting Report* is used by managers to track the time since the notice of Right to File was submitted. If the complaint is inside the 15 day Waiting Period, it appears in this report. To generate the 15 Day Waiting Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > 15 Day Waiting**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.

[Run](#) [Save](#) [Save As](#) [Select Criteria](#) [Reload](#) [Back](#)

Select Query: 15 Day Waiting Query

Query Description: 15 Days waiting period from Notice of Right to File

Query Parameters

Start Date*: 1/1/2020

End Date*: 12/31/2020

3. Click **Run**. The page refreshes to display the report results.



5.1.7 Investigations Report

The Investigations Report shows Investigations that began within a given date range. To generate the Investigations Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > Investigations**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.

3. Click **Run**. The page refreshes to display the report results.

5.1.8 30 Days Election Notice Report

The 30 Days Election Notice Report shows Completed investigations within the given date range that have not had a hearing or request for Final Order by the “To” date. To generate the 30 Days Election Notice Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > 30 Days Election Notice**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.



3. Click **Run**. The page refreshes to display the report results.

5.1.9 Hearings Report

The Hearings Report shows Hearings that start before the “To” and which are completed or pending within the given date range To generate the Hearings Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > Hearings**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.

3. Click **Run**. The page refreshes to display the report results.

5.1.10 Final Agency Decisions Report

The Final Agency Decisions report shows the Final Agency Decisions that occurred within the given date range. To generate the Final Agency Decisions Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > Final Agency Decisions Report**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.



eComplaint Reports

▶ Run Save Save As Select Criteria Reload < Back

Select Query Final Agency Decisions Query

Query Parameters

Start Date* 1/1/2020

End Date* 12/31/2020

3. Click **Run**. The page refreshes to display the report results.

5.1.11 EEO Decision Report

The EEO Decision report shows the EEO Decisions within a given date range. To generate the EEO Decision Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > EEO Decision Report**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.

▶ Run Save Save As Select Criteria Reload < Back

Select Query EEO Decision Query

Query Parameters

Start Date* 1/1/2020

End Date* 12/31/2020

3. Click **Run**. The page refreshes to display the report results.

5.1.12 30 Days Waiting Period Report

The 30 Days Waiting Period Report shows the Final Agency Decisions that do not have an appeal within 30 days of the “To” date. To generate the 30 Days Waiting Period Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > 30 Days Waiting Period Report**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.



► Run Save Save As Select Criteria Reload ◀ Back

Select Query 30 Days Waiting Period to Appeal Decisi ▾

Query Parameters ⓘ

Start Date* 1/1/2020 📅

End Date* 12/31/2020 📅

3. Click **Run**. The page refreshes to display the report results.

5.1.13 OFO Appeals Report

The OFO Appeals Report shows the Appeals filed within the given date range. To generate the OFO Appeals Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > OFO Appeals Report**.
2. The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.

► Run Save Save As Select Criteria Reload ◀ Back

Select Query OFO Appeals Query ▾

Query Parameters ⓘ

Start Date* 1/1/2020 📅

End Date* 12/31/2020 📅

3. Click **Run**. The page refreshes to display the report results.

(!!) Note: Selecting the PDF or Excel export options prompts the page to begin downloading the report results immediately upon successfully executing the report.

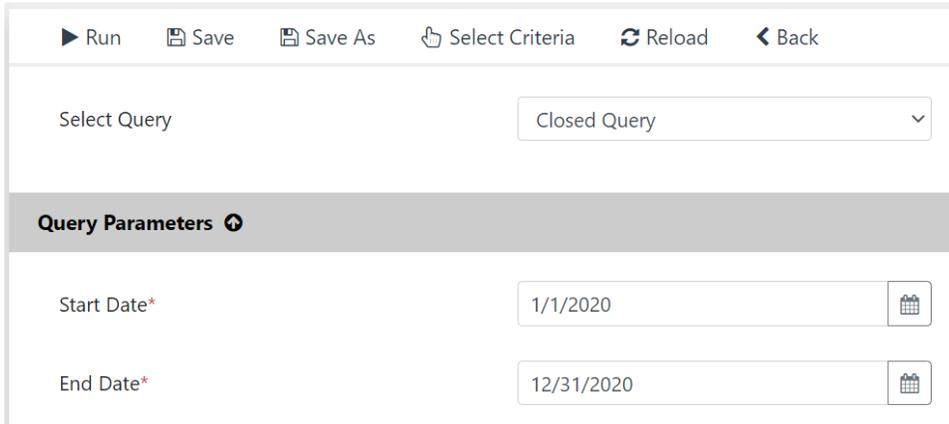
5.1.14 Closed Report

The Closed Report shows the Closed Complaints within the given date range. To generate the Closed Report:

