Workplace Investigation Report

Confidential: prepared at the request of [HR / Legal]. [If counsel is directing the investigation: Privileged and confidential, prepared at the direction of counsel.] Write in neutral, factual language. Make one finding per allegation. Attach witness statements, documents and the evidence log. Store in the investigation file, not the personnel file.

1. CASE INFORMATION

Case number

Date complaint received

How received

☐ Complaint form ☐ Verbal report to HR ☐ Report to manager ☐ Hotline / anonymous
☐ Agency charge ☐ Observed by management

Investigator name and title

☐ Investigator independence confirmed (no reporting line or personal link to parties)

Investigation start date

Report date

Policy or policies involved

2. PARTIES

Complainant (name, title, department, manager)

Respondent(s) (name, title, department, manager)

Witnesses interviewed (name, title, date interviewed)

Witnesses identified but not interviewed, and why

3. ALLEGATIONS

Allegation 1 (specific: who, what, when, where)

Allegation 2

Allegation 3

Interim measures taken during the investigation (and dates)

4. EVIDENCE REVIEWED

Documents and records (emails, chat logs, schedules, timeclock data, call recordings, CCTV, prior complaints)

Evidence requested but not available, and why

Site visit or other observation

5. INTERVIEW SUMMARIES

Complainant interview: date, who was present, summary of account

Respondent interview: date, who was present, response to each allegation

Witness interviews: date and summary for each

Follow-up interviews (if any)

6. ANALYSIS AND CREDIBILITY

Undisputed facts

Disputed facts

Credibility assessment (consistency, corroboration, plausibility, motive, demeanor only as supporting factor)

7. FINDINGS

Standard of proof used

☐ Preponderance of the evidence (more likely than not) ☐ Other (state)

Allegation 1 finding

☐ Substantiated ☐ Not substantiated ☐ Inconclusive

Allegation 1 reasons

Allegation 2 finding

☐ Substantiated ☐ Not substantiated ☐ Inconclusive

Allegation 2 reasons

Allegation 3 finding

☐ Substantiated ☐ Not substantiated ☐ Inconclusive

Allegation 3 reasons

Policy violations found (policy name and section)

Other issues identified that were outside the allegations

8. RECOMMENDATIONS AND CLOSURE

Recommended action for respondent (none, coaching, training, warning, suspension, termination)

Recommended action for the team or organization (training, policy change, schedule or reporting-line change)

Steps to prevent retaliation and planned check-ins with complainant

Outcome communicated to complainant (date, by whom)

Outcome communicated to respondent (date, by whom)

Decision-maker name and title

Investigator signature

Date

Decision-maker signature

Date

INVESTIGATION CHECKLIST

- [ ] Log the complaint and assign a case number the day it is received
- [ ] Assess safety and decide on interim measures that do not disadvantage the complainant
- [ ] Appoint an investigator with no reporting line or personal link to the parties
- [ ] Issue a document preservation notice for emails, chats, recordings and CCTV
- [ ] Write an investigation plan: allegations, witnesses, documents, order of interviews
- [ ] Interview the complainant first, then witnesses, then the respondent; re-interview as needed
- [ ] Give the respondent each allegation in enough detail to respond
- [ ] Remind every interviewee about non-retaliation and confidentiality to the extent allowed by law
- [ ] Have each interviewee review and sign a witness statement or the investigator's notes
- [ ] Make a finding on each allegation using the stated standard of proof
- [ ] Send the report to the decision-maker; the investigator recommends, management decides
- [ ] Close the loop with both parties and schedule a retaliation check-in at 30 and 90 days

CORE INVESTIGATION INTERVIEW QUESTIONS

- [ ] Complainant: Tell me in your own words what happened, starting from the beginning.

- [ ] Complainant: When and where did this happen? Who else was there or nearby?
- [ ] Complainant: What exactly was said or done? Use the words as closely as you remember them.
- [ ] Complainant: Has this happened before? Did you tell anyone at the time?
- [ ] Complainant: Do you have messages, photos or other records? Who else should I talk to?
- [ ] Respondent: I need to put some concerns to you. On [date], it is reported that [specific allegation]. What is your account?
- [ ] Respondent: Is there anyone who could confirm your account, or any records I should look at?
- [ ] Respondent: How would you describe your working relationship with [complainant]?
- [ ] Witness: What did you see or hear on [date] at [location]? What did you do afterward?
- [ ] Witness: Has anyone spoken to you about this matter since it happened?
- [ ] All: Is there anything else I should know that I have not asked about?