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# Improving the Timeliness of Equal Employment Opportunity Complaint Processing in Department of Defense Appendixes

Miriam Matthews, Nelson Lim

Prepared for the Office of Diversity Management and Equal Opportunity

Approved for public release; distribution unlimited

For more information on this publication, visit [www.rand.org/t/rr680](http://www.rand.org/t/rr680)

Library of Congress Cataloging-in-Publication Data

ISBN: 978-0-8330-8803-1

Published by the RAND Corporation, Santa Monica, Calif.

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## Equal Employment Opportunity Complaint Process Data Submission: Awards

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of complainant's award-recommending and -approving official(s). Show the organizational relationships between the complainant and the others.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Complainant's previous protected activity. (Include if reprisal is identified as a basis.)

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide date(s) of protected activity and, if protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

3. Data on awards (performance and other awards) given to employees within complainant's organization segment for the most recent performance-rating year and during the prior two performance-rating years. Specifically provide:

- Name and position (title, pay plan, series and grade) and protected group(s) of all employees in the complainant's organization segment during the three-year period
- For each employee listed, indicate whether or not he/she received an award during this three-year period.
- If an award was received, provide the date, type and amount of award.
- For each performance award received, provide the corresponding overall performance rating received, date of rating and rating period.
- Name, position (title, pay plan, series and grade) and protected group(s) of rating and reviewing official(s).
- Name, position (title, pay plan, series and grade) and protected group(s) of the award recommending and approving official(s), if different from the rating and reviewing official(s).
- Indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Complainant's position description or statement of duties in effect at the time of the receipt (or nonreceipt) of the award at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. If award at issue is a performance award, provide a copy of the complainant's corresponding performance rating and performance plan(s) on which the rating is based.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. If award at issue is a performance award, provide documentation of performance discussions held with complainant, or other performance feedback provided, during the rating period.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Pertinent agency and local guidelines concerning the performance management program (including awards) in effect at the time of the complainant's receipt (or nonreceipt) of the award at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Provide the name of, and contact information (commercial work phone number and email address) for, the Human Resources (HR) specialist, if any, who handled the action at issue or who can provide information about the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Email addresses for the complainant and the award recommending and approving officials.

← Initial here if you have included this information.

If you have not included this information, explain why:



**Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

---

Name of EEO Specialist or EEO Manager

---

Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Change to Lower Grade

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit before and after the action at issue, and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action(s) at issue (should include complainant's organization segment before and after the action at issue). Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g., EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g., in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Data on CLG actions within the organization(s) subordinate to the agency official(s) effecting the CLG at issue for the prior 2-year period. Specifically provide:

- Employee's name and protected group(s) (as related to this complaint).
- Employee's position (title, pay plan, series, grade, and organization segment) before and after the CLG.
- Effective date of, and reason for, the CLG.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) authorizing the action.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Position descriptions for positions held by complainant before and after the CLG at issue.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

6. Notice of proposed CLG and supporting documentation. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person recommending complainant's CLG.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

7. Complainant's written reply to the proposed CLG. If an oral reply was made, provide any memoranda documenting the oral reply.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

8. Decision notice effecting the CLG. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person making final decision on complainant's CLG.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Request for Personnel Action, SF 52 (both sides), requesting the CLG at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Notification of Personnel Action, SF 50, effecting the CLG at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Medical documentation, if CLG at issue resulted from complainant's medical disqualification.

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Name and protected group(s) (as related to this complaint) of employee replacing complainant, and date of placement, if complainant's former position was subsequently filled.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Pertinent agency and local guidelines in effect at the time of the CLG at issue. Could include discipline, performance, medical, reduction in force, etc. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

15. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

16. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action(s) at issue or who can provide information about the action(s).

← Initial here if you have included this information.

*If you have not included this information, explain why:*



### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

---

Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Classification

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

**Required Information and Documentation**

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Data on employment within the organization(s) subordinate to the agency official(s) involved in the action(s) at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc., of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

## 3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g., EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g., in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

## 4. Data on position audits conducted within the organization subordinate to the agency official(s) involved in the action(s) at issue for the prior two-year period. Specifically provide:

- Title, pay plan, series, and grade of position audited and name and protected group(s) (as related to this complaint) of employee assigned to the position at the time of the audit.
- Date of the position audit.
- Results of the position audit.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) who requested the position audit.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Data on classification actions that resulted in a personnel action within the organization(s) subordinate to the agency official(s) involved in the action(s) at issue for the prior 2-year period. Specifically provide:

- Name and protected group(s) (as related to this complaint) of the employees and the position held (title, pay plan, series, and grade) before and after the action.
- Nature of action and effective date of the personnel action.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) authorizing the action.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Position description for the position at issue before and after review and any draft position description(s) written to accompany a request for position audit.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Documentation of any notice to complainant of the results of the position audit.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Request for Personnel Action, SF 52 (both sides), requesting audit/review of the position at issue, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Notification of Personnel Action, SF 50, effecting personnel action resulting from audit/review of position at issue, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Pertinent agency and local guidelines concerning position review/audit in effect at the time of the action(s) at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action(s) at issue or who can provide information about the action(s).