1. Within the Launch Pad, click **Main Menu > EEO Reports > Closed**.

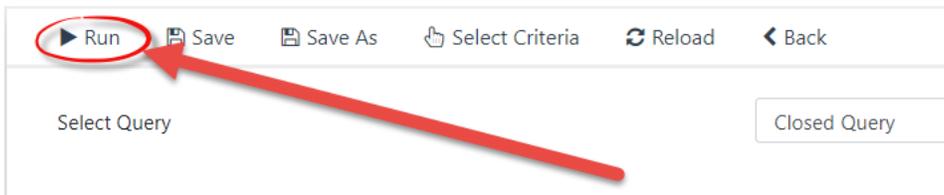


- The page refreshes to display the *Report Parameters* page. Under *Query Parameters*, use the date pickers to select the **Start Date** and **End Date**.



The screenshot shows a web interface for generating reports. At the top, there is a navigation bar with buttons: Run, Save, Save As, Select Criteria, Reload, and Back. Below this is a 'Select Query' dropdown menu currently set to 'Closed Query'. A section titled 'Query Parameters' contains two date pickers: 'Start Date*' with the value '1/1/2020' and 'End Date*' with the value '12/31/2020'. Each date picker has a calendar icon to its right.

- Click **Run**. The system compiles and displays the report in the designated format, indicating errors or incomplete information that must be corrected prior to successfully generating a Report.



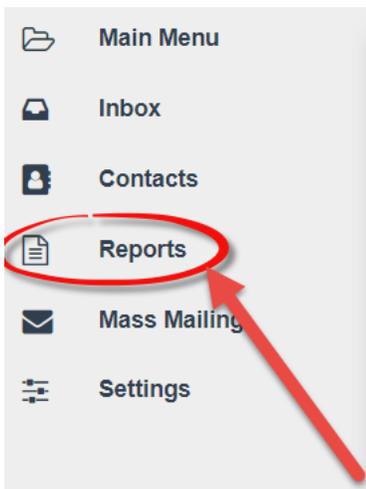
This screenshot is identical to the previous one, but the 'Run' button in the top navigation bar is circled in red. A red arrow points from the 'Run' button towards the bottom right of the page.

- The page refreshes to display the report results.

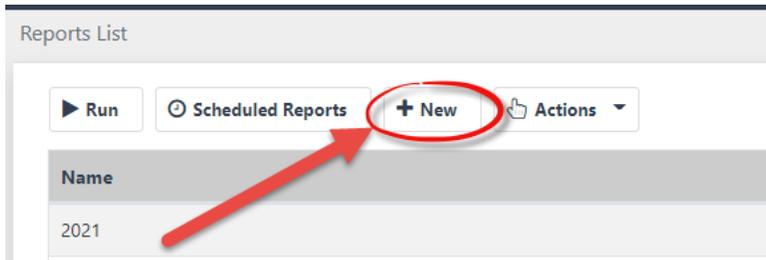
5.2 Custom Reports

Custom reports can be run at the folder level, or at the task level, (i.e., any ad hoc task created after the workflow has begun.) To run a custom report:

- Within the Launch Pad, click **Reports**.

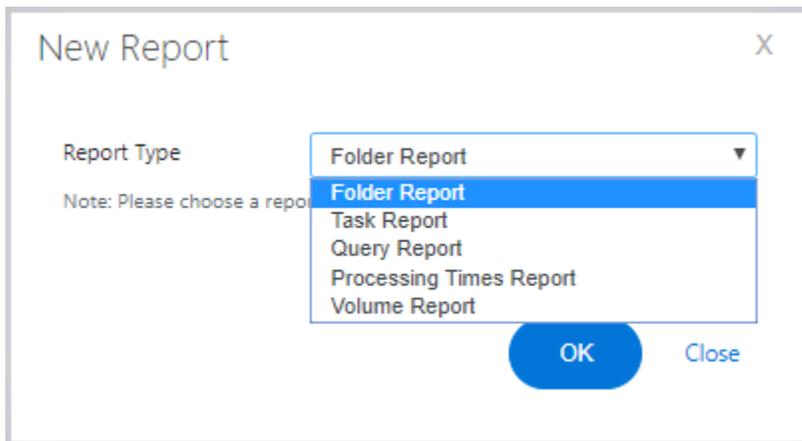


2. The Reports List page appears. Click **New**.



3. The New Report pop-up window appears. Select the **Report Type** from the *Report Type* drop-down list and click **OK**. The pop-up window closes, and the *Folders Report* page appears.

