

## INVESTIGATION CHECKLIST

Date: \_\_\_\_\_ Completed by: \_\_\_\_\_

Complainant: \_\_\_\_\_ Subject: \_\_\_\_\_

1. **Contact H.R. Department for assistance as soon as a complaint has been made. All complaints must be investigated.**
2. Instruct everyone involved (i.e. complainant, accused, witnesses and investigators), not to discuss the complaint with anyone. Explain that the investigation is confidential. Explain that we have not made any decision on whether there will be discipline. However, if the confidentiality of the investigation is breached there will be discipline.
3. Listen to the complainant. Take all reports of harassment seriously, even if the complaint appears questionable.
4. Keep an open mind and maintain professionalism.
5. Gather facts. Get as much detail as possible.
6. Get the complainants' version (with assistance from H.R.) on the who, what, when, where, why and how. Avoid leading questions.

Who was involved? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

When did the events happen? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Where did it happen? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What exactly was done or said? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Did the conduct occur during work time or after hours? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Were there any witnesses? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What was the claimant's reaction, and what did they do about it? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Is this the first time this happened? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are there any notes, recordings, e-mails, or anything else that may have been exchanged between the complainant and the accused? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

How can we resolve the problem? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Can the complainant continue to work for or with the accused? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Will productivity be affected? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Ask the complainant if they might need counseling (offer EAP). \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Determine the time relationship from the time the behavior began until the complaint was reported. Prepare a chronology of events.
8. Is the evidence convincing enough and severe enough to warrant an immediate termination?
9. Do not say anything in regards to the accused's character, job performance, or family life.

10. Get the accused's version (with assistance from H.R.) on the who, what, when, where, why and how. Avoid leading questions. Give them a full and fair opportunity to tell you their recollection of the events. Get as much detail as possible.

- Explain to the accused that the charges are serious and a thorough investigation is taking place before reaching any conclusions. Announce that the company's sole interest is determining the facts. Prohibit the accused from communicating with the complainant, and warn the accused of consequences of retaliation.

Identify the relationship of the accused to the complainant. \_\_\_\_\_

\_\_\_\_\_

Was there a prior relationship between the parties? \_\_\_\_\_

\_\_\_\_\_

How long have the parties known each other? \_\_\_\_\_

\_\_\_\_\_

Is there a history of group or individual socializing? \_\_\_\_\_

\_\_\_\_\_

11. Observe the reaction of the accused to the charges.
- Note whether there is surprise, anger or disbelief.
  - Describe details of the complaint and note areas of disagreement between the complainant and the accused.
  - If the complaint is denied, probe further to determine the background, reasons and motivation for the complaint.

12. Interview the supervisor if necessary. Discuss any issues with either party (i.e. disciplinary, behavior, etc.). Find out if the complaint was reported to the supervisor or if the supervisor knew of the situation.

13. Interview witnesses.

14. Prepare written report of findings. H.R. will review the reports and make recommendations based on the information provided.

15. Advise the claimant and accused of the outcome.