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## Investigation Policy and Procedures

Approved on Date

Updated on Date

### Policy:

Investigations conducted by, or on behalf of, [RSP] will be kept confidential and information will not be disclosed unless necessary to conduct the investigation or as required by law. The parties to a complaint (i.e., the complainant and respondent) and any witnesses will be advised of the confidentiality requirements under this Policy.

The investigation file, including the complaint, investigator's notes, witness statements, Investigation Plan, investigation report or Complaint Outcome Form, will only be accessible by staff members authorized by [RSP] or as required by law.

Any staff member who discloses confidential information about the complaint or its review or investigation, will be subject to disciplinary action up to and including termination of employment or services.

### Procedures:

1. At the outset of the complaint process and the investigation process, the complainant, respondent, witnesses and any support persons will be advised by [RSP] of their obligation to maintain the confidentiality of the complaint and any review or investigation of the complaint by [RSP].
2. [RSP] and the investigator will keep confidential any information gathered in the complaint review and investigation process to the extent possible. In certain circumstances, [RSP] or the investigator may be required to disclose information provided by a party or witness; for instance, if the information received must be reported under the Duty to Report, if a person is at risk of harm, if the disclosure is necessary to conduct the review or investigation or the disclosure is otherwise required by law.
3. The investigation file, including the written complaint, investigator's notes, witness statements, Investigation Plan and the investigation report or Complaint Outcome Form, will be marked "confidential" and securely stored and retained by [RSP].
4. The investigation file, including the written complaint, investigator's notes, witness statements, Investigation Plan and the investigation report or

## Form 10-H – Confidentiality

Complaint Outcome Form, will remain the confidential property of [RSP] and is intended for internal use only (e.g., to inform the Annual Review and Plan). No [RSP] staff shall improperly access the investigation file or release it externally without the written permission of [RSP].

5. No part of the investigation file, including the investigation report or Complaint Outcome Form, will be provided to the complainant or respondent. Rather, [RSP] will provide the parties with a written summary of the investigation findings and any corrective action to be taken which is not confidential.
6. The names of individuals involved in a complaint will be anonymized in documents relating to a review or investigation of the complaint to protect the individual's privacy, including in the investigation report, Complaint Outcome Form, Complaint Tracking Form and Annual Review and Plan.