(!!) Note: This procedure below utilizes the Folder Report selection; however, any report type can be executed using the same procedures.



4. The *Report Criteria* page appears. This page contains multiple fields and selectable criteria, however, none of which is required to execute the report.

(!!) Note: The default values in Selected Columns can be removed by selecting and clicking the < button. Required Columns can be selected from the Available Columns box to add under Selected Columns by highlighting the columns and clicking >. The values are toggled between boxes per the user selections. The order of columns to be displayed in report from left to right can be defined by highlighting the value in Selected Column and using the ^ and v arrows to move the columns left and right, respectively.



eComplaint Reports

Output Table Properties

Group By:

Sort By: Descending

Output Columns:

Available Columns

- Application
- Closed By
- Closed Date
- Contact
- Contact Type
- Contacts : Contact Issue ID
- Contacts : Contact Issue Title

Selected Columns

- Office
- Folder ID
- Case Type
- Task Name
- Folder Status

5. After selecting the desired report parameters, click **Run**.

Reports List / Folders Report

Run Save Save As Select Criteria Clear

Folder Criteria

Folder ID:

6. The report displays for the selected Case Type, per the user-selected criteria and columns.

Print PrintAll Export Graphs Back

AINS
Folders Report

Date: 10/23/2019
Time: 2:36 PM

Office	Folder ID	Case Type	Task Name	Folder Status
PO 1 - PO 1	eComplaint-Configuration	Configuration	-	Open
PO 1 - PO 1	2019-REP-00001	462 Report	-	Open
Office 1 - Office 1.	2019-JPU-00001	Joint Processing Units	-	Open
PO 1 - PO 1	IN-2019-01006	EEO Inquiry	-	Open
PO 1 - PO 1	IN-2019-01008	EEO Inquiry	-	Completed On Time
PO 1 - PO 1	IN-2019-01009	EEO Inquiry	-	Completed On Time
PO 1 - PO 1	IC-2019-01009	Complaints	Conduct Initial Interview	In Progress
Office 1 - Office 1	FC-2019-01011	Complaints	Administrative Closure	In Progress
Office 1 - Office 1	IC-2019-01012	Complaints	Receive and Convert to Formal Complaint	In Progress
Office 1 - Office 1	IC-2019-01013	Complaints	Conduct Initial Interview	In Progress

Show: 20

1 2 3 4 5 >

(!!) Note: Users can click the following options within the results page:

- **Print:** Print the first page of the report output.
- **Print All:** Print all pages of the report output.
- **Graphs:** View a graphical representation of the report data.
- **Back:** Return to the Reports List.



5.3 Export Reports

Reports can be printed or exported to be saved on computer or shared via email. To export the report:

1. Run the desired report.
2. Within the *Report Results* page, click **Export**. The *Export Report* window appears.
3. Select the **file type** from the *Export Report* drop-down list. This is the file format that the exported report file will utilize.
4. If desired, specify the Page Range to export using the *Page Range* drop-down list.
5. You can click **Save** to save the report to a local machine or click **Email** to share the report with other users or groups via email.

The screenshot shows the 'Folders Report' page with a table of report entries. The 'Export' button is circled in red, and a red arrow points to the 'Export Report' dialog box. The dialog box is also outlined in red and contains the following elements:

- Export Report: Microsoft Excel (dropdown)
- Page Range: All Pages (dropdown)
- Buttons: Email (green), Save (blue), Close (white)

Office	Folder ID	Case T
AINS - AINS	eComplaint-Configuration	Config
AINS - AINS	2021-JPU-00001	Joint P
AINS - AINS	462-Report-Config	462 Re
AINS - AINS	No-Fear-Report	No Fea
AINS - AINS	PC-22-00015	Compl
AINS - AINS	PC-22-00016	Compl
AINS - AINS	PC-22-00017	Compl
AINS - AINS	CON-PC-22-00007	EEO C
AINS - AINS	PC-22-00019	Complaint

5.4 Save Report Criteria

Criteria used to generate a report can be saved for future use. To save report criteria:

1. Navigate to the desired report, select the preferred criteria and run the report.
2. The Report Results page appears. Click **Save As**. The *Save Report Criteria* window appears.
3. Enter a **name** for the new report criteria in the *Criteria Name* field and click **OK**.



