



**United States Bankruptcy Court
Southern District of New York**

Employment Dispute Resolution (EDR) Plan

Approved January 16, 2020

EMPLOYMENT DISPUTE RESOLUTION (EDR) PLAN

1. Introduction

The US Bankruptcy Court for the Southern District of New York (SDNY) is committed to a workplace of respect, civility, fairness, tolerance, and dignity, free of discrimination and harassment. These values are essential to the Judiciary, which holds its Judges and Employees to the highest standards. All Judges and Employees are expected to treat each other accordingly.

This Plan provides options for the reporting and resolution of allegations of wrongful conduct (discrimination, sexual, racial, or other discriminatory harassment, abusive conduct, and retaliation) in the workplace. Early action is the best way to maintain a safe work environment. All Judges and Employees have a responsibility to promote workplace civility, prevent harassment or abusive conduct, and to take appropriate action upon receipt of reliable information indicating a likelihood of wrongful conduct under this Plan. *See Code of Conduct for Judicial Employees, Canon 3(C).*

This Plan applies to all Judges, current and former Employees (including all law clerks; chambers Employees; paid and unpaid interns, externs, and other volunteers and applicants for employment who have been interviewed. The following persons cannot seek relief under this Plan: Judges, applicants for judicial appointment, volunteer mediators, and any other non-Employees not specified above. This Plan supersedes all previous versions of the Employment Dispute Resolution Plan previously adopted by this court prior to the effective date of this Plan.

2. Wrongful Conduct

A. This Plan prohibits wrongful conduct that occurs during the period of employment or the interview process (for an applicant). Wrongful conduct includes:

- discrimination;
- sexual, racial, and other discriminatory harassment;
- abusive conduct; and
- retaliation (including retaliation as described in the Whistleblower Protection Provision in [*Guide to Judiciary Policy, Vol. 12, § 220.10.20\(c\)*](#)).

Wrongful conduct can be verbal, non-verbal, physical, or non-physical.

Wrongful conduct also includes conduct that would violate the following employment laws and policy, as applied to the Judiciary by Judicial Conference policy:

- Title VII, Civil Rights Act of 1964;
- Age Discrimination in Employment Act of 1967;
- Americans with Disabilities Act of 1990 and the Rehabilitation Act of 1973;
- Family and Medical Leave Act of 1993;

- Uniformed Services Employment and Reemployment Rights Act of 1994;
- Whistleblower Protection Provision ([Guide, Vol. 12, § 220.10.20\(c\)](#));
- Worker Adjustment and Retraining Notification Act;
- Occupational Safety and Health Act; and
- The Employee Polygraph Protection Act of 1988.

See [Guide, Vol. 12, Ch. 2](#).

B. Discrimination is an adverse employment action that materially affects the terms, conditions, or privileges of employment (such as hiring, firing, failing to promote, or a significant change in benefits) based on the following Protected Categories: race, color, sex, gender, gender identity, pregnancy, sexual orientation, religion, national origin, age (40 years and over), or disability.

C. Discriminatory harassment occurs when a workplace is permeated with discriminatory intimidation, ridicule, and insult that is sufficiently severe or pervasive to alter the conditions of the employment and create an abusive working environment. Discriminatory harassment includes sexual harassment.

Examples of conduct that may give rise to discriminatory harassment: racial slurs; derogatory comments about a person's ethnicity, culture, or foreign accent; or jokes about a person's age, disability, or sexual orientation.

Examples of conduct that may give rise to sexual harassment: suggestive or obscene notes, emails, text messages, or other types of communications; sexually degrading comments; display of sexually suggestive objects or images; unwelcome or inappropriate touching or physical contact; unwelcome sexual advances or propositions; inappropriate remarks of a sexual nature or about physical appearance; or employment action affected by submission to, or rejection of, sexual advances.

D. Abusive Conduct is a pattern of demonstrably egregious and hostile conduct *not* based on a Protected Category that unreasonably interferes with an Employee's work and creates an abusive working environment. Abusive conduct is threatening, oppressive, or intimidating.

Abusive conduct does not include communications and actions reasonably related to performance management, including but not limited to: instruction, corrective criticism, and evaluation; performance improvement Plans; duty assignments and changes to duty assignments; office organization; progressive discipline; and adverse action.

