

## CHECKLIST: RECEIVING A COMPLAINT

Do the allegations involve any legal issues, such as criminal conduct, workplace health and safety, or workers compensation? Should you seek legal advice before proceeding with the investigation?

Is it necessary to apply legal professional privilege to the investigation? Have you consulted legal counsel if needed?

Is it appropriate or mandatory for you to conduct this investigation? Are there any alternative approaches?

Do you need to manage expectations regarding the possible outcomes?

Should the matter be referred to an appropriate authority?

Have you identified the most suitable person to conduct the investigation? Who is this person determining any bias or conflict of interest?

Do the allegations touch on any sensitive organisational matters that may require a public response?

Who else needs to be informed about the complaint or incident?

Is there a risk of industrial action arising from this situation?

If the involved parties work together, can they continue to do so during the investigation? Is it necessary to temporarily stand down the respondent or alleged perpetrator with pay, or relocate them to another team or location?

Do any of the involved parties require access to the employee assistance program, if available?

Is there any evidence that you need to preserve?

### NEXT STEPS:

Have you determined which policies are relevant to this situation?

If there is a complainant or informant, ensure they are asked to keep the information they have provided confidential.

Determine if more information is required from the complainant or informant before starting the investigation.

Identify the respondent or alleged perpetrator.

Determine relevant witnesses from the complainant and any knowledge of the complaint.

Plan the next steps for handling the complaint or incident, including preparing a witness list, formulating questions to ask and answer, and managing representatives and support persons.