Save As Criteria X

Note: Please give a Report Name

Criteria Name

OK
Close

4. The report criteria are saved. These saved criteria can be used to run the same report in the future by clicking the **Reports** option within the Main Menu. Saved Report Criteria appears in the *Reports List*.

Name	Type	Modified By	Modified Date	Scheduled
Audit Report	Audit Reports		07/15/2019 11:24:57 AM	No
Test1	Folder Report	Counselor Eeo	10/23/2019 2:41:50 PM	No

(!!) Note: Once the report criteria is saved, this report can be scheduled to run at preferred time and day.

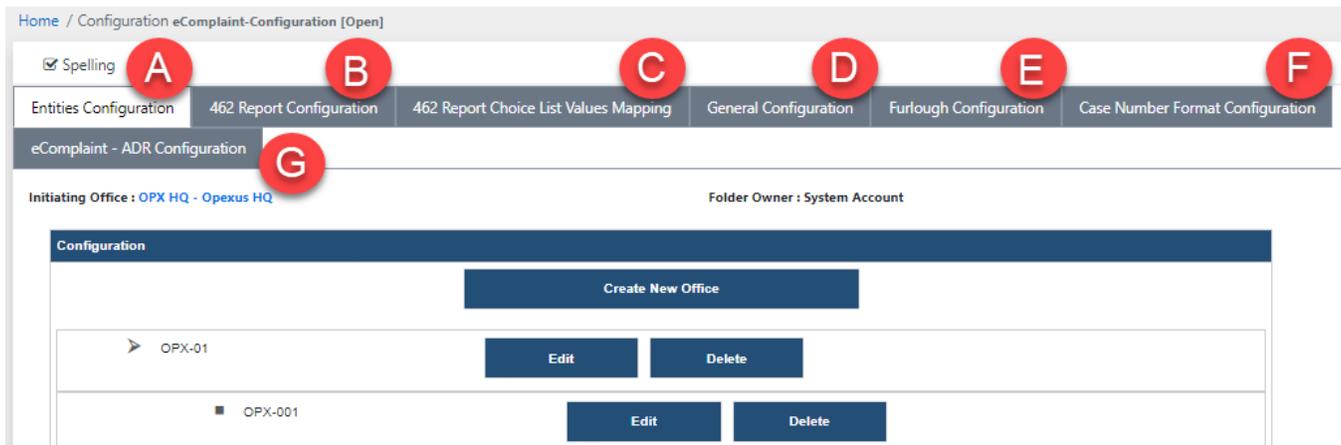


6 eComplaint Configuration Folder

The eComplaint Configuration folder allows Admin users to configure eComplaint-specific settings.

(!!) Note: You must have administrator permissions to view and edit the Configuration folder.

To access eComplaint Configuration, navigate to **Main Menu > Configuration > eComplaint Configuration**. The Configuration screen appears as shown below:



Configuration opens to the **(A) Entities Configuration** by default. There are also tabs for **(B) 462 Report Configuration**, **(C) 462 Report Choice List Values Mapping**, **(D) General Configuration**, **(E) Furlough Configuration**, **(F) Case Number Format Configuration**, and **(G) eComplaint - ADR Configuration**. Each of these tabs are described in the following subsections.

Additionally, some app features are configured through general eCASE Administration. For details on configuring options like display names for form fields, or configuring insert fields for Complaint Letter Templates, see the eCASE Administrator Manual, accessible via the **Help** menu.

6.1 Entities Configuration

Entities Configuration allows administrators to view and manage eComplaint entities, with up to the five levels for added flexibility in structure.

The *Entities Configuration* screen is shown below:



eComplaint Configuration Folder

Each office is shown in the main portion of this tab. Each level of indentation indicates that lower level offices are children offices. Each **(A) Office** can have up to four levels of sub-office, for a total of five (1-5). Each office listed includes options to **(B) Edit** and **(C) Delete**. There is also the option to **(D) Create New Office**.

