








The 5-Step Workplace Investigation




Step 1 – Foundation:

-  Investigation necessary?
-  By whom (internal or 3rd party)?
-  What is your authority?
-  Choose your report writing methodology before you start.




Step 2 – Scope:

-  What are the elements of the offense(s)?
-  To whom do you report?
-  Where are the limits and boundaries?




Step 3 – Who:

-  Identify witnesses
-  Identify records and record keepers
-  Begin investigation case chronology

Step 4 – Collect background data:

-  How are things supposed to work?
-  Obtain relevant documentation/video?
-  Are we going outside the normal custom and practice (is there a hidden agenda)?

Step 5 – Investigation Plan and Documentation:

-  What's your plan?
-  Organizing complex cases.
 - Some cases require a timeline
-  Think through and prepare questions in advance.



Investigations

INTERVIEWING METHODOLOGY



Start from the periphery and work towards the center. Except perhaps the complainant.
Why does this work?

The Answer Is...

One of the best interviewing techniques involves KNOWLEDGE. Knowledge is power. This is why the person(s) that is the subject of the investigation is interviewed last. You lead the interviewee to think you know more than you know.

- Throw out tidbits at the beginning of the interview
- “I already knew that”
- “I have already spoken to a lot of people about this so this should be brief. What’s your version of the events?”
- “I learned . . . True?”
- Never mention sources
- How do you question veracity without calling someone a liar?
- Include questions that can be fact checked – Who else was there?



The Five W’s

ANSWER THESE QUESTIONS



Keep it basic without leading:
Q – What happened next?