← Initial here if you have included this information.

If you have not included this information, explain why:

**Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

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---

Name of EEO Specialist or EEO Manager

---

Signature

---

Date



## Equal Employment Opportunity Complaint Process Data Submission: Constructive Discharge

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action(s) at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc. Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Complainant's position description at time of alleged action.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Include appropriate data and documents for the specific action(s) at issue. (See separate data submission checklist for each specific issue accepted.)

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Request for Personnel Action, SF 52 (both sides), requesting resignation or retirement.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Notification of Personnel Action, SF 50, effecting resignation or retirement.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. If complainant's position was subsequently filled, name and protected group(s) (as related to this complaint) of employee replacing complainant and date of placement.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action(s) at issue or who can provide information about the action(s).

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

---

Name of EEO Specialist or EEO Manager

---

Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Denial of Detail Reassignment

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit, for the work unit(s) of the agency official(s) involved in the action at issue, and for the work unit to which complainant requested detail or reassignment. Show organizational relationships between complainant and the others.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action(s) at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

3. If not included in item 2 above, provide same data on employment for the organization segment to which complainant requested detail or reassignment.

← Initial here if you have included this information.

If you have not included this information, explain why:



4. Complainant's previous protected activity, if reprisal is alleged.

- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Data on requests for detail or reassignment made within the organization(s) subordinate to the agency official(s) involved in the action at issue for the prior 2-year period. Specifically provide:

- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of employees who requested a detail or reassignment.
- Date of the request, action taken on the request, and date of approval or denial of the request.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) involved.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Complainant's position description at the time of the request for detail or reassignment and the position description to which he/she requested to be detailed or reassigned.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Complainant's request for detail or reassignment, if submitted in writing.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Management's denial of request, if made in writing, with any supporting documentation. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person making final decision to deny request.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Pertinent agency and local guidelines concerning detail or reassignment in effect at the time complainant's request was denied. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Denial of Request for Training

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

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## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action at issue. Show organizational relationships between complainant and the others.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Data on employment within the organization(s) subordinate to the agency official(s) involved in the action at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Data on training requests made within the organization(s) subordinate to the agency official(s) involved in the action at issue for the prior 2-year period. Specifically provide:

- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of each employee requesting training.
- Date training was requested.
- Title and date(s) of training requested.
- Action taken on request (denial or approval) and date of action.
- Reason for denial or approval.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of agency official(s) who approved or denied the training request.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Complainant's position description at the time of the request for training.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Complainant's request for training, if submitted in writing.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Management's denial of request, if made in writing, with all supporting documentation. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person making final decision to deny request.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Written description of course/training denied, if available.

← Initial here if you have included this information.

If you have not included this information, explain why:



9. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Pertinent regulatory provisions, if the training at issue is mandatory. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

---

Name of EEO Specialist or EEO Manager

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Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Detail Reassignment by Management

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit, before and after action at issue, and for the work unit(s) of the agency official(s) taking the action. Show organizational relationships between complainant and the others.

☐

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

☐

← Initial here if you have included this information.

If you have not included this information, explain why:

3. If not included in item 2 above, provide same data on employment for complainant's organization segment before or after action at issue.

☐

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Data on management-directed details or reassignments within the organization(s) subordinate to the agency official(s) taking the action at issue for the prior 2-year period. Specifically provide:

- Name and protected group(s) (as related to this complaint) of employees detailed or reassigned involuntarily.
- Employee's position (title, pay plan, series, grade, and organization segment), or statement of duties and organization assignment, before and after the action.
- Nature of action and effective date of the action.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) taking the action.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Complainant's position description or statement of duties before and after the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Documentation, if any, concerning the action at issue, to include the advance notice, complainant's response, final decision letter, etc.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Request for Personnel Action, SF 52 (both sides), requesting the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Notification of Personnel Action, SF 50, effecting the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

11. Pertinent agency and local guidelines concerning detail or reassignment in effect at the time of the action at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

12. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

13. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action at issue or who can provide information about the action.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.



*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Disability

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Complainant's assigned position description.

← Initial here if you have included this information.