6.1.1 Create New Office

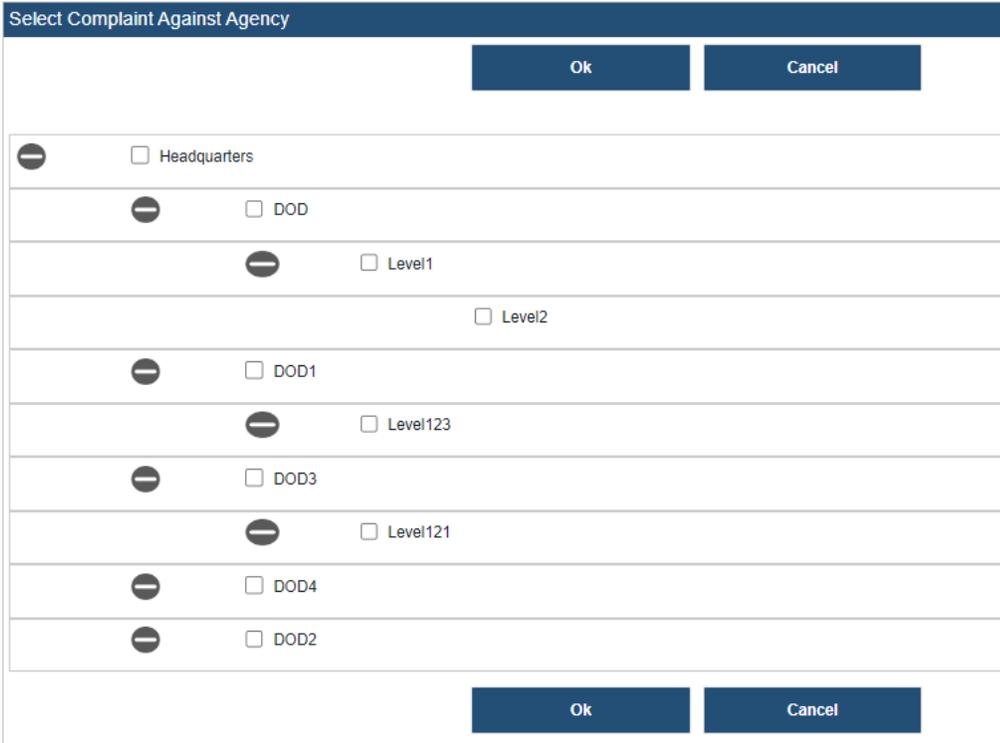
To create a new office:

1. Navigate to **Main Menu > Configuration > eComplaint Configuration**. The *eComplaint Configuration* folder appears, displaying the Entities Configuration tab.
2. Click **Create New Office**. The page refreshes to display the *New Office* workspace.

3. Enter an **Office Code** and **Office Description** in the fields provided.

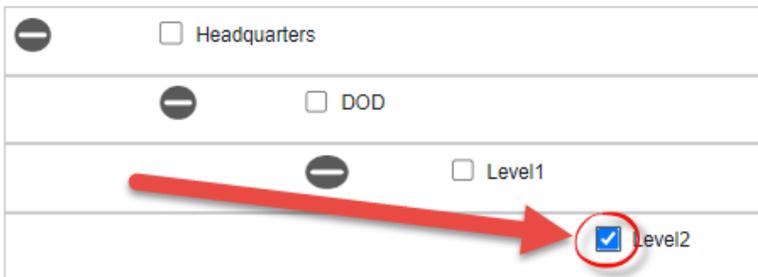


- Click the  Lookup icon to select the **Parent Office**. The page refreshes to display the screen below:



Agency	Selected
Headquarters	<input type="checkbox"/>
DOD	<input type="checkbox"/>
Level1	<input type="checkbox"/>
Level2	<input type="checkbox"/>
DOD1	<input type="checkbox"/>
Level123	<input type="checkbox"/>
DOD3	<input type="checkbox"/>
Level121	<input type="checkbox"/>
DOD4	<input type="checkbox"/>
DOD2	<input type="checkbox"/>

- Click the checkbox adjacent the level to add the New Office.



