

APPENDIX A-8: INDEX FOR A COMPLAINT FILE

Remember to Index and Tab the Materials.

File 1: Complaint and Data Submitted by Complainant: This file contains any information submitted by the complainant, including the envelope. Materials include:

Right Side of Folder

- Complaint Form (CC-4) or letter of allegations
- Complainant's witness list
- Documents provided to support the allegation
- Interview of Complainant

Left Side of Folder

- CMS forms associated with the investigation
- Extension requests and responses

File 2: Case Chronology, Correspondence and Meeting Notes: This file will contain all correspondence (e.g. letters and emails), including attachments submitted and meeting notes. Correspondence includes any material resulting from contacts with the contractor, union, witnesses, consultants and memos to file (not investigative notes).

Right Side: Correspondence – The correspondence must be placed in reverse chronological order (latest correspondence on top). As applicable, cross reference other files.

Left Side: Case Chronology Log – CC-53 (in chronological order and legible).

File 3: Investigative Material: This file will contain all investigative material pertaining to complaint findings. Such data may include:

- The Investigative Plan
- The Investigative Report (on top)
- Interview (witness) statements
- Investigative notes
- Applications
- Personnel records
- Statistical evidence
- Comparative evidence
- Anecdotal evidence

File 4: Medical/Veterans Documentation: This file will contain any medical/veterans documentation, only if applicable. Such data may include:

- Medical release
- Medical and disabled veteran status (e.g. DD-214)

Federal Contract Compliance Manual (FCCM)

- Medical coverage information
- Diagnosis or medical description of disabling condition
- Work restrictions
- For veterans, other coverage information, as needed (e.g. Armed Forces campaign badge information)

File 5: Legal: This file will contain any documents related to legal activity including:

- Notice of Results Investigation (NORI) (on top unless there is a Conciliation Agreement)
- Conciliation Agreements (on top if completed)
- Solicitor's opinions
- Joint Review Committee meeting notes and/or report
- Freedom of Information Act and Privacy Act determinations
- Enforcement recommendations
- Jurisdictional and contract coverage information (on the bottom)

File 6: Employee Handbooks, Collective Bargaining Agreement and Miscellaneous: On the right side, this file will contain copies of any employee handbooks, collective bargaining agreements, fringe benefit information, leave policy booklets and any other similar contractor documents. Any documents that do not fit the description of materials to be included in any other file will be placed here.

File 7: Historical Review Results: This file will contain copies of any available closure letters and documents generated during previous complaint investigations of this establishment. The closure letter for the current investigation will also be included here.