If you have not included this information, explain why:

3. Complainant's performance plan that was in effect during the period at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Medical documentation concerning complainant's physical or mental impairment.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Medical documentation concerning accommodation complainant requested; and complainant's request for accommodation, if in writing.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Documentation concerning non-duty or light-duty status, including position description(s) or statement(s) of duties, or other accommodation provided to complainant.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Documentation concerning offer(s) of reassignment.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. If complainant cannot be reasonably accommodated in the position to which assigned, documentation showing Activity vacancies at or below complainant's current grade level for the period from the date complainant first requested accommodation until present. Annotate the list to show whether complainant meets the requisite qualifications and medical requirements of the position. For vacancies where complainant met the qualification and medical requirements and the position was filled, provide the name and impairment/handicap code of the person placed, and the nature of action and effective date of the placement.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Survey or rough map of complainant's work area, if workspace accommodation is at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Pertinent agency and local guidelines concerning accommodation of disabled employees in effect at the time of the action(s) at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Appropriate data and documents for specific action(s) at issue. (See separate data submission checklists for covered actions.)

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Disciplinary Actions

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

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## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) taking the action at issue. Show organizational relationships between complainant and the others.

A small rectangular box with a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for an explanation.


2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

A small rectangular box with a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for an explanation.

3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue(s) and basis(es); Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Data on disciplinary and adverse actions within the organization(s) subordinate to the agency official(s) taking the action at issue for the prior 2-year period. Specifically provide:

- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of each employee who had a disciplinary or adverse action taken against them.
- Employee's offense, the penalty imposed, and the date of the action.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the proposing and deciding official(s).
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Complainant's position description at the time of the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Complainant's performance plan and performance evaluations in effect at the time of the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Notice of proposed action, if applicable, and/or supporting documentation. Annotate:

- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person proposing the action.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of all witnesses to each event that contributed to the disciplinary or adverse action.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. If applicable, complainant's written reply to proposed action; or if an oral reply was made, provide any memoranda documenting the oral reply.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Decision notice effecting the action. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person making final decision to take the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Request for Personnel Action, SF 52 (both sides), requesting the action at issue, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Notification of Personnel Action, SF 50 (one or more, e.g., suspension and return to duty SF 50s), effecting the action at issue, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Pertinent agency and local guidelines concerning disciplinary and adverse actions in effect at the time of the action at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

15. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action(s) at issue or who can provide information about the action(s).

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

---

Name of EEO Specialist or EEO Manager

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Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Harassment

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.



**Required Information and Documentation**

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

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← Initial here if you have included this information.

If you have not included this information, explain why:

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2. Data on employment within the organization(s) subordinate to the agency official(s) involved in the action(s) at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity

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← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

## 3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue(s) and basis(es); current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

## 4. Copy of Activity's policy statement on Equal Employment Opportunity (EEO) and harassment in effect at the time of the alleged harassment.

← Initial here if you have included this information.

If you have not included this information, explain why:

## 5. Information on EEO/harassment training (identify method of training, dates of training, and list of attendees and certificates of training, if provided) required of employees, supervisors, and managers in complainant's organization segment for the 2-year period prior to the incidents at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Publications, e.g., newsletter articles, bulletin board items, etc., issued by the Activity on EEO/harassment for the 2-year period prior to the incidents at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Documentation, if any, showing whether the supervisor or any management official was made aware of the alleged incidents of harassment.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Documentation of any management inquiry or investigation conducted based on the allegations.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Documentation, if any, of corrective action(s) taken subsequent to management's knowledge of alleged incidents.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) involved in the incidents of alleged harassment.

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Appropriate data and documents for specific action(s) at issue. (See separate data submission checklists for covered actions.)

← Initial here if you have included this information.

If you have not included this information, explain why:

**Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

---

Name of EEO Specialist or EEO Manager

---

Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Nonreferral

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

**Required Information and Documentation**

1. Organization chart(s) for the work unit(s) where the position(s) at issue is/are located and for the work unit(s) of the agency official(s) involved in the selection(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Data on employment within the organization segment(s) where the position(s) at issue is/are located, as of the date of the selection(s) at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

## 3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue(s) and basis(es); Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

## 4. Position description(s) for the position(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

## 5. Request for Personnel Action, SF 52 (both sides), requesting recruitment for the position(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:



6. Merit promotion or vacancy announcement(s) for the position(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Listing of all applicants, annotated to reflect protected group(s) (as related to this complaint).

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Rating sheets documenting eligibility for each applicant.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Documentation identifying personnel specialist(s) who developed the referral list for the position(s) at issue. Provide specialist's position (title, pay plan, series, and grade) and protected group(s) (as related to this complaint).

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Documentation identifying rating panel members, if applicable. Identify panel member's position (title, pay plan, series, and grade) and protected group(s) (as related to this complaint).

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Crediting plan used to evaluate candidates for the contested position(s), if complainant is qualified but not referred. (Crediting plans will not be included in the final ROI but will be returned to the Activity for retention.)

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Documentation of complainant's notification of nonreferral.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Referral and selection instrument(s) for the position(s) at issue, annotated to reflect candidates' protected group(s) (as related to this complaint).

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Applications or career briefs and all other documents submitted for the position(s) at issue by complainant and the referred candidates. (If more than 10 candidates were referred, submit these documents for complainant and the selectees; others may be reviewed by the investigator on site.)