Headquarters	<input type="checkbox"/>
DOD	<input type="checkbox"/>
Level1	<input type="checkbox"/>
Level2	<input checked="" type="checkbox"/>

- Click **OK**. The page refreshes to display the *New Office* workspace.
 - Enter an **Office Code** in the field.
 - Enter an **Office Description** in the field.
- (!!) Note: Do not alter the Parent Office field, as this was selected in previous steps.**
- Enter an **Email ID** in the field.
 - Select the **EEO Specialist** from the drop-down list.
 - Click **Save** to record the new office.



eComplaint Configuration Folder

New Office	
Office Code: *	SamOffice1
Office Description: *	Sample Office 1
Parent Office:	Headquarters >> DOD >> Level1 >> Level2
Email ID:	SampleOffice@ains.com
EEO Specialist:	Specialist Specialist
<input type="button" value="Save"/> <input type="button" value="Back"/>	

6.2 462 Report Configuration

The eComplaint Configuration folder allows Administrators to configure the 462 Report. To reach 462 Report Configuration, navigate to **Main Menu > Configuration > eComplaint Configuration** then select the *462 Report Configuration* tab.

Entities Configuration | 462 Report Configuration | 462 Report Choice List Values Mapping | General Configuration | Furlough Configuration | Case Number Format Configuration

Required fields are indicated with asterisk (*) and red outline.

EEO 462 Report Configuration

Year *

To configure the 462 Report:

1. Select the year to configure from the drop-down list and then click **Edit**.

EEO 462 Report Configuration

Year *

2. The page refreshes to display the configuration for the selected year. Perform any required changes to the 462 Report configuration within this page.
3. Click **Save** to record the changes to the 462 Report.



EEO 462 Report Configuration

Back Save

Year*: 2020

Comments for Multiple Resources Used:

Comments for Multiple Techniques Used:

PART III - A. AGENCY & CONTRACT RESOURCES

	AGENCY	CONTRACT
1. WORK FORCE		
a. TOTAL WORK FORCE	6	
b. PERMANENT EMPLOYEES	0	
2. COUNSELOR		
a. FULL-TIME	2	0
b. PART-TIME	0	0
c. COLLATERAL DUTY	0	0

6.3 462 Report Choice List Values Mapping

The *462 Report Choice List Values Mapping* tab allows administrators to map where certain values appear within the 462 Report. The *ADR Resources* column is used to enter the custom value that will replace the default value. The *ADR Resources Mapped To* column is used to designate where the new custom value pairs with the existing resources within the 462 Report. Click **Insert** to add an additional row to the 462 Report Choice List Values Mapping tab.

Entities Configuration | 462 Report Configuration | **462 Report Choice List Values Mapping** | General Configuration | Furlough Configuration

462 Report Choice List Values Mappings

ADR Resources

ADR Resources	ADR Resources Mapped To	
FMCS	ANOTHER FEDERAL AGENCY	✖
USPS	ANOTHER FEDERAL AGENCY	✖

Insert

ADR Techniques

ADR Techniques	ADR Techniques Mapped To	
Test1	Settlement Conference	✖

Insert

Save



6.4 General Configuration

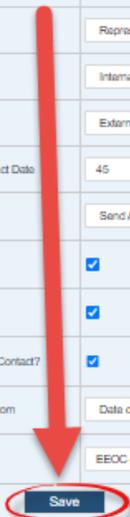
General Configuration allows Administrators to configure eComplaint-specific settings. To reach General Configuration, navigate to **Main Menu > Configuration > eComplaint Configuration** then select the **General Configuration** tab.

An example General Configuration tab is shown below. When making changes to the settings on this page, click **Save** at the bottom of the page to save any changes.



eComplaint Configuration Folder

Required fields are indicated with asterisk (*) and red outline.

