

Name: \_\_\_\_\_

To: \_\_\_\_\_

From: \_\_\_\_\_

Re: \_\_\_\_\_

**INVESTIGATION BACKGROUND**

Date allegation received by whom: \_\_\_\_\_

Reported by: \_\_\_\_\_

1-2 sentences summarizing the allegations made

\_\_\_\_\_  
\_\_\_\_\_

Summary of events that led up to the decision to begin the investigation

\_\_\_\_\_  
\_\_\_\_\_

Date investigation started: \_\_\_\_\_ Date completed: \_\_\_\_\_

Investigation team members and roles performed

Name: \_\_\_\_\_ Role in investigation: \_\_\_\_\_

Name: \_\_\_\_\_ Role in investigation: \_\_\_\_\_

Name: \_\_\_\_\_ Role in investigation: \_\_\_\_\_

Name: \_\_\_\_\_ Role in investigation: \_\_\_\_\_

Any special circumstances, obstacles or procedures used

\_\_\_\_\_  
\_\_\_\_\_

Any interim actions taken: \_\_\_\_\_

Responsible party: \_\_\_\_\_ Date: \_\_\_\_\_

**INVESTIGATION BACKGROUND**

Provide a summary of the allegation made by the Complainant. Include any details provided by the Complainant that he/she believe supports the allegation(s).

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## INVESTIGATION OVERVIEW

Complainant: \_\_\_\_\_  
Name: \_\_\_\_\_ Division: \_\_\_\_\_ Title: \_\_\_\_\_  
Interview Location: \_\_\_\_\_ Date: \_\_\_\_\_

Witness 1: \_\_\_\_\_  
Name: \_\_\_\_\_ Division: \_\_\_\_\_ Title: \_\_\_\_\_  
Relationship: \_\_\_\_\_  
Interview Location: \_\_\_\_\_ Date: \_\_\_\_\_

Witness 2: \_\_\_\_\_  
Name: \_\_\_\_\_ Division: \_\_\_\_\_ Title: \_\_\_\_\_  
Relationship: \_\_\_\_\_  
Interview Location: \_\_\_\_\_ Date: \_\_\_\_\_

Protocols Reviewed: \_\_\_\_\_

Documents/Evidence (to be) Reviewed (including any forensic efforts): \_\_\_\_\_

## GUIDELINES / POLICIES

List all applicable company policies that may apply in this situation:

Policy: \_\_\_\_\_

Policy: \_\_\_\_\_

## INVESTIGATION KEY FINDINGS

Attach a document containing the following information:

- Summarize or bullet key factual findings from the interview process and document review.
- Detail what happened, preferably in chronological order.
- Provide any facts related to what occurred after the situation.
- Include any conflicting or inconsistent information.
- Make credibility assessments of the participants.
- Determine if a violation of policy has occurred.
- Do not make legal conclusions.

## CONCLUSION

Based on the investigation, the analysis of the interviews and supporting documentation, it was determined that the allegation(s) raised has (have) been:

Substantiated     Unsubstantiated     Inconclusive

## ACTIONS TO BE TAKEN

Outline remediation and/or corrective action as well as method of follow-up and workplace healing that may be required.

Name of Party: \_\_\_\_\_ Action: \_\_\_\_\_ Date: \_\_\_\_\_

Name of Party: \_\_\_\_\_ Action: \_\_\_\_\_ Date: \_\_\_\_\_