

Appendix C: Investigation Checklist

CONFIDENTIAL

Case Information

Case Number: _____

Date Investigation Initiated: _____

Investigator(s): _____

Case Type: ☐ Harassment ☐ Discrimination ☐ Retaliation ☐ Policy Violation ☐ Safety Issue ☐ Ethical Violation ☐ Other: _____

Priority Level: ☐ High ☐ Medium ☐ Low

Estimated Completion Date: _____

Phase 1: Initial Assessment and Planning

Pre-Investigation Activities

☐ Complaint received and logged

- Date: _____
- Received by: _____

☐ Initial assessment completed

- Severity level determined
- Urgency evaluation completed
- Resource requirements identified

☐ Investigator assigned

- Conflict of interest check completed
- Qualifications verified
- Training current

☐ Investigation plan developed

- Scope defined
- Timeline established
- Key issues identified

☐ **Interim measures considered/implemented**

- Separation of parties (if applicable)
- Confidentiality reminders issued
- Support resources provided

Documentation Setup

☐ **Investigation file created** ☐ **Chain of custody procedures established** ☐ **Confidentiality protocols confirmed** ☐ **Legal/HR consultation completed** (if required)

Phase 2: Evidence Gathering

Document Collection

☐ **Relevant policies identified and collected** ☐ **Personnel files reviewed**

- Complainant: ☐ Complete
- Respondent: ☐ Complete
- Witnesses: ☐ Complete

☐ **Electronic evidence preserved**

- Emails: ☐ Collected ☐ Analyzed
- Computer files: ☐ Collected ☐ Analyzed
- Security footage: ☐ Collected ☐ Analyzed
- Phone records: ☐ Collected ☐ Analyzed

☐ **Physical evidence secured**

- Photos taken: ☐ Yes ☐ No ☐ N/A
- Documents collected: ☐ Yes ☐ No ☐ N/A
- Other physical items: ☐ Yes ☐ No ☐ N/A

☐ **Third-party records obtained** (if applicable)

- Medical records: ☐ Yes ☐ No ☐ N/A
 - Police reports: ☐ Yes ☐ No ☐ N/A
 - External correspondence: ☐ Yes ☐ No ☐ N/A
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Phase 3: Interviews

Interview Planning

☐ Interview sequence planned ☐ Interview locations secured ☐ Interview questions prepared ☐

Recording/note-taking method determined

Complainant Interview

☐ Initial interview conducted

- Date: _____
- Duration: _____
- Location: _____

☐ Follow-up interview(s) conducted (if needed)

- Date: _____
- Purpose: _____

☐ Interview summary reviewed with complainant ☐ Additional information requested/provided

Respondent Interview

☐ Notice provided to respondent

- Date notice given: _____
- Method of notice: _____

☐ Initial interview conducted

- Date: _____
- Duration: _____
- Location: _____

☐ Follow-up interview(s) conducted (if needed)

- Date: _____
- Purpose: _____

☐ Interview summary reviewed with respondent ☐ Additional information requested/provided

Witness Interviews

Witness 1: ☐ Interview conducted

- Name: _____
- Date: _____
- Relevance: _____

Witness 2: ☐ Interview conducted

- Name: _____
- Date: _____
- Relevance: _____

Witness 3: ☐ Interview conducted

- Name: _____
- Date: _____
- Relevance: _____

☐ **All identified witnesses contacted** ☐ **Expert witnesses consulted** (if applicable)

Phase 4: Analysis and Findings

Evidence Analysis

☐ **All evidence catalogued and organized** ☐ **Timeline of events constructed** ☐ **Credibility assessments completed**

- Complainant credibility: _____
- Respondent credibility: _____
- Witness credibility: _____

☐ **Corroborating evidence identified** ☐ **Contradictory evidence identified** ☐ **Gaps in evidence noted**

Policy Review

☐ **Applicable policies identified** ☐ **Policy violations assessed** ☐ **Precedent cases reviewed** ☐ **Legal compliance verified**

Factual Determinations

☐ **Facts established by preponderance of evidence** ☐ **Disputed facts identified** ☐ **Credibility determinations made** ☐ **Conclusions supported by evidence**

Phase 5: Reporting and Documentation

Investigation Report

☐ **Draft report prepared**

- Executive summary included

- Methodology described
- Findings detailed
- Conclusions stated
- Recommendations provided

☐ Report reviewed by supervisor/legal counsel ☐ Final report completed ☐ Report formatting and confidentiality markings applied

Quality Assurance

☐ Investigation thoroughness verified ☐ Procedural compliance confirmed ☐ Documentation completeness checked ☐ Timeline requirements met

Phase 6: Resolution and Follow-up

Decision Implementation

☐ Appropriate authority notified of findings ☐ Disciplinary action determined (if applicable) ☐ Corrective measures identified ☐ Policy changes recommended (if applicable)

Communication of Results

☐ Complainant notified of outcome

- Date: _____
- Method: _____

☐ Respondent notified of outcome

- Date: _____
- Method: _____

☐ Relevant supervisors/management notified ☐ Appeal rights explained (if applicable)

Post-Investigation Activities

☐ Monitoring plan established (if applicable) ☐ Training needs identified ☐ Workplace climate assessment conducted (if needed) ☐ File retention procedures followed

Investigation Quality Metrics

Timeliness

Target completion date: _____ Actual completion date: _____
Delays encountered: _____

Reasons for delays: _____

Thoroughness

☐ All relevant evidence collected ☐ All witnesses interviewed ☐ All policies considered ☐ All procedures followed

Fairness and Impartiality

☐ Both parties given equal opportunity to present information ☐ Conflicts of interest avoided ☐ Bias considerations addressed ☐ Due process followed

Special Considerations Checklist

Sensitive Cases

☐ Trauma-informed approach used (if applicable) ☐ Cultural considerations addressed ☐ Language barriers accommodated ☐ Disability accommodations provided

Legal Considerations

☐ Attorney-client privilege respected ☐ Statutory reporting requirements met ☐ Union notification completed (if applicable) ☐ External agency coordination (if required)

Risk Management

☐ Safety concerns addressed ☐ Retaliation prevention measures implemented ☐ Confidentiality maintained ☐ Public relations considerations evaluated

Final Sign-Off

Investigation completed by: _____

Signature: _____

Date: _____

Reviewed by: _____

Signature: _____

Date: _____

Notes and Additional Comments:

Lessons Learned/Process Improvements:
