## SUMMARY OF CHANGES:

<table>
<thead>
<tr>
<th>Section</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revisions</td>
<td>Major changes throughout the policy.</td>
</tr>
</tbody>
</table>

## APPROVED:

Quincy L. Booth, Director

Date Signed: 9/21/2017
1. **PURPOSE AND SCOPE**: To implement procedures for prevention, reporting, investigating, and disciplining staff in regards to claims of sexual harassment and/or retaliation for reporting sexual harassment within the District of Columbia Department of Corrections (DOC). This directive applies to employees, contract employees and volunteers under the direction or control of the DC DOC.

2. **POLICY**. DOC has a zero tolerance policy for sexual harassment as well as retaliation for objecting to, or reporting incidents of, sexual harassment.

3. **NOTICE OF NONDISCRIMINATION**. In accordance with the DC Human Rights Act of 1977, as amended, D.C. Official Code section §§ 2-1401.01 et seq., (hereinafter, “the Act”), the District of Columbia does not discriminate on the basis of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, matriculation, political affiliation, genetic information, disability, source of income, status as a victim of an intrafamily offense, or place of residence or business. Sexual harassment is a form of sex discrimination, which is also prohibited by the Act. Discrimination in violation of the Act will not be tolerated. Violators will be subject to disciplinary action.

4. **POLICY OBJECTIVES**. The expected result of this policy is:
   a. DOC employees will have a clear understanding of what constitutes sexual harassment and retaliation, what the penalties are for engaging in such conduct, what the proper procedures are for reporting incidents of sexual harassment and related retaliation, and how such incidents are investigated within the DOC.

5. **DIRECTIVES AFFECTED**
   a. **Directives Rescinded**
      1) PP 3310.4I Sexual Harassment Against Employees (7/29/13)
   b. **Directives Referenced**. None
6. **AUTHORITY**


   b. D.C Municipal Regulations Title 4, Human Rights and Relations


   d. DC Human Rights Act of 1977, as amended, DC Code §§ 2-1401.01 et seq.

   e. D.C. Code § 2-1402.11, Prohibitions


7. **STANDARDS REFERENCED**

   a. American Correctional Association (ACA) 4th Edition Standards for Adult Local Detention Facilities 4-ALDF-7C-03.

8. **DEFINITIONS.** For the purpose of this PP, the following definitions apply:

   a. **Adverse Employment Action** - any negative change in the terms and conditions of an employee’s employment. It can include such things as transfers, shift changes, negative performance evaluations, unwarranted discipline, harassment or denial of promotion or shift requests. It also can include the creation of a hostile work environment because the employee engaged in a legally protected activity related to a claim of sexual harassment.

   b. **Complainant** - An employee who alleges he or she is the victim of sexual harassment and/or retaliation via the filing of a sexual harassment and/or retaliation complaint.

   c. **DOC OFFICE OF EEO AND DIVERSITY MANAGEMENT.** The Office of EEO and Diversity Management (EEO/DM) acts as the investigating body and disciplining authority in cases of employee, volunteer and contractor sexual harassment or related retaliation at the DOC.
d. **Disciplinary Action/Discipline** - Action taken against employees who have violated DOC policy, rules or regulations established by the District Personnel Manual (DPM), or any District of Columbia law or regulation.

e. **Equal Opportunity Specialists** – Persons who are assigned by the EEO Offices to conduct inquiries into allegations of violations of law, regulation or DOC policy.


g. **Informal Complaint**: A matter of alleged sexual harassment and/or related retaliation which an aggrieved person files either verbally or in writing within the DOC.

h. **Legally Protected Activity** - resisting, opposing or reporting sexual harassment, making oral or written complaints about sexual harassment, or testifying in, assisting in, or otherwise participating in the investigation of a sexual harassment complaint. Such activities are protected regardless of whether or not the conduct complained of is ultimately proven to have constituted sexual harassment.

i. **Notice of Complaint and Allegations** - a letter notifying an employee, contractor or volunteer that they are being investigated for an allegation of sexual harassment or related retaliation. The letter prohibits unnecessary contact between the complainant and respondent while the allegation of harassment or retaliation is investigated. However, to ensure the continued efficient operation of the agency, it does not always prohibit interaction between the complainant and the respondent as may be required to carry out their respective duties and responsibilities.