← Initial here if you have included this information.

If you have not included this information, explain why:

15. Notification of Personnel Action, SF 50, effecting the selection(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

16. Certification of whether the position(s) and/or the protected group(s) at issue was/were targeted for affirmative action under an approved affirmative action plan in effect at the time.

← Initial here if you have included this information.

If you have not included this information, explain why:

17. Pertinent agency and local guidelines concerning merit promotion in effect at the time of the selection(s) at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

18. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

19. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action at issue or who can provide information about the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Nonselection or Nonpromotion

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for the work unit(s) where the position(s) at issue is/are located and for the work unit(s) of the agency official(s) involved in the action(s) at issue.

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← Initial here if you have included this information.

If you have not included this information, explain why:

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2. Data on employment within the organization segment(s) where the position(s) at issue is/are located, as of the date of the action(s) at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.



3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Data on selections (competitive) made within the organization(s) subordinate to the agency official(s) making the selection(s) at issue for the prior 2-year period. Specifically provide:

- Name and protected group(s) (as related to this complaint) of selectee(s).
- Position (title, pay plan, series, and grade) for which selected and date of selection.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the selecting and approving official(s).
- If reprisal is alleged, indicate which selectees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Data on promotions (noncompetitive) made within the organization(s) subordinate to the agency official(s) involved in the nonpromotion at issue for the prior 2-year period. Specifically provide:

- Name and protected group(s) (as related to this complaint) of the employee(s) promoted, position held (title, pay plan, series, and grade) before and after promotion.
- Nature of, or authority for, the noncompetitive promotion and the effective date.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) effecting the promotion.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Position description(s) for the position(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Request for Personnel Action, SF 52 (both sides), requesting recruitment for the position(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Merit promotion or vacancy announcement(s) for the position(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Crediting plan used to evaluate candidates for the contested position(s). (Crediting plans will not be included in the final ROI but will be returned to the Activity for retention.)

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Referral and selection instrument(s) for the position(s) at issue, annotated to reflect candidates' protected group(s) (as related to this complaint). The certificate should clearly identify the selectee(s) and the selecting and approving official(s).

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Applications or career briefs and all other documents submitted for the position(s) at issue by complainant and the selectee(s).

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Documentation identifying selecting or recommending panel members, and providing panel instructions, if applicable. Identify panel member's position (title, pay plan, series, and grade) and protected group(s) (as related to this complaint).

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Evaluation criteria and interview questions used by the panel, selecting official(s), and/or approving official(s). Include notes, score sheets, and matrices.

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Notification of Personnel Action, SF 50, effecting the selection(s) at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

15. Documentation of complainant's notification of nonselection.

← Initial here if you have included this information.

If you have not included this information, explain why:

16. Certification of whether the position(s) and/or the protected group(s) at issue was/were targeted for affirmative action under an approved affirmative action plan in effect at the time.

← Initial here if you have included this information.

If you have not included this information, explain why:

17. Pertinent agency and local guidelines concerning merit promotion in effect at the time of the selection(s) at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

18. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

19. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action at issue or who can provide information about the action.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Performance-Based Adverse Actions

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.



## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.


2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action(s) at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Data on performance-based adverse actions within the organization(s) subordinate to the agency official(s) effecting the action at issue for prior 2-year period. Specifically provide:

- Name, position (title, pay plan, series, and grade), protected group(s) (as related to this complaint) of each employee who had a performance-based action taken against them.
- Action taken (e.g., demotion, reassignment, removal) and date of the action.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the proposing and deciding official(s) involved in the action.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Complainant's position description at the time of the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Complainant's performance rating and related performance plan.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Notice of opportunity to improve performance (performance improvement plan).

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Documentation of negative level of competence determination(s), if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

9. Notice of proposed action and supporting documentation. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person recommending the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Complainant's written reply to the proposed action. If an oral reply was made, provide any memoranda documenting the oral reply.

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Decision notice effecting the action. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person making final decision on the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Request for Personnel Action, SF 52 (both sides), requesting the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Notification of Personnel Action, SF 50, effecting the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

15. If complainant was removed from his/her position and the position was subsequently filled, name and protected group(s) (as related to this complaint) of employee replacing complainant and date of placement.

← Initial here if you have included this information.

If you have not included this information, explain why:

16. Pertinent agency and local guidelines regarding the performance management program that were in effect at the time of the action at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

17. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

18. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action(s) at issue or who can provide information about the action(s).

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Performance Rating

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.



## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of complainant's performance rating and reviewing officials.

