**Policy and Checklist for Addressing   
Discrimination/Harassment/Bullying Complaints**

Organization: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date of Initial Complaint \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of Complaining Party: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name of Alleged Offender: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Type of Complaint (Check All That Apply): \_\_\_\_\_\_Discrimination \_\_\_\_\_\_Harassment \_\_\_\_\_\_Bullying

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Action Steps to Respond to Complaints** | **Step Completed** | | | **Comments** |
|  | Yes | No | Date Completed |  |
| **Initial Step After Receiving Complaint** | | | | |
| After the initial complaint was received, did the grantee follow the following steps? | | | | |
| Consider whether to place the accused on paid administrative leave pending the investigation. Some factors to consider include whether the accused poses a potential safety risk and whether having the accused in the workplace may intimidate witnesses or otherwise impede the investigation. |  |  |  |  |
| Take appropriate interim steps to prevent harassment and retaliation. For example, it may be appropriate to separate the accused and the complainant, instruct the accused not to communicate with the complainant, or to place an upcoming performance review on hold pending the conclusion of the investigation. |  |  |  |  |
| Determine who will conduct the investigation. Choose the investigator carefully, as that person may need to testify in any legal proceeding.   * Investigators must be free from actual or apparent bias or conflict of interest. For example, an investigator should not investigate the conduct of the investigator’s superiors or friends. * Determine whether to retain an outside investigator. Consider whether the investigator needs a particular expertise.   Name of Investigator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |  |  |
| Preserve evidence that may be relevant to the investigation. The evidence may include emails, texts, and internal messages. Involve IT as necessary. |  |  |  |  |
| Develop a public relations strategy if there may be potential media coverage or publicity. |  |  |  |  |
| **The Investigation Process** | | | | |
| During the investigation process, did the designated investigator complete the following steps: | | | | |
| Conduct the investigations promptly. If there was misconduct, it should be corrected as soon as possible. |  |  |  |  |
| Determine an investigation plan but remain flexible. For example, the number of witnesses interviewed, and documents reviewed should be appropriate to the situation. |  |  |  |  |
| Consider the order in which witnesses are interviewed and what information to share with witnesses. Typically, a best practice is to interview the complainant first and the accused last. Witnesses should be told that the company will maintain confidentiality consistent with the need to investigate. |  |  | Complainant Interview Date:    \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_    Alleged Offender Interview Date:    \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_    Witness 1 Interview Date:    \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_        Witness 2 Interview Date:    \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |
| Prepare notes soon after the interviews. Document key quotes and any admissions made. Be thoughtful about your notes, as they may be discoverable if the matter results in litigation. Decide whether to have the witnesses submit or sign statements. |  |  |  |  |
| **Report Findings** | | | | |
| After the investigation was completed, were the following steps taken to report findings? | | | | |
| Determine whether a written report is necessary for all or parts of the investigation and, if so, what level of detail is appropriate for the report. |  |  |  |  |
| Determine what level of detail is appropriate for the report. |  |  |  |  |
| **Appropriate Corrective Action** | | | | |
| After the report was created, did the investigator follow the steps below? | | | | |
| Determine correction action for alleged offender (if necessary) |  |  |  | Corrective Action: |
| Determine decision makers for corrective action |  |  |  | Decision Maker(s) for Corrective Action: |
| **Close-Out and Other Follow-Up After the Investigation** | | | | |
| Before closing out the complaint, were the following steps taken? | | | | |
| Inform all parties involved the investigation has concluded and that appropriate action has been taken. The organization may not be able to share more information due to privacy concerns. |  |  |  |  |
| Instruct participant(s) to report any further concerns through the appropriate complaint channels. |  |  |  |  |
| Remind all involved parties that retaliation prohibited. |  |  |  |  |
| Instruct participants to report any retaliation promptly. |  |  |  |  |

**Investigator’s Signature:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Decision Maker’s Signature:** **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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