



Sample Investigational Materials

INVESTIGATION PLANNING WORKSHEET

I. INITIAL ANALYSIS

MATTER: _____

COMPLAINANT(S): _____

DATE OPENED: _____

A. General Summary of Complaint:

___ Written complaint attached. ___ Complaint summarized below:

B. Preliminary Checklist:

- ___ Workplace safety/violence concern
- ___ Management notified/consulted
- ___ Address current status of persons involved
- ___ File opened

C. Issue Analysis

Completed ___

- | | |
|----|-----|
| 1. | 6. |
| 2. | 7. |
| 3. | 8. |
| 4. | 9. |
| 5. | 10. |

II. PLANNING

Review of Documents / Evidence

- | | |
|--|--|
| <input type="checkbox"/> Pertinent employer policies | <input type="checkbox"/> Police reports, official records |
| <input type="checkbox"/> Employee files and evaluations | <input type="checkbox"/> Pictures, charts, data |
| <input type="checkbox"/> Incident reports, memos, correspondence | <input type="checkbox"/> Evidence from project files |
| <input type="checkbox"/> Relevant e-mail or computer files | <input type="checkbox"/> Performance ratings or other data |
| <input type="checkbox"/> Other materials (list): | |
-
-
-

III. WITNESS WORKSHEET

Witness Name	Reason For Interview	Date Scheduled (Completed)

(Add additional witnesses as necessary)

SAMPLE CONFIDENTIAL MEMORANDUM

TO: Management Decision Maker
FROM: Investigator
DATE: October 12, 2017
RE: Investigation of Claim by _____.

ASSIGNMENT & ISSUES:

[General description of the assignment: e.g., Employee came to me with a complaint about her supervisor, John Doe. Employee asserts that Mr. Doe has violated the company policy against harassment/discrimination by engaging in the following conduct:]

ACTIVITY:

[Describe the activity taken during the investigation: e.g., We interviewed the following witnesses: _____. We reviewed Mr. Does personnel file and _____.]

ISSUES & CONCLUSIONS:

Issue No. 1: _____

[A short conclusion with reasons: e.g., We conclude that Mr. Doe engaged in the following acts essentially as Ms. Employee alleged.]

Issue No. 2: _____

[e.g., We conclude that this incident probably did not occur. We base this on the fact that there was no other person in the department who observed the allegation, even though many were there at the time. Mr. Doe credibly denied the allegation. Mr. Does' documentation of the event, submitted at the time, appears to be a reliable description of what occurred and there is no evidence, other than Ms. Employee, that conflicts with it.]

Issue No. 3: _____

[e.g., We are unable to determine with reasonable certainty that this event occurred. Explain why: e.g., There were no witnesses except for the parties themselves, and no corroborating evidence of any kind; both witnesses seemed sincere and credible; no documents or other evidence exists to corroborate either party's claims; there is no record in the past to suggest that any event like this had occurred at any other time.]

RECOMMENDED ACTION:

[List any recommended discipline. Identify any additional training or communication needs. Specify clearly what actions must be taken to put a stop to any improper behavior or action.]