Information about the Formal Complaint Process for Witnesses

Name of Witness: ____________________  □ Employee  □ Student  □ Other: ______________

Thank you for cooperating with this inquiry by the Office of Compliance and Equity Management (OCEM). You have been asked to meet with a representative from OCEM because we believe you may have information that could be helpful as we look into a specific situation. We ask that you be mindful of the following information as we work through this process:

• The investigator is a neutral fact finder and is not representing or advocating for any of the parties involved.
• As a participant in the university process, your full cooperation with all OCEM inquiries is expected. This means that full, complete, and truthful responses are necessary. It also means that you should comply with any request for materials. If you have related information that is not covered or requested during the meeting, you should feel free to bring that information forward.
• You are welcome to bring an individual with you on visits to OCEM to support you or serve as an advisor, advocate, union representation, or legal counsel. If, however, you choose to bring legal counsel, you must inform OCEM ahead of the meeting so that University Counsel can be scheduled into the meeting as well.
• We value confidentiality. We respect your need to have a confidante but we would like to encourage you not to share details of the investigation with others, particularly those who may be involved in some manner. This assists the investigator in conducting a clean inquiry that is not affected by gossip or hearsay. It also protects the privacy of all parties.
• Your name will not be used unless you are an annual appointment level administrator. Measures are taken to protect your identity as much as possible. However, we are unable to guarantee you will not be identified based on the testimony you provide.
• The investigator will take written notes throughout and will be audio recording the meeting. Please inform the investigator if you are planning to record the meeting in some way other than via written notes.
• Specific details of the case at hand will not be shared with you directly, but some information will be divulged to better equip you to provide relevant responses to our inquiries.
• If you become aware of new details or concerns, it is expected that you will share that information with the investigator in a timely fashion.
• You will be given the opportunity to name additional witnesses you believe may have information related to the claims. The investigator reserves the right to determine which witnesses are pertinent.
• You may be asked to meet with the investigator more than once and you will be given the opportunity to review your transcript upon request. You will not be given a copy of your transcript to keep. The investigator may contact you later to confirm details and/or gather additional information. This is not uncommon.
• Witnesses are not privy to the outcome of the investigation but will be notified when the investigation concludes via email. Please inform the investigator if you prefer to be notified via another communication method.
• Retaliation against you because of your cooperation with this process is prohibited by University policy. If you believe you have been retaliated against, you should let our office know immediately. Likewise, please take care not to take retaliatory action against anyone else for their participation in this investigation or lack thereof.
• Questions are welcome at any time during the meeting and you are always welcome to follow up later with questions or concerns to our office. Questions about scheduling meetings or about the investigation should be addressed to the investigator. Questions about the process or outcome should be addressed to Leah Gutknecht, Assistant to the President for Compliance and Equity Management.

I hereby verify that I understand the above information regarding OCEM’s process related to this situation, and my participation in and responsibilities related to that process.

___________________________________  _________________________
Signature  Date

Witness has been provided a business card of the investigator and a copy of this form.

___________________________________  _________________________
Signature of Investigator  Date