j. **Respondent** - The employee who is accused of sexual harassment and/or retaliation.

k. **Retaliation** – For purposes of this Policy and Procedure, retaliation is defined as taking, or threatening to take, an adverse action affecting an employee’s work environment or employment status, because that employee has engaged in the legally protected activity of reporting sexual harassment.
I. Sexual Harassment - Sexual harassment is defined as repeated and unwelcome sexual advances, requests for sexual favors, or verbal comments, gestures, or actions of a derogatory or offensive sexual nature by an employee, contractor or volunteer to another. This includes demeaning references to gender, sexually suggestive or derogatory comments about body or clothing, or obscene language or gestures. Simple teasing, offhand comments, or isolated incidents that are not very serious are not considered sexual harassment but may still be violations of other DOC policies or the Code of Ethics and Conduct. Policy prohibits sexual harassment when:

1) Submission to such conduct is made a term or condition of employment, e.g., placement on, or relocation from, a particular shift or housing unit, either explicitly or implicitly;

2) Submission to or rejection of such conduct by an employee is used as the basis for employment decisions affecting such employee;

3) Such conduct has the purpose or effect of unreasonably interfering with an employee’s work performance; or

4) Such conduct affects work conditions or creates an intimidating, hostile, or offensive working environment.

The following lists contained in L and M below include examples of verbal and physical sexual conduct.

m. Verbal Behavior

1) Making suggestive or sexual comments about another person’s or one’s own anatomy, figure, appearance, clothing.

2) Making suggestive sounds, for example, kissing, sucking, groaning, howling or other simulated sex noises;

3) Asking personal questions about a person’s sex life, sexual preferences, habits or history;

4) Subjecting another employee to information about your own sex life, sexual preferences, habits or history;
5) Describing sexually explicit or pornographic acts, films, dreams, or fantasies;

6) Requesting or demanding sex from another employee who has made it clear that he or she is not interested;

7) Turning work discussions to sexual topics;

8) Sexually offensive or sexist comments or off-color language, jokes, or innuendo that a reasonable person would consider to be of a sexual nature, or belittling or demeaning to an individual or a group’s sexuality or gender;

9) Referring to employees or other persons in sexist or sexual terms;

10) Repeatedly contacting an employee at work or home or initiating contact outside of the workplace about non-work related matters when the employee has made it clear that she or he has no interest in such non-work related contact;

n. Non-Verbal or Physical Behavior

1) Looking a person up and down, fixing eyes on sexual parts of anatomy;

2) Giving unwanted gifts, letters, notes;

3) Making suggestive facial gestures, such as winking, wagging the tongue, throwing kisses, whistling, licking lips;

4) Simulating sex acts;

5) Workplace sexual comments, conduct, displays, and suggestions between two willing parties that would cause a reasonable third party to be offended;

6) Displaying or disseminating sexually explicit or sexually suggestive pictures, images, objects, books, magazines, music, cartoons, or computer internet sites or references;

7) Transmitting sexually explicit, profane, obscene, intimidating, defamatory or otherwise unlawful or inappropriate material in the office, via e-mail, or downloading such materials from the Internet;
8) Giving a person a massage around the neck or shoulders, hugging, kissing, patting, or stroking a person;

9) Touching or rubbing oneself sexually in view of another person;

10) Pulling another person’s clothing off or up, or sticking a hand down another person’s clothes, or undressing in front of or exposing oneself to another person;

11) Unnecessary and inappropriate touching or physical contact, *e.g.*, brushing against a colleague’s body, touching or brushing a colleague’s hair or clothing, groping, and pinching, that a reasonable person would consider to be of a sexual nature;

12) Forcing another person to engage in activities such as dancing, drinking alcohol or coming to one’s hotel room uninvited while on travel status; or

13) Putting sexually suggestive objects in a person's desk, locker or workspace.

o. **Substantiated** – An allegation was investigated and determined to have occurred.

p. **Unfounded** – An allegation was investigated and determined not to have occurred.

q. **Unsubstantiated** – An allegation was investigated and the investigation produced insufficient evidence to make a final determination as to whether or not the event occurred.

9. **GENERAL PROHIBITION AGAINST SEXUAL HARASSMENT AND RETALIATION**

a. Each DOC employee is prohibited from engaging in sexual harassment or inappropriate sexual conduct and is required to report sexual harassment or sexual conduct when experienced or observed consistent with the procedures set forth in this policy. Each employee is protected from retaliation for complaining about or witnessing sexual harassment or sexual conduct, as defined above, against themselves or another employee.

b. Sexual/intimate relationships between employees and supervisors in the employee’s chain of command are strongly discouraged. The existence of a
sexual/intimate relationship between an employee and a supervisor will be a factor in any proceeding in which the relationship is alleged to have contributed to a hostile work environment and/or adversely affected the terms and conditions of employment. If legal action is commenced against the District of Columbia and/or a supervisor who engaged in a sexual/intimate relationship with an employee, the existence of the relationship will be a factor in the District of Columbia’s decision to provide legal representation to the supervisor.

c. Any supervisor who receives a verbal or written report alleging sexual harassment or inappropriate sexual conduct must immediately make written notification to their supervisor the EEO Manager of the EEO/DM Office.

10. PREVENTION

a. The DOC Office of Policy and Procedure (OPP) implements policies and procedures, consistent with federal and District of Columbia law, as necessary to carry out DOC’s responsibilities relating to claims of sexual harassment and/or retaliation and to ensure their zero tolerance culture is supported by enforceable policy.

b. The DOC Training Administrator designs and makes available training programs that new employees must attend promptly upon hire, and that current employees must attend at least annually that relate to sexual harassment and related retaliation.

c. The DOC Training Administrator will maintain records of employees who receive sexual harassment/retaliation training.

d. In addition, posters and other forms of communication about the DOC’s zero tolerance policy for sexual harassment and related retaliation will be made available to all persons working within the DOC and this policy shall be disseminated at all required sexual harassment trainings and signed for by all employees.

11. PROCEDURES FOR FILING A COMPLAINT

a. Hotline

Employees may contact the Sexual Harassment of Employees hotline to report allegations of sexual harassment/retaliation or to receive information on procedures for pursuing a complaint. The hotline telephone number is (202) 671-2054.
b. **Report to any DOC Supervisor or to the EEO/DM Investigator and/or EEO Manager**

1) Employees, volunteers, and contractors may report allegations to any DOC supervisor or may report verbally or in writing to the EEO/DM investigator or EEO Manager. Any DOC supervisor who receives an oral complaint of sexual harassment and/or retaliation must put the complaint in writing immediately and submit the complaint to the EEO/DM Office. Failure to do so will result in disciplinary action against the supervisor.

c. **Report to the Warden or Deputy Warden’s Office**

1) Employees, volunteers or contractors may report verbally or in writing directly to the Warden or Deputy Warden any sexual harassment or related retaliation, which will be immediately forwarded to the EEO/DM Office.

2) Complaints may be submitted either by employees and/or their representatives who believe they have experienced harassment and/or related retaliation, or by witnesses of such conduct.

d. **Time Limits**

1) An employee must initiate the complaint process with the EEO/DM Office within one year of the incident or behavior being complained of, or in the case of ongoing or continuing behavior, within one year of the most recent incident.

e. **Notice of Complaint and Allegations**

1) The EEO/DM Office, upon receiving allegations of sexual harassment, shall notify the complainant and respondent in writing that a case is open and being investigated. Notice shall also be made to the Warden and the supervisor of the open investigation (See Attachment A – Notice of Complaint and Allegation). Once the investigation is complete, notice of the finding shall be sent to the complainant and respondent within 10 business days of the completion date (See Attachment B – Notice of Case Completion and Result).

2) Any employee who is found to have engaged in such behavior will be subject to discipline that, according to the severity of the offense, may include termination.
3) Consistent with all applicable personnel laws and regulations regarding employee discipline, any corrective or adverse action against an employee for sexual harassment or retaliation will be placed in the employee's official personnel file, and will be considered a significant negative factor in DOC performance evaluations, promotion decisions and consideration for reemployment as set forth in DPM Chapter 8.

4) All current District government employees, and particularly DOC employees, are required to cooperate fully and promptly with requests by Investigators to provide interviews and other information. Any employee who, on the direct request of DOC, declines to participate in a sexual harassment investigation, may be subject to disciplinary action. If the employee is the alleged victim of sexual harassment the DOC General Counsel shall be consulted.

5) If an employee who alleges, or is alleged, or believed to be or to have been the victim of sexual harassment, declines to assist and/or participate in the investigation of the allegation, DOC may unilaterally initiate and conduct an investigation. DOC investigating staff shall require such an employee to put in writing his or her decision to decline assistance and participation in the investigation.

6) Failure of employees to attend interviews as scheduled by Investigators, and to cooperate in investigations, or failure of DOC supervisors to arrange for employee attendance, will subject the employee or supervisor to discipline. In addition, the EEO/DM may dismiss the complaint of any Complainant who does not cooperate with the investigation or who cannot be reached because they have not notified the DOC of their address or telephone number changes.

6) Upon reasonable notice, administrative leave must be submitted to the immediate supervisor. Time spent at interviews will be credited; if the interview is not scheduled for a time on the employee's regular shift.

7) Complainants and union representatives will be permitted reasonable use of official time for preparation and presentation of the complaint or to attend meetings with the EEO/DM Investigator and to attend hearings on the matter.

8) Each employee against whom an adverse action has been proposed will
be entitled to a reasonable amount of official time to prepare his or her response, not to exceed ten (10) hours of administrative leave. Such preparation will not take place at the employee’s duty station or any non-public area of a government office, unless authorized by the agency head.

9) A DOC supervisor, Office Chief/ Administrator, Deputy Director or Director may make appropriate adjustments in working conditions of a Complainant (for example, shift, post or schedule changes) while an allegation of sexual harassment and/or retaliation is being investigated or on a permanent basis as remedial relief where the EEO/DM determines that an allegation of sexual harassment or retaliation has been substantiated.

a. The EEO/DM Office and Investigators will keep all sexual harassment and retaliation complaints in confidential, unless the employee making the inquiry expressly authorizes the EEO/DM to disclose all or part of the matters discussed. Informal and Formal complaints, as well as all information gathered or generated in the investigation, will be kept confidential, except that individuals with a “need to know” (such as the Complainant, Respondent, witnesses, and management officials involved in the matter) may receive access to complaints and information gathered in the investigation.


a. A Complainant may forego filing an informal complaint with DOC, but may instead file a complaint directly with the D.C. OHR, EEOC, or any court of competent jurisdiction.

b. DOC employees who are alleging retaliation for reporting sexual harassment shall meet with an EEO Counselor at the DOC or any EEO Counselor within the District government prior to filing with the D.C. OHR. A Complainant may forego filing an informal complaint of retaliation with DOC, but may instead file a retaliation complaint directly with the EEOC or court to seek relief. All retaliation reports will be taken seriously and investigated according to policy.
13. RESPONSIBILITIES

a. Managers and Supervisors. All managers and supervisors are responsible for the following:

1) Ensuring that the policies regarding sexual harassment and retaliation are implemented and enforced.

2) Promoting a workplace that is free of sexual harassment and retaliation, and ensuring that complaints of such conduct are promptly forwarded to the EEO/DM Office in accordance with DOC Policy and Procedure.

3) Monitoring his/her workplace to ensure that incidents of sexual harassment and/or retaliation are detected promptly and that each employee is aware of DOC’s sexual harassment/retaliation policy and complaint procedures.

4) Ensuring that employees who file sexual harassment complaints are protected from retaliation.

5) Maintaining, to the greatest extent possible, the confidentiality of those employees who lodge sexual harassment/retaliation complaints, report evidence of sexual harassment or retaliation, and of those employees accused of sexual harassment while the investigation is still pending.

6) Complying with procedures for immediately forwarding complaints from employees, volunteers or contractors to the EEO/DM Office, cooperating with investigations of allegations of sexual harassment/retaliation, and carrying out remedial and disciplinary orders of the EEO/DM and Human Resources.

b. Employees. Each DOC employee is responsible for the following:

1) Not engaging in sexual harassment or retaliation for engaging in legally protected activity.

2) Reporting sexual harassment or related retaliation when it occurs.