E. Retaliation is a materially adverse action taken against an Employee for reporting

wrongful conduct; for assisting in the defense of rights protected by this Plan; or for opposing wrongful conduct. Retaliation against a person who reveals or reports conduct is itself wrongful conduct.

3. Reporting Wrongful Conduct

The Judiciary encourages early reporting and action on wrongful conduct. Employees who experience, observe, or learn of reliable evidence of sexual, racial, or other discriminatory harassment or abusive conduct are strongly encouraged to take appropriate action, including reporting it to a supervisor, human resources professional, court unit executive (CUE), employment dispute resolution (EDR) coordinator, or Chief Judge. See Code of Conduct for Judicial Employees, Canon 3(C). Employees are also encouraged to report wrongful conduct in the workplace by non-Employees. Court and chambers confidentiality requirements do not prevent any Employee—including law clerks—from revealing or reporting wrongful conduct by any person.

4. Options for Resolution

The Judiciary's goal is to address wrongful conduct as soon as possible and to provide multiple, flexible options for doing so. An Employee is always free to address a conduct issue directly with the person who allegedly committed wrongful conduct or to contact a colleague, supervisor, CUE, Judge, Chief Judge, or other individual to discuss or address the situation. This Plan provides the following additional options and Employees may choose the option(s) that best fit their needs and comfort level.

A. Plan Options. This Plan provides three options to address wrongful conduct, as explained in detail below:

- 1. Informal Advice**
- 2. Assisted Resolution**
- 3. Formal Complaint**

B. General Rights. All options for resolution are intended to respect the privacy of all involved to the greatest extent possible, and to protect the fairness and thoroughness of the process by which allegations of wrongful conduct are initiated, investigated, and ultimately resolved.

- 1. Confidentiality.** All individuals involved in the processes under this Plan must protect the confidentiality of the allegations of wrongful conduct. Information will be shared only to the extent necessary and only with those whose involvement is necessary

to address the situation. An assurance of confidentiality must yield when there is reliable information of wrongful conduct that threatens the safety or security of any person or that is serious or egregious such that it threatens the integrity of the Judiciary.

Confidentiality obligations in the Code of Conduct for judicial Employees concerning use or disclosure of confidential information received in the course of official duties do not prevent nor should they discourage Employees from reporting or disclosing wrongful conduct, including sexual, racial, or other forms of discriminatory harassment by a Judge, supervisor, or other person.

Supervisors, CUEs, and Judges must take appropriate action when they learn of reliable information of wrongful conduct, such as sexual, racial, or other discriminatory harassment which may include informing the Chief Judge.

2. Impartiality. All investigations, hearings, and other processes under this Plan must be conducted in a thorough, fair and impartial manner. The EDR Coordinator and the presiding judicial officer must be impartial and may not act as an advocate for either Party. The EDR Coordinator or presiding judicial officer must recuse if he or she participated in, witnessed or was otherwise involved with the conduct or employment action giving rise to the claim. Recusal of these individuals is also required if the matter creates an actual conflict or the appearance of a conflict.

3. Right to representation. Both the Employee and the employing office responsible for providing any remedy have the right to be represented by an attorney or other person of their choice at their own expense. Another Employee may assist the Employee or employing office if doing so will not constitute a conflict of interest or unduly interfere with his or her duties as determined by the assisting Employee's appointing officer.

4. Interim Relief. An Employee, including a law clerk or other chambers Employee, who pursues any of the options under this Plan may request transfer, an alternative work arrangement, or administrative leave if the Employee alleges egregious conduct by a supervisor, CUE, or Judge that makes it untenable to continue working for that person. Any such request must be made to the CUE or Chief Judge, as appropriate, to determine appropriate interim relief, if any, taking into consideration the impact on any employing office.

5. Allegations Regarding a Judge. An Employee alleging that a Judge has engaged in wrongful conduct may use any of the options for resolution as set forth in Section C below. An Employee may also file a Complaint under the Judicial Conduct and Disability Act, 28 U.S.C. §§ 351-364.

C. Specific Options

1. **Informal Advice.** An Employee may contact an EDR Coordinator, or the National Office of Judicial Integrity for confidential advice and guidance about a range of topics including:
 - the rights and protections afforded under this Plan, the Judicial Conduct and Disability Act, and any other processes;
 - ways to respond to wrongful conduct as it is happening; and/or
 - options for addressing the conduct such as informal resolution, participating in Assisted Resolution, or pursuing a formal Complaint under this Plan, the Judicial Conduct and Disability Act, or any other processes.

