



# United States Department of the Interior

OFFICE OF THE SECRETARY  
Washington, DC 20240

JUN 03 2014

## CIVIL RIGHTS DIRECTIVE 2014-08

To: Bureau Equal Employment Opportunity Officers

From: Sharon D. Eller, Director, Office of Civil Rights

Subject: Entering Events and Uploading Documents into the DOI iComplaints System

Please find enclosed new Civil Rights Directive 2014-08, Entering Events and Uploading Documents into the DOI iComplaints System.

Distribution: Bureau EEO Officers and Complaints Managers, Office of the Secretary EEO Complaints Manager

Inquiries: Tanisha M. Edmonds, Acting Chief, Employment Complaints and Adjudication Division, Office of Civil Rights, (202) 208-4016, or Designee

Expiration: When Superseded

## **CIVIL RIGHTS DIRECTIVE NO. 2014-08**

Subject: Entering Events and Uploading Documents into the DOI iComplaints System

### **1. Purpose.**

This Directive establishes standards, provides guidance, and conveys Bureau and Office of the Secretary (OS) Equal Employment Opportunity (EEO) Office responsibilities with respect to complaints tracking, monitoring and management of complaints processing documents within the DOI iComplaints system. All bureaus must maintain new complaint files based upon the format, form, timeliness, completeness, and content requirements as set forth below.

### **2. Authorities.**

- a. 29 Code of Federal Regulations (CFR), Part 1614, Federal Sector Equal Employment Opportunity; 29 C.F.R. §1614.602(a) (Reports to the Commission)
- b. Equal Employment Opportunity Commission (EEOC) Federal Sector Report, Attaining a Model Agency Program: Efficiency, Effective Complaints Tracking and Monitoring System

### **3. Policy.**

The Office of Civil Rights (OCR), all Bureau EEO Offices, and the OS EEO Office will maintain a Complaint-Tracking System, iComplaints, to accurately capture data for the Annual Federal EEO Statistical Report of Discrimination Complaints (the 462 Report). This Complaint-Tracking System shall be an accurate, accessible, verifiable and comprehensive tracking system for managing an effective and timely complaint processing program.

Bureau EEO Officers and the OS Complaints Manager will ensure all iComplaints users within his/her Bureau EEO Office or the OS EEO Office have a user account and appropriate training. Bureau EEO Officers and the OS Complaints Manager will ensure all complaints processing documents for complaints of discrimination being processed by his/her EEO Office are uploaded and associated events are entered into the iComplaints system.

All bureaus must maintain copies of all files within iComplaints, shared drives or in hard copy for complaints that are pending before the EEOC Hearings Division, Office of Federal Operations, or the U.S. District Court. To commence the litigation hold of files, actual notice shall be required, such as a Request for a Hearing before the EEOC or a notice of filing in U.S. District Court from a complainant or a complainant's representative.

### **4. Scope.**

The policies and procedures in this document apply to OCR, all Bureau EEO Offices and the OS EEO Office.

CIVIL RIGHTS DIRECTIVE 2014-08 shall remain in force and effect until superseded.

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iComplaint**

**5. Responsibilities**

**a. Required Documents Within iComplaints.**

The Bureau EEO Officer or OS Complaints Manager must ensure that the following documents and associated events, including the Report of Investigation (ROI), are uploaded into the DOI iComplaints system for each complaint of discrimination being processed by the Bureau or OS EEO Office within 2 business days of the event or receipt of the document:

<b>DOCUMENT</b>	<b>EVENT</b>
Initial Contact	(462: Informal Start)
Initial Interview – Rights and Responsibilities issued	Initial Interview-Rights and Responsibilities
Extension of Counseling Document	Counseling 60-Day Extension (462: Extension Granted)
EEOC Remanded Complaint for Counseling	Counseled on Remand (462: Remanded)
ADR Offered	(462: ADR Offered)
ADR Accepted	(462: ADR Accepted- (Extends 60 Days)) (462: Mediation) (462: Ombudsman) (462: Other ADR Attempt) (462: Settlement Conference)
ADR Rejected	Rejected by Complainant (462: Rejected by Individual)
ADR Failed	(462: No Resolution (ADR End))
ADR Never Conducted	(462: ADR End)
Notice of Final Interview and Right to File issued	Notice of Final Interview and Right to File
Formal Discrimination Complaint	Formal Filed (462: Formal Start)
Acknowledgment Letter	Issued Acknowledgment Letter (462: Written Notification Received)
Notice of Acceptance	Notice of Acceptance (462: Claims Accepted)
Procedural Dismissal	Notice of Dismissal FAD-Dismissal (462: Claims Dismissed)
Investigator Assignment	Investigator Assignment (462: Investigator Assignment)
Investigation Start	(462: Investigation Start)
90-day Extension of Investigation	90-day Extension (462: 90-Day Extension)
Amendment Accepted during Investigation	Amendment Accepted-Inv Extended (462: Amendment)
ROI and Election Letter Issued and Proof of Receipt	ROI Issued (462: Investigation End)
Request for FAD	Complainant Request for FAD (462: Request

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	for FAD)
EEOC Hearing Request	EEOC Hearing Request (462: Hearing Requested)
AJ Ordered FAD	AJ Ordered FAD (462: AJ Ordered FAD)
EEOC Hearing Decision	Received AJ's Decision (462: AJ's Decision)
Final Order	+ AJ Decision Fully Implemented (462: AJ Decision Fully Implemented) + AJ Decision not Fully Implemented (462: AJ Decision not Fully Implemented)
Complainant Appeal Notice	Complainant Appealed Decision
Agency Appeal	+ Agency Appealed Finding not Remedy (462: Agency Appealed Finding not Remedy) + Agency Appealed Remedy not Finding (462: Agency Appealed Remedy not Finding) + Agency Appealed both Finding and Remedy (462: Agency Appealed both Finding and Remedy)
OFO Acknowledgment of Appeal	
Files submitted to OFO	Submission of case file to OFO
OFO Appeal Decision	
Complainant or Agency filed Request for Reconsideration	
Acknowledgment of Request for Reconsideration Received	
OFO Decision on Request for Reconsideration	
Civil Action	(462: Civil Action)
Corrective Actions	Monetary Non-Monetary
Settlement Agreement	
Compliance Documents	

**b. File Requirements Within iComplaints.**

*i. Size*

The file size limit has been increased to:

55 MB per file

90 MB total per complaint

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If the ROI is larger than 50 MB or causes the complaint file to exceed 90 MB, the ROI should be reduced in size using Adobe Acrobat (Tools/Document Processing/Optimize Scanned PDF/Optimization Options/Small Size). Where it is necessary to divide large ROI files into smaller files, bookmarks must be created again.

### ***ii. Format***

Documents must be in a PDF format with these features:

- (a) and word-searchable (Optical Character Recognition), and
- (b) bookmarks of key sections noted below.

### ***iii. Bookmarks***

All bookmarks must correspond to the file index and section dividers of the paper file.

EEO Counselor's Report, in the following order:

- (a) The Report;
- (b) Notice of Rights and Responsibilities;
- (c) Notice of Final Interview and Right to File a Formal Complaint;
- (d) Agreement to Extend Counseling (if any);
- (e) ADR and Pre-Complaint Processing Election (if any); and
- (f) Designation of Representative (if any).

Report of Investigation, in the following order:

Summary	Summary of investigation/summary analysis of the facts. The summary should cite to exhibits and evidence.
Case Index	The index to the file should list the contents of the file by tab and sequential page number.
Tab A	Tab A should contain the formal complaint and documents submitted by the complainant. (Individual documents under each tab should be consecutively numbered in addition to being identified as part of the tab. Example A-1, A-2, A-3, etc.).

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Tab B	Tab B should contain the EEO Counselor's report and all documents generated in the informal process. Included here should be the notice of right to file a complaint.
Tab C	Tab C should contain the agency's notice of claims to be investigated. Copies of any other documents bearing on delineation of the claims to be investigated should also be included. Documents pertaining to the partial dismissal of claim(s) should be included in this tab.
Tab D	Tab D should document attempts at informal resolution; however, documentation should not include the substance of such attempts.
Tab E	Tab E should contain any documentation of appellate activity and any decisions affecting the processing of the complaint.
Tab F	Tab F should contain the evidence and documents in a logical order, with documents further separated by numerical tabs as necessary.
Tab G	Tab G should contain any miscellaneous material.