3) Cooperating fully with the EEO/DM investigator, Human Resources Office and DOC Supervisors during and after any investigation.
14. INVESTIGATING AUTHORITY AND PROCEDURE

a. The Office of EEO and Diversity Management acts as the investigating body and disciplining authority in cases of sexual harassment or related retaliation at the DOC. Complaints made by former DOC employees, however, must be investigated by the DC Office of Human Rights.

b. **Authority of Office of EEO and Diversity Management (EEO/DM).** The EEO/DM shall investigate all complaints of sexual harassment and/or retaliation related to such complaints. The EEO/DM investigator shall decide whether the complaint meets the definition of sexual harassment, investigate such cases, issue findings, and recommend appropriate and objective discipline as the proposing official, using the Table of Appropriate Penalties, when discipline is warranted. The investigative report, findings, and discipline recommended, if applicable, are then sent to the Chief of the EEO/DM or his/her designee within 5 business days of completion.

c. The Chief of the EEO/DM will adopt or reject the investigator's findings, and recommendations for discipline, when warranted. If the Chief rejects the findings and recommendations, he or she will return the findings to the EEO investigator with an explanation regarding the basis of the remand and request further case development or review. If the Chief accepts the findings and recommendations for discipline, the Chief's review becomes final. The Chief is the deciding official and ensures that disciplinary action commensurate with the offense and in line with the Table of Appropriate Penalties is handed down to the DOC employee. For volunteers and contractors, the disciplinary deciding official is the Warden. Disciplinary decisions may be appealed through the provisions of the collective bargaining agreement or the DC Personnel Regulations Grievance Process.

d. When a finding of unfounded, unsubstantiated, or substantiated is recommended by the investigator, and reviewed and accepted by the Chief of EEO/DM, notice of the result will be made to both the respondent and complainant within 10 business days of the Chief's final review via the Notice of Case Completion and Result (Attachment B).

e. The findings of the EEO/DM Office are final unless appealed as described above. The relief awarded to Complainant by the DOC may include remedial personnel actions (including modifications of performance ratings) and back pay or shift re-assignment, for example, but shall not include compensatory damages, punitive damages, or attorneys’ fees.
15. EMPLOYEE COUNSELING

The EEO/DM Office will coordinate with the Employee Assistance Program (EAP), as well as outside providers when the EEO/DM deems necessary, to provide counseling support and referrals to individuals alleging sexual harassment and/or retaliation who request such assistance. Confidentiality regarding services provided will be maintained.

   a. Confidentiality. Informal and Formal complaints, as well as all information gathered or generated in the investigation, will be kept confidential, except that individuals with a “need to know” (such as the Complainant, Respondent, witnesses, and management officials involved in the matter) may receive access to complaints and information gathered in the investigation.

16. PENALTIES

   a. The Chief of the EEO/DM Office, in coordination with the Human Resources Office, will be responsible for ensuring that disciplinary action is recommended against persons found in violation of the agency’s sexual harassment policy. Disciplinary recommendations will be guided by the Table of Appropriate Penalties to ensure fair and appropriate discipline, and all persons found to have engaged in inappropriate conduct covered under this Policy shall be required to attend sexual harassment training.

17. DISSEMINATION

The DOC will ensure that the poster explaining employee rights and procedures for filing complaints under this Policy and Procedure is displayed permanently on employee bulletin boards and this policy will be provided at relevant employee trainings.

18. ANNUAL REVIEW AND CERTIFICATION

This PP will be reviewed at least annually and revised, as necessary.
<table>
<thead>
<tr>
<th>DISTRICT OF COLUMBIA</th>
<th>EFFECTIVE DATE:</th>
<th>Page 15 of 15</th>
</tr>
</thead>
<tbody>
<tr>
<td>DEPARTMENT OF CORRECTIONS</td>
<td>July 21, 2017</td>
<td></td>
</tr>
<tr>
<td>POLICY AND PROCEDURE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SUPERSEDES:</td>
<td>3310.4I</td>
<td>July 29, 2013</td>
</tr>
<tr>
<td>REVIEW DATE:</td>
<td>July 21, 2018</td>
<td></td>
</tr>
<tr>
<td>SUBJECT:</td>
<td>SEXUAL HARASSMENT AGAINST EMPLOYEES</td>
<td></td>
</tr>
<tr>
<td>NUMBER:</td>
<td>3310.4J</td>
<td></td>
</tr>
<tr>
<td>Attachments:</td>
<td>Attachment A - B</td>
<td></td>
</tr>
</tbody>
</table>

Attachments

Attachment A – Notification Letter
Attachment B - Notice of Case Completion and Result

DOC/PP3310.4J/7/21/17
MEMORANDUM

TO: (RESPONDENT NAME AND POSITION TITLE)

THRU: EEO Officer

FROM: (WARDEN’S NAME), Warden

DATE:

SUBJECT: Notice of Complaint and Investigation

RE: (COMPLAINANT NAME AND POSITION TITLE)

This Notice of Complaint and Investigation is issued as a result of Equal Employment Opportunity (EEO) complaint filed by (COMPLAINANT NAME) against you (RESPONDENT NAME) on (DATE).

You are required to avoid unnecessary contact with the other party while the allegation in question is being investigated. Your communication with the other party is restricted to conducting business and carrying out your job duties until you have been notified that the complaint has been resolved. You are to refrain from contacting the other party in relation to this complaint and pending investigation until final disposition.

You are reminded that confidentiality must be maintained at all times. You shall not disclose any information regarding the harassment complaint except to the investigator and your attorney or his/her representative.

These restrictions do not represent a disposition of guilt or a finding of cause, but are to ensure the integrity of the investigation and the protection of all involved. This will remain in effect until the complaint is resolved.

______________________________  ______________________________
(Print and Sign)  Date

______________________________  ______________________________
Witness  Date
Notice of Complaint and Investigation
Matter of Cpl. (COMPLAINANT NAME) (Complainant) and (RESPONDENT NAME) (Respondent)
July 12, 2016

cc: (COMPLAINANT NAME), Complainant
    EEO Officer
GOVERNMENT OF THE DISTRICT OF COLUMBIA
DEPARTMENT OF CORRECTIONS

FROM: Name of EEO Counselor
      Position Title
      Name of Agency where EEO Counselor is employed

TO: Name of Employee
     Position Title
     Address

SUBJECT: Exit Letter & Notice of Right to File a Formal Complaint

DATE: Date of Exit Letter

Dear Employee [insert name]:

On ______ [date of initial contact], you contacted me regarding a claim that you have been
________________ [discriminated/retaliated/harassed/sexually harassed] by ________ [name of person,
title, and agency] based on your ____________ [insert protected trait(s)].

Case Summary
During the internal case review process, you presented ______________ [summary of issue,
bases, and facts presented by the employee]. In response to your concerns, I reviewed the circumstances of your
case. Finally, I attempted to informally resolve the claim which was met with a [successful,
unsuccessful] outcome.

Notice of Right to File a Formal Complaint
At this time, this Exit Letter is being provided to inform you that if your complaint has not been resolved
to your satisfaction, you may file an individual or class-based discrimination complaint based on race,
color, national origin, religion, sex(including pregnancy), age, marital status, personal appearance, sexual
orientation, gender identity or expression, family responsibilities, political affiliation, disability,
matriculation, genetic information, source of income, status as a victim of an intrafamily offense, family
and medical leave act, and/or reprisal. If you choose to file a formal complaint, you must do so with the
Office of Human Rights (OHR) within FIFTEEN (15) calendar days of your receipt of this letter.

OHR also requires that you fill out an Intake Questionnaire and schedule an intake
interview with their office within FIFTEEN (15) calendar days of receipt of this letter.

The address and contact information is as follows:
A complaint shall be deemed timely if it is received or postmarked before the expiration of the fifteen (15) day filing period, or in the absence of a legible postmark, if it is received by mail within five days of the expiration of the filing period. If the complaint is not filed within the 15 calendar days, the complaint shall be dismissed by the Office of Human Rights as untimely. The complaint must be specific and contain only those issues specifically discussed with me, or those which are directly related to issues that you discussed with me.

If you retain an attorney or any other person to represent you, you or your representative must immediately notify the DC Office of Human Rights in writing. You are also required to provide change of address and/or telephone information. You and/or your representative will receive a written acknowledgement of your discrimination complaint from the appropriate OHR agency official.

__________________________________________________________
Employee Counselor (print name & signature) Date

_____________________________________________________
EEO Counselor (print name & signature) Date