A small rectangular box with a light gray background, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

2. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

A small rectangular box with a light gray background, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

3. Data on performance ratings within complainant's organization segment for the rating year at issue and for the prior two years. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization at the time.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- Rating received, date of rating, and rating period.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of rating and reviewing official(s).
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Complainant's position description or statement of duties covered by the rating at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Performance rating at issue and performance plan(s) on which it is based.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Documentation of performance discussions held with complainant, or other performance feedback provided, during the rating period.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

7. Pertinent agency and local guidelines concerning the performance management program in effect at the time of the rating at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

8. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Reduction in Force

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit, before and after the reduction-in-force (RIF) at issue.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

2. Data on employment within the organization segment where complainant was assigned before and after the RIF. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

3. Complainant's previous protected activity, if reprisal is alleged.

- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Complainant's position description before and after the RIF.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Documentation of RIF request and approval detailing reasons for the action, positions affected, and objective to be achieved.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Data on positions abolished in the RIF. Specifically provide:

- Position title, pay plan, series, grade, and organization segment.
- If encumbered, name and protected group(s) (as related to this complaint) of encumbent.
- Name, position (title, pay plan, series, and grade), organization segment, and protected group(s) (as related to this complaint) of the agency official(s) who made the decision to abolish the position.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Retention Register for complainant's competitive level, annotated with employees' protected group(s) (as related to this complaint). (Entire retention register should be made available to the investigator on site.)

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Complainant's resume, qualifications statement, or career brief used to determine qualifications for placement.

← Initial here if you have included this information.

If you have not included this information, explain why:



9. Worksheet showing positions for which complainant was determined qualified.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Worksheet showing positions for which complainant was considered for placement in the RIF.

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Complainant's RIF notice.

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Notification of Personnel Action, SF 50, effecting complainant's final RIF action.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Reports, to include EEO statistical report, showing final RIF results.

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

15. Pertinent agency and local guidelines concerning RIF in effect at the time of the action at issue.  
(When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

16. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

17. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who managed the RIF or who can provide information about it.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

---

Signature

---

Date

## Equal Employment Opportunity Complaint Process Data Submission: Security Clearances Denial and Revocation

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

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## Required Information and Documentation

1. Position description and vacancy announcement for the position at issue showing the requirement for a security clearance.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. List of employees in the complainant's organization segment occupying the position at issue at any time during the two-year period prior to the action at issue. Provide the name and protected group(s) of all such employees and indicate whether each of these employees had the required security clearance.

← Initial here if you have included this information.

If you have not included this information, explain why:

3. Complainant's performance plan and performance evaluations in effect at the time of the action at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Identify the agency official(s) who initiated the security-clearance check that resulted in the denial (or revocation) of the complainant's security clearance. Provide the name, position (title, pay plan, series and grade) and protected group(s) of this agency official(s).

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Documentation of the initiation of the complainant's security-clearance check.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Notice given to the complainant of the suspension of his access to classified information, unescorted entry to restricted areas, and unclassified LAN access, with supporting documentation. Annotate:

- Name, position (title, pay plan, series and grade) and protected group(s) of the management official who issued the notice.
- Name, position (title, pay plan, series and grade) and protected group(s) of all witnesses to each event that contributed to the suspension of access.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Documentation of the complainant's security-clearance determination (e.g. denial or revocation).

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Documentation related to the suspension of complainant's access to classified information, unescorted entry to restricted areas, and unclassified LAN access. Specifically provide:

- Supporting documentation for the action. Annotate name, position (title, pay plan, series, and grade), organization segment and protected group(s) of all witnesses to each event that contributed to the decision to suspend complainant's access.
- Complainant's written rebuttal to the decision to suspend his access.
- Written response by management to complainant's rebuttal.

← Initial here if you have included this information.

If you have not included this information, explain why:



9. Data on other employees subordinate to the agency official(s) who suspended the complainant's access to classified information who, during the two-year period prior to suspension of complainant's access, had their access to classified information, unescorted entry to restricted areas, and unclassified Local Area Network (LAN) access suspended. Specifically provide:

- Name, position (title, pay plan, series and grade) and protected group(s) of employees whose access was suspended.
- Date and reason employee's access was suspended.
- Date and reason access was reinstated, if applicable.
- Name, position (title, pay plan, series and grade) and protected group(s) of the agency official(s) involved in the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. Pertinent agency and local guidelines in effect at the time of the action at issue concerning the suspension of an employee's access to classified information, unescorted entry to restricted areas, and unclassified LAN access. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Name of, and contact information (commercial work phone number and email address) for, the Security Specialist who handled the action at issue or who can provide information about the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Name of, and contact information (commercial work phone number and email address) for, the Human Resources (HR) Specialist who handled the adverse employment action based on the denial or revocation of the clearance at issue or who can provide information about the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Appropriate data and documents for specific action(s) at issue. (See separate data submission checklists for covered actions.) Include basic documents showing evidence of fundamental due process for the action at issue (e.g. removal, detail, reassignment, change to lower grade, other adverse employment action resulting from the denial or revocation of security clearance). These basic documents include the notice and decision letters, the Request for Personnel Action and the Notification of Personnel Action. Also provide pertinent agency and local guidelines in effect at the time showing whether the adverse employment action taken was discretionary on the part of the agency following the denial or revocation of a security clearance.

