

EMPLOYEE COMPLAINT RESOLUTION POLICY

Introduction: How to Use This Tool

Effective complaint resolution procedures are a vital component of the employment relationship. This policy provides a framework for resolving employee complaints in a timely and collaborative manner.

This template will help you to:

- Implement procedures for reporting complaints
- Resolve complaints quickly and efficiently
- Document and track employee complaints
- Identify possible resolutions to employee complaints

Maintain a functioning workplace by ensuring timely and collaborative conflict resolution.

Policy Title	Employee Complaint Resolution Policy
Policy Owner	Human Resources
Policy Approver(s)	Vice President of Human Resources
Related Procedures	Name other related enterprise procedures both within or external to this policy including your harassment and

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	workplace bullying policies and progressive discipline policies
Storage Location	Describe physical or digital location of copies of this policy.
Effective Date	List the date that this policy went into effect.
Next Review Date	List the date that this policy must undergo review and update.

Purpose

[company name] is committed to providing all employees with a safe and supportive working environment free of harassment, discrimination, bullying and other harmful and inappropriate actions.

The purpose of this policy is to provide an effective mechanism for addressing and resolving workplace complaints in a fair, timely, and transparent manner.

Scope

This policy applies to all [company name] employees, contractors and Interns and is related to all complaints or disputes between or from employees of [company name] and complaints from employees involving non-employees such as suppliers, vendors, customers or clients of [company name] including conflicts or complaints that involve activities outside working hours or off work premises if the parties are both connected to [company name].

Types of complaints can include:

- Harassment including sexual harassment
- Discrimination

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- Bullying
- Personal and professional conflict
- Property Disputes
- Claims of mistreatment or unfairness

Governing Legislation

Use this section to list the relevant laws and regulations. This template represents best practices only and does not ensure legal compliance. You may have additional obligations pursuant to the federal and/or provincial, state, or territory laws and regulations applicable to your jurisdiction. Consult the applicable laws and legislation, and review this policy with your legal counsel before implementation to ensure full legal compliance. For example

- Ontario Occupational Health and Safety Act
- Worksafe BC

Definitions

Complainant: Person making a complaint.

Respondent: Person against whom a complaint is made.

Procedures

Making a Complaint

Every employee has the right to make a complaint regarding workplace misconduct, harassment, mistreatment, or any other inappropriate behavior or action committed by another employee or a manager, or any other breach of company policies. Every employee also has the right to make a complaint about a situation or treatment by a

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person doing business with [company name] including vendors and suppliers or customers and clients.

Complaints can be made to supervisors, Human Resources, or to another member of management with whom the employee feels comfortable discussing the matter.

Verbal complaints can trigger the first phase of the investigation process involving an informal investigation.

Written complaint will be required before a formal investigation will begin.

All parties are expected to maintain confidentiality with regards to the complaint during the investigation process.

Documentation

All parties who are employees of [company name] and involved in a complaint should prepare and keep written notes about the events in question. The following details should be included:

- Who is involved – identify the respondent and the complainant.
- What happened – a description of the event or situation including what was said or done.
- When it happened – dates and times of the events.
- Where it happened.
- Who saw or heard it happen – the names of witnesses, if any.

Any other documents or materials related to the complaint should also be retained.

Investigation

- Upon receiving a complaint, the Human Resource Department [or insert applicable job title/department] will investigate the complaint to ensure timely and fair resolution.

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- Whenever possible and when appropriate, Human Resources will strive to resolve complaints through mediation and discussion.
- If a complaint involves possible illegal activity, including threats or incidents of harm, Human Resources may be required to notify authorities.
- The degree of formality of the investigation will depend on the seriousness of the complaint. Informal investigation conducted by a supervisor may be sufficient to resolve less serious complaints.
- In cases where the complaint includes alleged harassment or may have a serious impact on the complainant or respondent, including allegations of [harassment, sexual harassment, or discrimination], or where the respondent has refused to participate in the investigation and resolution process, the Human Resource Department [or insert applicable job title/department] will conduct a formal investigation.

Formal investigations will be conducted as follows [insert procedures and/or see below for suggestions]:

1. Written Submissions

The Human Resources Department will collect written submissions from the complainant and respondent. The submissions should include:

- A detailed account of the incident being investigated.
- Any supporting documentation.
- Names of witnesses, if applicable.

2. Interviews

Once the written submissions have been collected and considered, a designated Human Resources representative will interview the complainant, respondent and any witnesses. The interview process will provide an opportunity to substantiate the written submissions and refute points raised by the other party.

3. Decision

Following the interview process, Human Resources will consider all the available evidence and consult the relevant department to reach a decision.

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4. Notification of Decision

The complainant will also be asked for his or her input on appropriate remedy if applicable. Both the complainant and respondent will receive written notice of the decision within [insert number] days following the interview process. The written decision will include detailed reasons and remedies.

5. Review

If either party is dissatisfied with the outcome of a formal or information investigation, they may file a request review to Human Resources within 10 days of receiving the written decision. Requests must be made in writing and should include specific reasons for review. The review decision will be final.

Sanctions and Remedies

Whenever possible and if appropriate, [company name] Human Resources will strive to resolve complaints through mediation and discussion rather than disciplinary measures. However, in cases where disciplinary measures are found to be the most appropriate means of addressing the issue, [company name] will follow its established [Progressive Discipline Policy or equivalent discipline procedures].

Recommendations for remedies can be made by both complainant and individuals who conducted the investigation. Remedies may include an apology, compensation for lost earnings, or other measures as appropriate. A recommendation for remedy will be sent to the [insert appropriate title] for decision. The complainant will be given an opportunity to comment on the proposed remedy before a final decision is made.

Protection from Reprisal

Persons who make a complaint, as well as anyone else who is involved in a complaint or investigation, will not be penalized for doing so. Such actions constitute reprisal

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and are prohibited by [insert appropriate employment standards/labor code legislation].

Protection from reprisal covers [consult relevant employment standards legislation for the rules applicable to your jurisdiction]:

- Complainants
- Witnesses
- Representatives of complainants and witnesses
- Decision makers/management

Representation

The individuals involved in an internal complaint resolution process are [not] permitted to have someone represent them during formal investigation if they wish. Employees may be represented by a supervisor or a colleague.

Bad Faith Complaints

Complaints that are false, frivolous, malicious, or otherwise made in bad faith will be investigated and may lead to disciplinary measures up to, and including, termination of employment.

Policy Violations and Non-Compliance

Non-compliance and violations of this policy will be treated like other allegations of wrongdoing at [company name]. Allegations of misconduct will be investigated according to established procedures. Sanctions for non-compliance or violations of this policy include but are not limited to the following:

1. Temporary or permanent revocation of access to some or all computing and networking resources and facilities;
2. Disciplinary action according to applicable [company name] policies, up to and including termination of employment; and/or
3. Legal action according to applicable laws and contractual agreements.

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Employee Declaration

I, _____, hereby acknowledge that I have read and understand the Complaint Resolution Policy of [company name]. I agree to abide by the terms and conditions of this policy and ensure that persons working under my supervision abide by the terms and conditions of this policy. I understand that if I violate or fail to comply with this policy, I may face legal or disciplinary action according to applicable laws or [company name] policies.

Employee Signature

Date

Manager Signature

Date

Revision History

Version	Change	Author	Date of Change

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