2. **Assisted Resolution.** Assisted Resolution is an interactive, flexible process that may include:
 - discussing the matter with the person whose behavior is of concern;
 - conducting a preliminary investigation, including interviewing persons alleged to have violated rights under this Plan and witnesses to the conduct;
 - engaging in voluntary mediation between the persons involved; and/or
 - resolving the matter by agreement.
 - a. To pursue this option, an Employee must contact an EDR Coordinator and complete a “Request for Assisted Resolution” (Appendix 2). An Employee asserting any claim of abusive conduct must first use Assisted Resolution before filing a formal Complaint. Filing a request for Assisted Resolution does not toll (extend) the time for filing a formal Complaint unless one of the parties requests, and the Chief Judge or presiding judicial officer grants, an extension of time for good cause, as permitted.
 - b. If the allegations concern the conduct of a Judge, the Chief Judge must be notified and will be responsible for coordinating any Assisted Resolution and/or taking any other action required or appropriate under the circumstances. *See, e.g., Rules for Judicial Conduct and Judicial-Disability Proceedings.*
 - c. If the allegations concern the conduct of an Employee, the EDR Coordinator will coordinate Assisted Resolution and must notify the CUE. The CUE is responsible for assessing the allegation(s) and taking appropriate steps to resolve the matter. If the allegations concern the conduct of a CUE, the EDR Coordinator must notify the Chief Judge, who is responsible for assessing the allegation(s) and addressing the matter as appropriate.

d. The CUE or Chief Judge responsible for assessing the allegations, as indicated in (b) and (c) above, may deny the request for Assisted Resolution at any time if he or she concludes it is frivolous; it does not allege violations of the rights or protections in this Plan; the alleged conduct arises out of the same facts and circumstances, and was resolved by, a previous EDR Complaint or other claim process or procedure; or on other appropriate grounds.

e. If Assisted Resolution is successful in resolving the matter, the parties will so acknowledge in writing.

f. The parties by mutual assent, or the EDR Coordinator, CUE or Chief Judge in her discretion, will determine when to conclude the Assisted Resolution process. If Assisted Resolution is not successful in resolving the matter, the EDR Coordinator or CUE will advise the Employee of his or her rights to file a formal Complaint and/or pursue action under the Judicial Conduct and Disability Act, if applicable, or other processes.

3. Filing a Formal Complaint. An Employee may file a formal Complaint with either of the court's EDR Coordinators to address a claim of wrongful conduct.

a. To file a Complaint, an Employee must submit a "Formal Complaint" (Appendix 3) to either of the Court's EDR Coordinators within 180 days of the alleged wrongful conduct or within 180 days of the time the Employee becomes aware or reasonably should have become aware of such wrongful conduct. Use of the or Assisted Resolution options does not toll (extend) this 180-day deadline unless the Chief Judge or the presiding judicial officer grants an extension of time for good cause.

b. An Employee asserting any claim of abusive conduct must first use Assisted Resolution before filing a formal Complaint.

c. The Employee filing the Complaint is called the Complainant. The Party responding to the Complaint is the employing office that is responsible for providing any appropriate remedy and is called the Respondent. The Complaint is not filed against any specific individual(s) but against the employing office.

d. **Complaint Regarding a Judge.** An Employee alleging that a Judge has engaged in wrongful conduct may file a Complaint under this Plan. The EDR Coordinator must immediately provide a copy of the Complaint to the Chief Judge (or the next most-senior active District Judge, if the allegation is against the Chief Judge), who will oversee the EDR Complaint process. If a Bankruptcy Judge is the

subject of the Complaint, the EDR Coordinator must also provide a copy of the Complaint to the Chief District Judge (unless the Chief District Judge is the subject of the Complaint, in which case the Complaint will be given only to the Chief Circuit Judge).

