

A is a formal report submitted under the Reprisals Complaint Procedure by an individual ("Complainant") who feels they have experienced a reprisal as a result of making a report of a suspected or known Fraud under the Fraud Policy

Complaints shall be directed to the Director, Internal Audit:

Through the Confidence Line, or:

<https://queensuniversity.confidenceline.com/Queen-University>

Contact Internal Audit directly by email, letter, or telephone:

<https://www.queensu.ca/internalaudit/people-search>

Internal Audit will assemble an Intake Assessment Team promptly, to determine:

- (i) whether the matter will be referred for investigation and
- (ii) if so, the appropriate Receiving Office.

NO

- (a) the Complaint is about a matter or issues not governed by the Fraud Policy
- (b) the allegations, if proven to be true, would not constitute a Reprisal
- (c) the substance of the Complaint is already the subject matter of another internal university proceeding (e.g., a grievance under a collective agreement)
- (d) the Complaint does not contain sufficient information
- (e) the Respondent is no longer a member of the University Community
- (f) the Complaint is made more than one year after the incident(s) to which the Complaint relates. The Intake Assessment Team may accept a Complaint after the one-year period, if it is satisfied that the delay was incurred in good faith and no substantial prejudice will result to any person affected by the delay

YES

The Complainant will be referred to the appropriate Receiving Office for investigation:

- (a) Complaints that the Intake Assessment Team refers for investigation will normally be referred to Human Resources or Faculty Relations, as appropriate, to be investigated if the Respondent(s) is an employee.
- (b) If the Complaint involves a Respondent(s) who is both a student and an employee, the Intake Assessment Team will determine which office (i.e., Human Resources, Faculty Relations, or Student Conduct) will be the lead office for investigation and the Complaint will be referred to that office.

The Director, Internal Audit will advise the Complainant(s) in writing:

- a. of the reason(s) that the Intake Assessment Team decided not to refer the Complaint for investigation
- b. that the Intake Assessment Team will reconsider its decision if the Complainant(s) submits significant new information, and
- c. about appropriate alternative(s) for seeking recourse or support/recourse or