Workplace Investigation Report Template

**template**

08

**Fall**



Investigation report template

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Instructions for Using This Template

Once you have completed the template, you can remove all the instructions (including these ones) from your final document.

1. Select the "Developer" tab from the top panel in Microsoft Word.
2. Click on "Restrict Editing". A panel will appear on the right.
3. Click on the "Stop Protection" button at the bottom of the panel.
4. Edit the document as desired and save.

**NOTE:** Once you select "Stop Protection" you will no longer be able to use the drop-down fields in the document, so ensure you have completed the fields before doing this.

# Case Information

Instructions

If the referral is a known employee, fill in the source’s employment details using the combination of fields and drop-down lists. You may need to contact human resources to get this information.

\*In a case management solution, these details can be extracted automatically from the human resources database to complete the fields.

Investigator:        
  
Case Number:        
  
Date Case Recorded: (M/D/YY)        
  
Date Case Assigned: (M/D/YY)

Referral Source

Reported By:         
  
Email:        
  
Work Phone:        
  
Status:   
  
Job Code:        
  
Hire Date: (M/D/YY)        
  
Location:        
  
Employee ID:        
  
Department ID:        
  
Report Date: (M/D/YY)        
  
Incident Date: (M/D/YY)

Allegation details

Case Type:   
  
Allegation Type:

Alleged Victim:

Supervisor:

Allegation Details:

Subject of Allegation

Name:        
  
Email:

Work Phone:        
  
Status:

Job Code:        
  
Hire Date: (M/D/YY)

Location:        
  
Employee ID:        
  
Department ID:

# Investigation Plan

Instructions

Keep the scope of the investigation focused narrowly on the allegation presented.

For example: The investigation will focus on the tip received through the whistleblower hotline. The objective of the investigation is to determine whether the incident reported happened.

Investigation Scope:

# Case Notes

Instructions

Record a brief description of each action taken during the investigation. This will become your investigator diary, showing everything done during the investigation, who did it and when it was done. This is invaluable if you are ever challenged on the timeliness or thoroughness of your investigation.

Action #1:

Action Type:

Responsible:

Date Completed: (M/D/YY)

Description:

Action #2:

Action Type:

Responsible:

Date Completed: (M/D/YY)

Description:

Action #3:

Action Type:

Responsible:

Date Completed: (M/D/YY)

Description:

Action #4:

Action Type:

Responsible:

Date Completed: (M/D/YY)

Description:

# Information Interview Summaries

Instructions

Information interview summaries are designed to stand alone as a record of who was interviewed, by whom, where and when. These pages can be produced as a simple record of interviews conducted, as opposed to the longer version that follows in the next section.

As you complete each field in this section, the information will populate the corresponding fields in the following section.

interview #1:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

interview #2:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

interview #3:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

interview #4:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

# Interview Reports

Instructions

When providing the credibility assessment, avoid making assumptions about the subject’s behavior as an indicator of truthfulness. For example, while avoiding eye contact might be interpreted as a sign of deception for one person it could be a cultural norm for another.

In the interview notes fields provide a skeleton of what you said during the introduction, incident overview and interview conclusion fields. For example:

Introduction:

* Explained the purpose of the interview
* Explained my role as lead investigator
* Reviewed confidentiality concepts
* Gave overview of protection against retaliation
* Explained interview ground rules

Interview Conclusion:

* Thanked witness for honesty and time
* Reviewed confidentiality concepts
* Obtained signature on witness interview report

interview #1:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

interview #2:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

interview #3:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

interview #4:

Conducted By:

Interview Subject:

Interview Location:

Interview Date: (M/D/YY)

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

# Exhibit List

Instructions

List all attachments and evidence that are related to the case. Examples are investigation interview reports, performance reviews, emails, video files, etc.

#1:

#2:

#3:

#4:

#5:

#6:

# Recommendations

Instructions

Draw a conclusion. For example: After reviewing the documentary evidence combined with the interviews, it appears that the allegation is credible.

Make recommendations. For example: We recommend that disciplinary action be taken with Jerry Jones.

Provide an action plan. For example: All parties should be contacted in six months for follow-up.

Final Investigative Findings:

Final Recommendations:

Organizational Action Plan: