



## **New York State Investigation Process**

While the process may vary from case to case, investigations will be done in accordance with the following steps to the extent possible:

- Upon receipt of a complaint, our HR Department will conduct an immediate review of the allegations, and take any interim actions (e.g., instructing the respondent to refrain from communications with the complainant), as appropriate. If a complaint is verbal, our HR Department will encourage the individual to complete the "Incident Report/Complaint Form" in writing. If he or she refuses, our HR Department will prepare an Incident Report/Complaint Form based on the verbal reporting and will provide a copy to the individual for signature.
- If documents, emails or phone records are relevant to the investigation, steps will be taken to obtain and preserve them.
- Request and review all relevant documents, including all electronic communications.
- Interview all parties involved, including any relevant witnesses.
- Create a written documentation of the investigation (such as a letter, memo or email), which contains the following:
  - A list of all documents reviewed, along with a detailed summary of relevant documents;
  - A list of names of those interviewed, along with a detailed summary of their statements;
  - A timeline of events;
  - A summary of prior relevant incidents, reported or unreported; and,
  - The basis for the decision and final resolution of the complaint, together with any corrective action(s).
- Keep the written documentation and associated documents in a secure and confidential location.
- Promptly notify the individual who reported and the individual(s) about whom the complaint was made of the final determination and implement any corrective actions identified in the written document.
- Inform the individual who reported of the right to file a complaint or charge externally and refer him/her to New York State Legal Protections and External Remedies.