General Configuration	
Agency Code *	PC
Default Counselor for Portal	Counselor Counselor
Add Case Number Prefix - IN for Inquiry, IC for Informal Complaint, and FC for Formal Complaint	<input type="checkbox"/>
Add Case Number Format based on Region	<input checked="" type="checkbox"/>
Enable Checkbox of Root Level of Region Selector	<input type="checkbox"/>
Enable Initiating Office and Folder Owner	<input type="checkbox"/>
Show Custom Actions in the Next Action dropdown	<input checked="" type="checkbox"/>
Is Incident Date required in EEO Contact?	<input checked="" type="checkbox"/>
Is Intake Form required in EEO Contact?	<input type="checkbox"/>
Is Intake Person required in EEO Contact?	<input type="checkbox"/>
Is Description required in Complaint?	<input type="checkbox"/>
Is Region required in Complaint?	<input checked="" type="checkbox"/>
Is Region required in EEO Contact?	<input checked="" type="checkbox"/>
Is Investigator required in Initiate Investigation?	<input type="checkbox"/>
Conflict of Interest Group	Conflict
Default Case Manager	Manager Manager
Default ADR Specialist	Adr Specialist Adr Specialist
Contact Type of RMO	RMO
Contact Type of Representative	Representative
Contact Type of Internal Investigator	Internal Investigator
Contact Type of External Investigator	External Investigator
Max. Days to convert EEO Contact to Complaint from Initial Contact Date	45
When is EEO Specialist mandatory?	Send Acknowledgement
Do you need Final Interview?	<input checked="" type="checkbox"/>
Do you need Investigation plan?	<input checked="" type="checkbox"/>
Issues Basis association validation required in Informal and EEO Contact?	<input checked="" type="checkbox"/>
Calculate Deadline to file an Informal Complaint in EEO Contact from	Date of Latest Incident
462 Report Template Name	EEOC 462 Excel Tool 2019v2.xlsx
	

The fields on the General Configuration tab are described in the following table:

Field	Description
Agency Code	Agency Code to be appended to the Office identifier in each case folder



Field	Description
Default Counselor for Portal	Select a default counselor to receive assignments from the portal
Add Case Number Prefix – IN for Inquiry, IC for Informal Complaint, and FC for Formal Complaint	Select to add prefixes to the case number identifying the type – IN for inquiry, IC for Informal Complaint, and FC for Formal Complaint
Add Case Number Format based on Region	If selected, this checkbox adds the Region Code to the Case Number format
Enable Checkbox of Root Level of Region Selector	If selected, this checkbox permits whole Regions/Organizations to be selected rather than a specific subdivision, whenever users select a Region checkbox
Enable Initiating Office and Folder Owner	If selected, this checkbox automatically enables the Initiating Office as the Folder Owner, rather than the user creating the case folder
Show Custom Actions in the Next Action dropdown	<p>If selected, this checkbox permits custom events to be created and added as part of the workflow.</p> <p>No custom events are linked to the 462 report.</p>
Is Incident Date required in EEO Contact	Select to require the <i>Incident Date</i> field to be filled in When creating an EEO Contact
Is Intake Form required in EEO Contact	Select this checkbox to require an Intake Form to be attached to an EEO Contact

Field	Description
Is Intake Person required in EEO Contact?	Select this checkbox to require that the person creating the EEO Contact be listed as the Intake Person
Is Description required in Complaint	Select to require a <i>Description</i> when creating a complaint
Is Region required in EEO Contact?	Select this checkbox to make Region a required field when creating an EEO Contact.
Is Investigator required in Initiate Investigation?	Select this checkbox to make Investigator a required field before the case folder can reach the Investigation stage
Is Region required in Complaint	Select to require a Region when creating a complaint
Is Investigator required in Initiate Investigation	Select to require an Investigator to initiate investigations in the system
Conflict of Interest Group	Select a default group for a Conflict of Interest
Default Case Manager	Select a user to be assigned as the default Case Manager
Default ADR Specialist	Select a user to be assigned as the default ADR Specialist
Contact Type of RMO	Select a contact type to populate the drop-down lists for RMO
Contact Type of Representative	Select a contact type to populate the drop-down lists for Representatives



Field	Description
Contact Type of Internal Investigator	Select a contact type to populate the drop-down lists for Internal Investigators
Contact Type of External Investigator	Select a contact type to populate the drop-down lists for External Investigators
Max Days to convert EEO Contact to Complaint from Initial Contact Date	Enter, in days, the maximum length of time allowed to convert an EEO Contact to a complaint, calculated from the <i>Date Aggrieved Person First Contacted Agency</i>
When is EEO Specialist Mandatory	Select from the drop-down when an EEO Specialist is mandatory in the process. Options are Accept/Dismiss Claims , Add Counselor Report , and Send Acknowledgment
Do you need Final Interview	Select this checkbox to require a Final Interview to be conducted
Do you need investigation plan	Select this checkbox to require an Investigation Plan as part of an investigation.
Issues Basis association validation required in Informal and EEO Contact?	Select this checkbox to require the application to enforce the Issues Basis Association between the checkboxes and the form fields.
Calculate Deadline to File an Informal Complaint in EEO Contact from	Select a value from this drop-down list to designate which date is used to calculate the informal complaint deadline to file.



Field	Description
462 Report Template Name	This field is used to indicate which template is used for the 462 Report. It provides at a glance information to indicate if the template is out of date.

6.5 Furlough Configuration

Furlough configuration allows for managing furlough time across the eComplaint application. To access *Furlough Configuration*, navigate to **Main Menu > Configuration > eComplaint Configuration** then select the *Furlough Configuration* tab. An example tab is shown below:

Required fields are indicated with asterisk (*) and red outline.

Furlough Days A				
Year	Start Date*	End Date	Description	
2020	07/28/2020	07/31/2020	Recent furlough	✖
2014	06/13/2014	06/28/2014	Furlough in 2014	✖
<div style="display: flex; justify-content: space-between; align-items: center;"> Add Furlough B Save </div>				

Any furloughs are listed in the **(A) Furlough Days** section. This includes the furlough *Year*, *Start Date*, *End Date*, and *Description*.

To add a furlough, click the **(B) Add Furlough** button. Fields appear to capture the furlough details, beginning with the **Start Date**, which is required. A *Description* field is available to add a description of the furlough event.

Year	Start Date*	End Date	Description	
	mm/dd/yyyy	mm/dd/yyyy		✖
<div style="display: flex; justify-content: space-between; align-items: center;"> Add Furlough Save </div>				

To save the furlough details, click **Save**. The screen refreshes with the details included in the *Furlough Days* list. You can also add the **End Date** and **Year**. Add more furloughs with the **Add**



Furlough button or delete a furlough by clicking the **Delete** button. A confirmation appears as shown below. Click **Yes** to confirm deleting the furlough:

Confirmation

Please confirm the deletion of the selected Furlough.

No
Yes

6.6 Case Number Format Configuration

The Case Number Format Configuration tab is used to define the Case Type, Region, and Format that case numbers utilize with the application. Select the **Case Type** from the drop-down list, use the Lookup to select the **Region**, and then use the Format column to create the **Case Number Format**.

Case Number Sequence Based On Region				
Case Type	Region		Format	
EEO Contact	Headquarters >> DOD		CON-PC-FY-XXXXX	✖
EEO Contact	Headquarters >> DOD1		CON-PCF-FY-XXXXX	✖
EEO Contact	Headquarters >> DOD2		CON-PCV-FY-XXXXX	✖
Complaint	Headquarters >> DOD		PC-FY-XXXXX	✖
Complaint	Headquarters >> DOD1		PCF-FY-XXXXX	✖
Complaint	Headquarters >> DOD2		PCV-FY-XXXXX	✖
Insert				
Save				

6.7 eComplaint – ADR Configuration

The *eComplaint - ADR Configuration* tab allows you to configure field mappings and email notifications for ADR cases created from eComplaint. It will display if the integration is implemented in your environment and stay hidden if it is not implemented.

You can configure field mapping for core fields in both eComplaint and ADR, including Issues, Basis, Aggrieved Person, Date of ADR Acceptance/Reject, and more.



eComplaint Configuration Folder

Entities Configuration
462 Report Configuration
462 Report Choice List Values Mapping
General Configuration
Furlough Configuration

Case Number Format Configuration
eComplaint - ADR Configuration

Initiating Office : **OPX HQ - Opexus HQ** Folder Owner : System Account

ADR Integration

Enable ADR Integration

eComplaint - ADR Field Mapping

eComplaint Field	Data Type	ADR Field	Data Type	Actions
Issues	Custom	Issues	Custom	
Basis	Custom	Basis	Custom	
Aggrieved Person	Contact	Complainant	Contact	
Date of ADR Acceptance/Rejection by Compl.	Date	Referral Date	Date	
ADR Specialist	Lookup Dropdown	Case Manager	Lookup Dropdow	
Folder ID	Text (Single Line)	SEO Case Number	Text (Single Line)	

You can also configure email notifications in the *Email Configuration* section. There is a default *Email Template* available, or you can select your own. Then, add the *Send To* email recipients. Click **Save** when you're finished making changes.

Email Configuration

Email Template: eComplaint to ADR Email Notification

Send To: amy.sui@opexustech.com;sean.o'calla-han@opexus-tech.com

Note: To enter multiple recipients use a semi-colon as a separator with NO SPACES between email addresses.
(ex. person1@email.com;person2@email.com)

Save