If a Judge becomes the subject of both a Complaint under this Plan and a Complaint under the Judicial Conduct and Disability Act, the Chief District Judge will determine the appropriate procedure for addressing both, which may include holding the EDR claim in abeyance and determining how best to find any common issues of fact, subject to all requirements of the Judicial Conduct and Disability Act, the Rules for Judicial-Conduct and Judicial-Disability Proceedings, and, as practicable, this EDR Plan. Regardless of whether there is a formal Complaint under the Judicial Conduct and Disability Act, the Chief Circuit Judge should consider the need for any necessary or appropriate interim relief.

e. Formal Complaint Procedures and Procedural Rights

1. *Appointment of Presiding Judicial Officer.* Upon receipt of a Complaint, the EDR Coordinator will immediately send a copy of the Complaint to the Chief Judge, who will appoint a Presiding Judicial Officer. The Presiding Judicial Officer will be a Judge in the Court or, when appropriate, a Judge from another Court (with the consent of the respective Chief Judge of that Court).
2. *Presiding Judicial Officer.* The Presiding Judicial Officer oversees the Complaint proceeding. The Presiding Judicial Officer will provide a copy of the Complaint to the head of the Employing Office against which the Complaint has been filed (Respondent), except when the Presiding Judicial Officer determines for good cause that the circumstances dictate otherwise. The Presiding Judicial Officer must provide the individual alleged to have violated rights under this Plan notice that a Complaint has been filed and the nature and substance of the Complaint allegations.

The Presiding Judicial Officer will provide for appropriate investigation and discovery, allow for settlement discussions, determine any written submissions to be provided by the Parties, determine if a hearing is needed, determine the time, date, and place of the hearing, issue a written decision, and, if warranted, order remedies.

3. *Disqualification and Replacement.* Either Party may seek disqualification of the EDR Coordinator or the Presiding Judicial Officer by written request to the Chief Judge, explaining why the individual should be disqualified.

If the Presiding Judicial Officer is disqualified, the Chief Judge will designate another Judge to serve as Presiding Judicial Officer. If the EDR Coordinator is disqualified, the Chief Judge will appoint an alternate EDR Coordinators or, if available, an EDR Coordinator from another Court (with the consent of the respective Chief Judge of that Court).

4. *Response.* The Respondent may file a Response to the Complaint with the EDR Coordinator within **30 days** of receiving the Complaint. The EDR Coordinator must immediately send the Response to the Presiding Judicial Officer and to the Complainant.

5. *Investigation and Discovery.* The Presiding Judicial Officer will ensure that the allegations are thoroughly, impartially, and fairly investigated, and may use outside trained investigators if warranted. The investigation may include interviews with persons alleged to have violated rights under this Plan and witnesses, review of relevant records, and collecting documents or other records. The Presiding Judicial Officer will provide for such discovery to the Complainant and Respondent as is necessary and appropriate. The Presiding Judicial Officer will also determine what evidence and written arguments, if any, are necessary for a fair and assessment of the allegations and response.

6. *Case preparation.* The Complainant may use official time to prepare his or her case, so long as it does not unduly interfere with the performance of duties.

7. *Extensions of time.* Any request for an extension of time must be in writing. The Presiding Judicial Officer may extend any of the deadlines set forth in this EDR Plan for good cause, except for the deadline to issue a written decision, which may only be extended by the Chief Judge.

8. *Established Precedent.* In reaching a decision, the Presiding Judicial Officer should be guided by judicial and administrative decisions under relevant rules and statutes, as appropriate. The Federal Rules of Evidence and any federal procedural rules do not apply.

9. *Notice of Written Decision.* The EDR Coordinator or Presiding Judicial Officer will immediately send a copy of the written decision to the Parties, the Chief Judge, and to any individual alleged to have violated rights protected by this Plan. The EDR Coordinator will inform the Parties of appeal rights, procedures, and deadlines.

f. Resolution of Complaint Without a Hearing. After notifying the Parties and

giving them an opportunity to respond, the Presiding Judicial Officer may resolve the matter without a hearing.

1. The Presiding Judicial Officer may dismiss a Complaint and issue a written decision at any time in the proceedings on the grounds that: it is untimely filed, is frivolous, fails to state a claim, or does not allege violations of the rights or protections in this Plan; the alleged conduct arises out of the same facts and circumstances, and was resolved by, a previous EDR Complaint or other claim process or procedure; or on other appropriate grounds.

2. After completion of investigation and discovery, the Presiding Judicial Officer may, on his or her own initiative or at the request of either Party, issue a written decision if the Presiding Judicial Officer determines that no relevant facts are in dispute and that one of the Parties is entitled to a favorable decision on the undisputed facts.

3. The Parties may enter into an agreed written settlement if approved in writing by the Presiding Judicial Officer and the Chief Judge.

g. Resolution of Complaint With a Hearing. If the Complaint is not resolved in its entirety by dismissal, Assisted Resolution, decision without a hearing, or settlement, the Presiding Judicial Officer will order a hearing on the merits of the Complaint.

1. *Hearing.* The hearing will be held no later than **60 days** after the filing of the Complaint unless the Presiding Judicial Officer extends the deadline for good cause. The Presiding Judicial Officer will determine the place and manner of the hearing.

2. *Notice.* The Presiding Judicial Officer must provide reasonable notice of the hearing date, time, and place to the Complainant, the Respondent, and any individual(s) alleged to have violated the Complainant's rights.

3. *Right to Present Evidence.* The Complainant and Respondent have the right to present witnesses and documentary evidence and to examine adverse witnesses.

4. *Record of Proceedings.* A verbatim record of the hearing must be made and will be the official record of the proceeding. This may be a digital recording or a transcript.

5. *Written Decision.* The Presiding Judicial Officer will make findings of fact and conclusions of law and issue a written decision no later than **60 days** after the conclusion of the hearing, unless an extension for good cause is granted by the Chief Judge.

h. Remedies. When the Presiding Judicial Officer finds that the Complainant has established by a preponderance of the evidence (more likely than not) that a substantive right protected by this Plan has been violated, the Presiding Judicial Officer may direct the Employing Office to provide remedies for the Complainant. The remedies are limited to providing relief to the Complainant, should be tailored as closely as possible to the specific violation(s) found, and take into consideration the impact on any Employing Office. The Chief Judge and Employing Office (Respondent) must take appropriate action to carry out the remedies ordered in the written decision, subject to any applicable policies or procedures.

1. *Allowable Remedies* may include:

- placement of the Complainant in a position previously denied;
- placement of the Complainant in a comparable alternative position;
- reinstatement to a position from which the Complainant was previously removed;
- prospective promotion of the Complainant;
- priority consideration of the Complainant for a future promotion or position;
- back pay and associated benefits, when the statutory criteria of the Back Pay Act are satisfied¹;
- records modification and/or expungement;
- granting of family and medical leave;
- any reasonable accommodation(s); and
- any other appropriate remedy to address the wrongful conduct²

2. *Unavailable Remedies.* Other than under the Back Pay Act, monetary damages are not available. The Presiding Judicial Officer may award attorney's fees only if the statutory requirements under the Back Pay Act are satisfied.

i. Review of Decision (Appeal). The Complainant and/or the Respondent may appeal the decision to the judicial council of the circuit by submitting in writing a Request for Review of Decision setting forth the grounds for appeal within **30 days** of the date of the decision under procedures established by that judicial council (Appendix 4). The EDR Coordinator will inform the Parties of the procedures for seeking review. The decision will be reviewed based on the record created by the Presiding Judicial Officer and will be affirmed if supported by substantial evidence and the proper application of legal principles.

¹ *Back Pay Act*. Remedies under the Back Pay Act, including attorney's fees, may be ordered only when the statutory criteria of the Back Pay Act are satisfied, which include: (1) a finding of an unjustified or unwarranted personnel action; (2) by an appropriate authority; (3) which resulted in the withdrawal or reduction of all or part of the Employee's pay, allowances, or differentials. An order of back pay is subject to review and approval by the Director of the Administrative Office of the United States Courts. See 5 U.S.C. § 5596(b)(1) and [Guide, Vol. 12, § 690](#).

² The issue in an EDR Complaint is whether the Employing Office is responsible for the alleged conduct; it is not an action against any individual. The Presiding Judicial Officer lacks authority to impose disciplinary or similar action against an individual. When there has been a finding of wrongful conduct in an EDR proceeding, an appointing official, or official with delegated authority, should separately assess whether further action, in accordance with any applicable policies and procedures, is necessary to correct and prevent wrongful conduct and promote appropriate workplace behavior, such as:

- requiring counseling or training;
- ordering no contact with the Complainant;
- reassigning or transferring an Employee;
- reprimanding the Employee who engaged in wrongful conduct;
- issuing a suspension, probation, or demotion of the Employee who engaged in wrongful conduct; and/or
- terminating employment for the Employee who engaged in wrongful conduct.

5. Court Office Obligations

1. To ensure that Employees are aware of the options provided by this Plan, and that the Plan is effectively implemented, the Court must adhere to the following:

a. EDR Coordinators. The Chief Judge has designated Christine Azzaro and Mike Paek as the EDR Coordinators for the Court. This Court may use an EDR Coordinator from another Court if necessary, with the approval of the appropriate Chief Judge. An Employee may choose the EDR Coordinator with whom he or she wishes to seek Informal Advice, request Assisted Resolution, or file a Complaint under this EDR Plan.

Note: An EDR Coordinator must be an Employee who is not a CUE. A Judge may not be an EDR Coordinator. All EDR Coordinators must be trained and certified as set forth in the EDR Interpretive Guide and Handbook.

b. Records. At the conclusion of informal or formal proceedings under this Plan, all papers, files, and reports will be filed with the EDR Coordinator. No papers, files, or reports relating to an EDR matter will be filed in any Employee's personnel folder, except as necessary to implement an official personnel action.

c. Advising Employees of their Rights. This court will:

- post on the internal homepage, a direct link labeled "Your Employee Rights and How to Report Wrongful Conduct," to:
- the EDR Plan with all Appendices and relevant contact information;

- the Judicial Conduct and Disability Act, the Rules for Judicial-Conduct and Judicial-Disability Proceedings, and the Judicial Conduct and Disability Complaint form; and
- provide contact information for the Court's EDR Coordinators and the national Office of Judicial Integrity.
- Provide annual training to all employees including chambers staff, on how to report workplace misconduct and their rights under this Plan.
- ensure that each new Employee has read and acknowledges in writing the EDR Plan.
- **Prominently display** in the workplace:
 - the posters set forth in Appendix 5; and
 - an Anti-Discrimination and Harassment Notice that: (a) states that discrimination or harassment based on race, color, sex, gender, gender identity, pregnancy, sexual orientation, religion, national origin, age (40 years and over), or disability is prohibited; (b) explains that Employees can report, resolve, and seek remedies for discrimination, harassment, or other wrongful conduct under the EDR Plan by contacting the Court's EDR Coordinators and/or the National Office of Judicial Integrity; (c) identifies the names and contact information of all Court EDR Coordinators and the national Office of Judicial Integrity; and
 - where the EDR Plan can be located on the Court's website.

d. Appendices Attached:

- Definitions
- Request for Assisted Resolution
- Formal Complaint Form
- Request for Review of Decision Procedures and Sample Form (each Court to attach its circuit's Request for Review Procedures)
- Posters

This Plan supersedes all prior Employment Dispute Resolution Plans.

Effective date: January 17, 2020

APPENDIX 1

DEFINITIONS

Court: The Court (Bankruptcy Courts) or any Court created by an Act of Congress in a territory that is invested with any jurisdiction of a District Court of the United States in which the Employing Office that would be responsible for ordering redress, correction, or abatement of a violation of rights under this EDR Plan is located.

EDR Coordinator: Christine Azzaro and Mike Paek have been designated by the Chief Judge to coordinate all the Options for Resolution provided for in this Plan. The EDR Coordinator provides confidential advice and guidance if an Employee seeks Informal Advice; coordinates the Assisted Resolution process, including any necessary investigation; accepts Complaints under this Plan for filing; and assists the Presiding Judicial Officer in the Complaint proceeding, as directed. The EDR Coordinator maintains and preserves all Court files pertaining to matters initiated and processed under this EDR Plan. The EDR Coordinator assists the Court in meeting its obligations under this Plan to train and advise employees of their rights under this Plan, and to post the Plan as directed.

Employee: All employees of a Court. This includes Court Unit Executives and their staffs; judicial assistants and other chambers employees, law clerks, court reporters appointed by a Court, and paid and unpaid interns, externs and other volunteer employees.

Employing Office/Respondent: The office of the Court that is responsible for providing any appropriate remedy. The Court is the Employing Office of Judges and chambers employees.

Judge: A United States bankruptcy judge or a judge of any Court created by an Act of Congress in a territory that is invested with any jurisdiction of a district court of the United States.

Office of Judicial Integrity: The office of the Administrative Office of the United States Courts staffed to provide advice and guidance to Employees nationwide about workplace conduct issues, including sexual, racial, and other discriminatory harassment, abusive conduct and other wrongful conduct. Contact information for the Office of Judicial Integrity can be found on JNet and on uscourts.gov.

Parties: The Employing Office and the Employee who has filed a request for Assisted Resolution or a Formal Complaint.

Protected Category: Race, color, sex, gender, gender identity, pregnancy, sexual orientation, religion, national origin, age (40 years and over), or disability.

Court Unit Executive (CUE): Clerk of Court.

**REQUEST FOR ASSISTED RESOLUTION
APPENDIX 2**

***USE OF ASSISTED RESOLUTION DOES NOT EXTEND THE 180-DAY
DEADLINE TO FILE A FORMAL COMPLAINT UNLESS THE DEADLINE IS
EXTENDED UNDER THE EDR PLAN.**

Submitted under the Procedures of the NYSB Employment Dispute Resolution Plan

Court: _____

Full name of person submitting the form: _____

Your mailing address: _____

Your email address: _____

Your phone number(s): _____

Office in which you are employed or applied to: _____

Name and address of Employing Office from which you seek assistance (*if the matter involves a judge or chambers employee, the Employing Office is the Court*):

Your job title/job title applied for: _____

Date of interview (*for interviewed applicants only*): _____

Date(s) of alleged incident(s) for which you seek Assisted Resolution:

Summary of the actions or occurrences for which you seek Assisted Resolution (attach additional pages as needed):

Names and contact information of any witnesses to the actions or occurrences for which you seek Assisted Resolution:

Describe the assistance or corrective action you seek:

Alleged Wrongful Conduct for which you seek Assisted Resolution (*check all that apply*):

- | | |
|---|---|
| <input type="checkbox"/> Discrimination based on (<i>check all that apply</i>): | <input type="checkbox"/> Harassment based on (<i>check all that apply</i>): |
| <input type="checkbox"/> Race | <input type="checkbox"/> Race |
| <input type="checkbox"/> Color | <input type="checkbox"/> Color |
| <input type="checkbox"/> Sex | <input type="checkbox"/> Sex |
| <input type="checkbox"/> Gender | <input type="checkbox"/> Gender |
| <input type="checkbox"/> Gender identity | <input type="checkbox"/> Gender identity |
| <input type="checkbox"/> Pregnancy | <input type="checkbox"/> Pregnancy |
| <input type="checkbox"/> Sexual orientation | <input type="checkbox"/> Sexual orientation |
| <input type="checkbox"/> Religion | <input type="checkbox"/> Religion |
| <input type="checkbox"/> National origin | <input type="checkbox"/> National origin |
| <input type="checkbox"/> Age | <input type="checkbox"/> Age |
| <input type="checkbox"/> Disability | <input type="checkbox"/> Disability |

- | | | |
|---|--|---|
| <input type="checkbox"/> Abusive Conduct | <input type="checkbox"/> Uniform Services | <input type="checkbox"/> and Health |
| <input type="checkbox"/> Retaliation | <input type="checkbox"/> Employment and | <input type="checkbox"/> Polygraph Protection |
| <input type="checkbox"/> Whistleblower | <input type="checkbox"/> Reemployment | <input type="checkbox"/> Other (describe) |
| <input type="checkbox"/> Protection | <input type="checkbox"/> Rights | |
| <input type="checkbox"/> Family and Medical | <input type="checkbox"/> Worker Adjustment | |
| <input type="checkbox"/> Leave | <input type="checkbox"/> and Retraining | |
| | <input type="checkbox"/> Occupational Safety | |

Do you have an attorney or other person who represents you?

Yes

Please provide name, mailing address, email address, and phone number(s):

No

I acknowledge that this Request will be kept confidential to the extent possible, but information may be shared to the extent necessary and with those whose involvement is necessary to resolve this matter, as explained in the EDR Plan (*see* EDR Plan § IV.B.1).

Your signature _____

Date submitted _____

Request for Assisted Resolution reviewed by EDR Coordinator on

EDR Coordinator name _____

EDR Coordinator signature _____

Local Court Claim ID (Court Initials–AR–YY–Sequential Number): _____

**FORMAL COMPLAINT FORM
APPENDIX 3**

Submitted under the Procedures of the NYSB Employment Dispute Resolution Plan

Court: _____

Full name of person submitting the form (Complainant): _____

Your mailing address: _____

Your email address: _____

Your phone number(s): _____

Office in which you are employed or applied to: _____

Name and address of Employing Office from which you seek a remedy (*if the matter involves a judge or chambers employee, the Employing Office is the Court*):