← Initial here if you have included this information.

If you have not included this information, explain why:

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Sexual Harassment

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

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## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

← Initial here if you have included this information.

If you have not included this information, explain why:

2. Copy of Activity's policy statement on prevention of sexual harassment in effect at the time of the alleged harassment.

← Initial here if you have included this information.

If you have not included this information, explain why:

3. Information on sexual harassment prevention training (identify method of training, dates of training, and list of attendees and certificates of training, if provided) required of employees, supervisors, and managers in complainant's organization segment for the 2-year period prior to the incidents at issue.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Publications, e.g., newsletter articles, bulletin board items, etc., issued by the Activity on prevention of sexual harassment for the 2-year period prior to the incidents at issue.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

5. Documentation, if any, showing whether the supervisor or any management official was made aware of the alleged incidents of sexual harassment.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

6. Documentation of any management inquiry or investigation conducted based on the allegations.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

7. Documentation, if any, of corrective action(s) taken subsequent to management's knowledge of alleged incidents.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

8. Appropriate data and documents for specific action(s) at issue. (See separate data submission checklists for covered actions.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

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Name of EEO Specialist or EEO Manager

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Signature

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Date



## Equal Employment Opportunity Complaint Process Data Submission: Termination During Probationary Period

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

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## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action at issue. Show organizational relationships between complainant and the others.



← Initial here if you have included this information.

If you have not included this information, explain why:



2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) of all employees and supervisors.
- Indicate which employees had prior EEO activity.



← Initial here if you have included this information.

If you have not included this information, explain why:



3. Complainant's previous protected activity (if reprisal is identified as a basis).

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide:
  - o Claim(s), i.e., issue[s] and basis[es]
  - o Current status, e.g. in process, settled, withdrawn, etc.
  - o Decision(s) issued
  - o Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. List of probationary employees within the organization(s) subordinate to the agency official(s) taking the action at issue during the two-year period prior to the complainant's termination action. Specifically provide:

- Name, position (title, pay plan, series, and grade) and protected group(s) of each probationary employee.
- Indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Data on actions effecting the terminations of probationary employees within the organization(s) subordinate to the agency official(s) taking the action at issue during the two-year period prior to the complainant's termination action. Specifically provide:

- Name, position (title, pay plan, series, and grade) and protected group(s) of each probationary employee whose appointment was terminated.
- Date of appointment.
- Date of termination.
- Reason for termination (e.g. performance, conduct, denial or revocation of security clearance).
- Name, position (title, pay plan, series and grade), and protected group(s) of the agency official(s) taking the action.
- Indicate which employees had prior EEO activity.

☐

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Notification of Personnel Action, SF 50, effecting complainant's appointment (and identifying the probationary period).

☐

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Position description for the position from which complainant was terminated.

☐

← Initial here if you have included this information.

If you have not included this information, explain why:

8. If termination is related to performance, complainant's performance standards, performance rating of record, and any documents related to counseling sessions and performance feedback, if the termination is related to performance.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

9. If termination is related to performance, data on training requests made by the complainant during the probationary period. Specifically provide:

- Title and date(s) of training requested.
- Date training was requested.
- Action taken on request (denial or approval) and date of action.
- Reason for denial or approval.
- Name, position (title, pay plan, series, and grade), and protected group(s) of agency official(s) who approved or denied the training request.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

10. If termination is related to performance, data on training requests made by other probationary employees during the two-year period prior to the date of the termination of the complainant's employment. Specifically provide:

- Name, position (title, pay plan, series, and grade), and protected group(s) of each probationary employee requesting training.
- Date training was requested.
- Title and date(s) of training requested.
- Action taken on request (denial or approval) and date of action.
- Reason for denial or approval.
- Name, position (title, pay plan, series, and grade), and protected group(s) of agency official(s) who approved or denied the training request.
- Indicate which employees had prior EEO activity.

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← Initial here if you have included this information.

If you have not included this information, explain why:

11. If termination is related to performance, data on complainant's training during the probationary period. Specifically provide:

- List of training received by the complainant.
- Type of training (e.g. formal, informal, on-the job).
- Date(s) of training.
- Indicate whether or not the complainant successfully completed the training and, if successfully completed, provide copy(ies) of complainant's training certificate(s).
- If complainant did not successfully complete the training, provide the reason.
- Name, position (title, pay plan, series and grade) and protected group(s) of the agency official(s) who approved the training.

☐

← Initial here if you have included this information.