### ***iv. Page Numbering***

All pages within EEO Counselor's Reports and ROIs must be sequentially numbered with Bates Numbering at the bottom right corner of the page using Adobe Acrobat (Tools/Pages/Bates Numbering).

### ***v. File Naming Convention***

All files must be named using the following naming convention:

Agency/Bureau, case number, complainant's last name, file content (table below), and if signed, the signatory's initials or signatory's initials and the initials of the person for whom the document has been signed.

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**Example: OS\_Case Number\_Complainant's Last Name\_File Content\_Signatory's Initials or Initials of the Person for whom the Document has been signed. (BOR-XX-XXXX\_JONES ACC LTR SIG LHC 4 SDE.PDF)**

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<i><b>NAME OF FILE/DOCUMENT</b></i>	<i><b>ABBREVIATION</b></i>
EEO Counselor's Report	COUNS RPT
Formal Complaint and Amendments	FORMAL or FORMAL AMEND
Acknowledgement Letter	ACK LTR
Clarification Letter	CLAR LTR
Acceptance/Dismissal Letter	ACC LTR
Procedural Dismissal	PROC DISMISS
RMO Notice	RMO [NAME] NOTICE LTR
Investigator Contract, Letter of Authorization	INV CON LOA
90 day extension	90 DAY EXT
ROI Election Letter and documentation of receipt	ROI ELECT LTR
Report of Investigation	ROI
Abeyance Start/End	ABEY START / ABEY END
Case Subsumed/Unsubsumed	CASE SUB / CASE UNSUB
Request for FAD by Agency or Complainant	FAD REQ AG or FAD REQ CP
Final Agency Decision	FAD
EEOC Hearing Request	EEOC HEAR REQU
Final Order	FINAL ORDER
Appeal by Agency or Complainant	APPEAL AG or APPEAL CP
OFO Acknowledgment of Appeal	OFO ACK
EFX transmission receipt of Appeal Files	EFX RECEIPT
OFO Appeal Decision	OFO DEC
Request for Reconsideration by Agency or Complainant	RFR AG or RFR CP
Acknowledgment of Request for Reconsideration	OFO ACK REQU RECONSID
Decision on Request for Reconsideration	RFR DECISION
Civil Action	CIV ACTION
Settlement Agreement	SETTLEMENT
Compliance Documents	COMPLIANCE

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<i>SIGNATURES</i>	<i>ABBREVIATION</i>
Correction (followed by file name, etc.)	CORR
Signed by	SIG [first/middle/last initials]
Signed by on behalf of	SIG [first/middle/last initials] 4 [first/middle/last initials]

Bureau abbreviations

BIA	Bureau of Indian Affairs
BIE	Bureau of Indian Education
BLM	Bureau of Land Management
BOEM	Bureau of Ocean Energy Management
BOR	Bureau of Reclamation
BSEE	Bureau of Safety and Environmental Enforcement
NPS	National Park Service
OS	Office of the Secretary
OSM	Office of Surface Mining, Reclamation and Enforcement
FWS	U.S. Fish and Wildlife Service
USGS	U.S. Geological Survey

**c. Duplicate File Copies**

All bureaus must maintain duplicate copies of all files uploaded to iComplaints within a shared folder on a shared drive, in the event the iComplaints system isn't available.

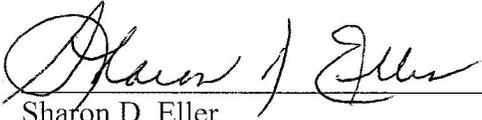
**d. Compact Disc**

Pursuant to CRD 2014-06, a compact disk (CDR-W) containing a digital copy of the complaint file and a word-searchable, bookmarked ROI, when a hearing on FAD is requested.

**e. Flash and Laptop Drives**

To help ensure the security of complaint data in the event of loss or theft, a user's flash drive or a laptop hard drive shall be used only as a *short-term transfer device*. Only iComplaints or the user's folder on the network drive shall be used for *long-term storage device* of complaint data. Therefore, after completing the transfer of complaint data using a flash or laptop hard drive, the user shall immediately delete the complaint data from those storage devices.

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