Your job title/job title applied for: _____

Date of interview (*for interviewed applicants only*): _____

Date(s) of alleged incident(s) for which you seek a remedy:

Summary of the actions or occurrences giving rise to the Complaint (*attach additional pages as needed*):

Describe the remedy or corrective action you seek (*attach additional pages as needed*):

Identify, and provide contact information for, any persons who were involved in this matter, who were witnesses to the actions or occurrences, or who can provide relevant information concerning the Complaint (*attach additional pages as needed*):

Identify the Wrongful Conduct that you believe occurred (*check all that apply*):

- | | |
|---|---|
| <input type="checkbox"/> Discrimination based on (<i>check all that apply</i>): | <input type="checkbox"/> Harassment based on (<i>check all that apply</i>): |
| <input type="checkbox"/> Race | <input type="checkbox"/> Race |
| <input type="checkbox"/> Color | <input type="checkbox"/> Color |
| <input type="checkbox"/> Sex | <input type="checkbox"/> Sex |
| <input type="checkbox"/> Gender | <input type="checkbox"/> Gender |
| <input type="checkbox"/> Gender identity | <input type="checkbox"/> Gender identity |
| <input type="checkbox"/> Pregnancy | <input type="checkbox"/> Pregnancy |
| <input type="checkbox"/> Sexual orientation | <input type="checkbox"/> Sexual orientation |
| <input type="checkbox"/> Religion | <input type="checkbox"/> Religion |
| <input type="checkbox"/> National origin | <input type="checkbox"/> National origin |
| <input type="checkbox"/> Age | <input type="checkbox"/> Age |
| <input type="checkbox"/> Disability | <input type="checkbox"/> Disability |

Abusive Conduct

I have already sought Assisted Resolution for this Abusive Conduct claim

Provide date Request for Assisted Resolution submitted and concluded, and describe the resolution, if any:

- | | | |
|---|--|---|
| <input type="checkbox"/> Retaliation | <input type="checkbox"/> Uniform Services | <input type="checkbox"/> Occupational Safety |
| <input type="checkbox"/> Whistleblower | <input type="checkbox"/> Employment and | <input type="checkbox"/> and Health |
| <input type="checkbox"/> Family and Medical | <input type="checkbox"/> Reemployment | <input type="checkbox"/> Polygraph Protection |
| <input type="checkbox"/> Leave | <input type="checkbox"/> Rights | <input type="checkbox"/> Other (describe) |
| | <input type="checkbox"/> Worker Adjustment | |
| | <input type="checkbox"/> and Retraining | |

Do you have an attorney or other person who represents you?

Yes

Please provide name, mailing address, email address, and phone number(s):

No

I have attached copy(ies) of any documents that relate to my Complaint (such as emails, notices of discipline or termination, job application, etc.)

I acknowledge that this Complaint will be kept confidential to the extent possible, but information may be shared to the extent necessary and with those whose involvement is necessary to resolve this matter, as explained in the EDR Plan (*see* EDR Plan § IV.B.1).

I affirm that the information provided in this Complaint is true and correct to the best of my knowledge:

Complainant signature _____

Date submitted _____

Complaint reviewed by EDR Coordinator on _____

EDR Coordinator name _____

EDR Coordinator signature _____

Local Court Claim ID (Court Initials–FC–YY–Sequential Number): _____

**REQUEST FOR REVIEW OF DECISION (APPEAL)
APPENDIX 4**

Submitted under the Procedures of the NYSB Employment Dispute Resolution Plan
[To be drafted by each Circuit and attached here by each Court]

SAMPLE FORM

Name of Requesting Party _____
Address _____
Phone Number(s) _____
Email Address _____

Name of Court in Which Presiding Judicial Officer's Decision Was Issued

_____, Requesting Party v.
_____, Responding Party

Request for Review of Decision on Formal Complaint

Notice is hereby given that _____, (Requesting Party) in the above named case, hereby requests review by the Judicial Council for the 2nd Circuit from the decision by Judge _____ entered in this matter on the ____ day of _____, 20__.

Attached to this request is a copy of the Presiding Judicial Officer's decision.

State the reason(s) you contend that the Presiding Judicial Officer's decision was in error (**attach additional pages if necessary**):

Submitted this _____ day of _____, (20__).

Signature of Requesting Party

Signature of Counsel, if any

Approved by the _____ Circuit Judicial Council on _____.