If you have not included this information, explain why:

12. If termination is related to performance, data on training received by other probationary employees within the complainant's organization segment during the two-year period prior to the termination of the complainant's employment. Specifically provide:

- List of training received by the probationary employee.
- Type of training (e.g. formal, informal, on-the job).
- Date(s) of training.
- Indicate whether or not the probationary employee successfully completed the training and, if successfully completed, provide copy(ies) of the training certificate(s).
- If the probationary employee did not successfully complete the training, provide the reason.
- Name, position (title, pay plan, series and grade) and protected group(s) of the agency official(s) who approved the training.
- Indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. If termination is related to conduct, documents pertaining to counseling sessions conducted with the complainant related to conduct.

← Initial here if you have included this information.

If you have not included this information, explain why:

14. If termination is related to denial or revocation of security clearance, provide documentation showing that a security clearance is required for the complainant's position.

← Initial here if you have included this information.

If you have not included this information, explain why:

15. Decision notice effecting the complainant's termination during probationary period. Annotate name, position (title, pay plan, series, and grade), and protected group(s) of the management official(s) making final decision to terminate complainant's appointment.

← Initial here if you have included this information.

If you have not included this information, explain why:

16. Provide the name, position (title, pay plan, series and grade) and protected group(s) of all witnesses to each event that contributed to the termination.

← Initial here if you have included this information.

If you have not included this information, explain why:

17. Request for Personnel Action, SF 52 (both sides), requesting termination of complainant's appointment.

← Initial here if you have included this information.

If you have not included this information, explain why:



18. Notification of Personnel Action, SF 50, effecting the termination of complainant's appointment.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

19. If complainant's position was subsequently filled, provide the name and protected group(s) of the selectee and date of appointment.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

20. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

21. Pertinent agency and local guidelines concerning termination of probationary employees in effect at the time of the action at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

22. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

23. Name of, and contact information (commercial work phone number and email address) for, the Human Resources (HR) specialist who handled the action at issue or who can provide information about the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

24. Email addresses for the complainant, the management official(s) making the final decision to terminate complainant's appointment, and all witnesses to each event that contributed to the termination.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Termination of Temporary/Term Employment

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action at issue. Show organizational relationships between complainant and the others.



← Initial here if you have included this information.

If you have not included this information, explain why:



2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action at issue. Specifically provide:

- Names and positions (title, pay plan, series, and grade) of all employees and supervisors in the organization(s) at the time. If different, identify each person's organization segment.
- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.
- Complainant's previous protected activity, if reprisal is alleged.



← Initial here if you have included this information.

If you have not included this information, explain why:



3. Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc. Provide date(s) of protected activity.

- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue(s) and basis(es); Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Data on termination actions within the organization(s) subordinate to the agency official(s) taking the action at issue for the prior 2-year period. Specifically provide:

- Name, position (title, pay plan, series, and grade), type of appointment, date of appointment, and protected group(s) (as related to this complaint) of employees whose appointment was terminated.
- Date of, and reason for, termination.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) taking the action.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Vacancy announcement and any other documentation citing conditions of employment for complainant's position/appointment.

← Initial here if you have included this information.

If you have not included this information, explain why:

6. Notification of Personnel Action, SF 50, effecting complainant's appointment.

← Initial here if you have included this information.

If you have not included this information, explain why:

7. Position description for the position from which complainant was terminated.

← Initial here if you have included this information.

If you have not included this information, explain why:

8. Complainant's performance standards, performance rating of record, and any documents related to counseling sessions and performance feedback, if the termination is related to performance.

← Initial here if you have included this information.

If you have not included this information, explain why:



9. Notice of proposed action, if applicable, and/or supporting documentation. Annotate:

- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person proposing the action.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of all witnesses to each event that contributed to the termination.

← Initial here if you have included this information.

If you have not included this information, explain why:

10. If applicable, complainant's written reply to proposed action; or if an oral reply was made, provide any memoranda documenting the oral reply.

← Initial here if you have included this information.

If you have not included this information, explain why:

11. Decision notice effecting the action. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of person making final decision to terminate complainant's appointment.

← Initial here if you have included this information.

If you have not included this information, explain why:

12. Request for Personnel Action, SF 52 (both sides), requesting termination of complainant's appointment.

← Initial here if you have included this information.

If you have not included this information, explain why:

13. Notification of Personnel Action, SF 50, effecting the termination of complainant's appointment.

← Initial here if you have included this information.

If you have not included this information, explain why:

14. Name and protected group(s) (as related to this complaint) of the selectee and date of appointment, if complainant's position was subsequently filled.

← Initial here if you have included this information.

If you have not included this information, explain why:

15. Grievance or appeal correspondence, if applicable.

← Initial here if you have included this information.

If you have not included this information, explain why:

16. Pertinent agency and local guidelines concerning termination of temporary or term appointments in effect at the time of the action at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

17. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

If you have not included this information, explain why:

18. Name of, and contact information (commercial work phone number and email address) for, the personnel specialist who handled the action at issue or who can provide information about the action.

← Initial here if you have included this information.

If you have not included this information, explain why:

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

*Please review this list. Initials should be included next to each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to IRD should print their name, sign, and date the form below. Submit this checklist to the EEO Specialist or EEO Manager, who will then sign and date it.*

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Name of EEO Specialist or EEO Manager

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Signature

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Date

## Equal Employment Opportunity Complaint Process Data Submission: Time and Attendance

The following list is intended to facilitate timely and thorough investigations of formal EEO complaints. Please carefully review this list. Initials should be included in the shaded box for each listed document that is being submitted. A brief explanation, without initials, should be provided for each listed document that is not being submitted. The EEO specialist, manager, or officer who is responsible for submitting this list to the Investigations and Resolutions Directorate (IRD) should print their name, sign, and date the form on the last page. For some claims, more than one list should be used, such that all available lists that are applicable to the issues or bases of a case should be completed and submitted. IRD will not accept the case file without the necessary checklist(s).

Documents are to be printed on one side of 8½" x 11" paper, and must be legible. If any of the required information/documentation is not available, substitutions may be made after coordination with IRD. If a document is especially voluminous, provide an extract of the pertinent portions of the document and include instructions regarding where the complete document can be reviewed.

You are encouraged to sanitize all personal identifiers not necessary to a review of the merits of the complaint from the documents you provide. Sanitized information would generally include social security numbers, home addresses, and home telephone numbers. If you sanitize any information beyond social security numbers, home addresses, and home telephone numbers, please advise IRD of the type of additional information that was sanitized and identify the specific documents sanitized. Please do not sanitize any names from the records you provide to IRD. Furthermore, please do not sanitize any EEO protected-group information (e.g., race, sex, age) from the records you provide. This information is necessary for the purpose of addressing the merits of the complaint filed. IRD has the responsibility for determining the relevance of documents. If you have any questions regarding the submission of documents or the sanitizing of documents, please call IRD Intake Services at (916) 498-5332 to discuss.

## Required Information and Documentation

1. Organization chart(s) for complainant's work unit and for the work unit(s) of the agency official(s) involved in the action(s) at issue. Show organizational relationships between complainant and the others.

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← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

2. Data on employment within the organization(s) subordinate to the agency official(s) taking the action(s) at issue. Specifically provide:

- Protected group(s) relative to the basis(es) of the complaint, e.g., race, sex, age (if age is alleged, provide date of birth), disability (if disability is alleged, provide impairment/handicap code), etc. of all employees and supervisors.
- If reprisal is alleged, indicate which employees had prior EEO activity.

A small rectangular box with a light gray background and a black border, intended for initials.

← Initial here if you have included this information.

If you have not included this information, explain why:

A large rectangular box with a black border, intended for a written explanation.

3. Complainant's previous protected activity, if reprisal is alleged.

- Identify the type of protected activity in which complainant participated, e.g. EEO complaint, grievance with EEO basis, representation, etc.
- Provide date(s) of protected activity.
- If protected activity did not involve filing an EEO complaint, identify the matters opposed as discrimination.
- If a previous EEO complaint was filed, specifically provide: Claim(s), i.e., issue[s] and basis[es]; Current status, e.g. in process, settled, withdrawn, etc.; Decision(s) issued.
- Provide the name and position (title, pay plan, series, and grade) of the agency official(s) involved.

← Initial here if you have included this information.

If you have not included this information, explain why:

4. Data on similar actions within the organization(s) subordinate to the agency official(s) taking the action(s) at issue for the prior 2-year period. Specifically provide:

- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of affected employees.
- Type of action, date of the action, and reason for the action.
- Name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of the agency official(s) involved in the action.
- If reprisal is alleged, indicate which employees had prior EEO activity.

← Initial here if you have included this information.

If you have not included this information, explain why:

5. Time and attendance or leave records for the period in question for all employees in the organization(s) subordinate to the agency official(s) taking the action(s) at issue.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

6. Complainant's leave request(s) and/or other written record of action(s) at issue. Annotate name, position (title, pay plan, series, and grade), and protected group(s) (as related to this complaint) of agency official(s) taking action(s) at issue.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

7. Documentation of any counseling provided to complainant concerning leave.

← Initial here if you have included this information.

*If you have not included this information, explain why:*



8. Data on leave complainant used for the prior 2-year period.

← Initial here if you have included this information.

*If you have not included this information, explain why:*

9. Pertinent agency and local guidelines concerning leave administration in effect at the time of the action(s) at issue. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

10. Pertinent article(s) of negotiated union agreement, if applicable. (When providing excerpts, include cover page to identify source document.)

← Initial here if you have included this information.

*If you have not included this information, explain why:*

### **Additional Information**

If you are submitting additional document beyond those listed above, explain in the space below what the extra documents are and why you are submitting them.

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Name of EEO Specialist or EEO Manager

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Signature

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Date