

Use this document to plan your investigation. If changes to the information in the plan occur during the course of your investigation, they can be recorded in the notes section on each page.

INVESTIGATION PLAN TEMPLATE

- 1. Investigation Overview PAGES: 3 5
- 2. Scope of the Investigation PAGE: 6
- 3. Investigation Steps
 PAGES: 7 15
- 4. Costs and Budget PAGE: 16
- 5. Confidentiality
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Log intake, investigator assignment and dates related to your investigation.

PAGE: 3

PLAN

Organize your investigation interview appointments.

PAGE: 11

ORGANIZING

Forecast your budget, schedule and unforseen costs.

PAGE: 16



Investigation Overview

NOTES:



TIP:

The complaint summary should include only the facts: Who made the complaint, when, how and what he or she said.

INVESTIGATION OVERVIEW RISKS TO THE INVESTIGATION Flight risk for suspects: Destruction of documents: Anticipated delays: Lack of cooperation: Fear of reprisal: Collusion between witnesses:

NOTES:



If there is a risk that important electronic evidence may be destroyed, take immediate steps to preserve it.

LEARN MORE >

Watch this webinar on Identifying and Collecting Digital Evidence

Other risks:

INVESTIGATION OVERVIEW INVOLVED PARTIES Complainant(s): Alleged wrongdoer(s): Witnesses: Other involved parties or agencies:

NOTES:



Use your words carefully when referring to those involved in the complaint. Avoid words such as "victim" and "accused" as they can appear to lead to a particular conclusion. Stick with neutral language.

Scope of the Investigation

SOURCES OF EVIDENCE Documents:
Witnesses:
Expert input:
OTHER SOURCES OF INFORMATION Employee handbook:
Applicable laws:
Company policies:
Research related to the misconduct:
Areas not being investigated and why:

NOTES:



TIP

Beware of "scope creep". To learn more, read 3 Tips to Avoid Scope Creep in Workplace Investigations

Investigation Steps

LIST OF ACTIVITIES TO BE PERFORMED Activity: Person responsible: Time frame: Activity: Person responsible: Time frame: Activity: Person responsible: Time frame: Activity: Time frame: Person responsible:

NOTES:		



TIP

Investigation steps could include such activities as:

- Requesting video footage from an incident location
- Reserving a room for investigation interviews
- Contacting outside experts for forensic analysis, legal advice, translation, etc.
- Making interview appointments
- Communicating with the IT department to gather evidence

LIST OF ACTIVITIES TO BE PERFORMED

Activity:	
Person responsible:	Time frame:
Activity:	
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INTERVIEW PLAN WITH LOCATIONS

Interview Subject	
Location:	Date/Time:
Interview Subject	
Location:	Date/Time:
Interview Subject	
Location:	Date/Time:
Interview Subject	
Location:	Date/Time:

NOTES:



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INVESTIGATION STEPS DOCUMENT MANAGEMENT Where will documents be stored: How will documents be recorded: Who will have access to them: **COMMUNICATION PLAN** Who will have access to case information: Who will have specified access to certain information: Who will not have access to case information: Will law enforcement be involved?

NOTES:



LEARN MORE >

Wondering whether to involve law enforcement? Read When to Report Employee Misconduct to Police

Costs and Budget

Costs to be incurred: FORENSIC EXPERTS LEGAL ADVICE TRAVEL AND RELATED COSTS **TRANSLATION TRANSCRIPTION ADMINISTRATIVE COSTS E-DISCOVERY TIMETABLE** Interviews completed Evidence gathered Investigation report

NOTES:



TIP

When outsourcing e-discovery for a sensitive case, it's important to choose a vendor that can guarantee the integrity and security of the data collected.

LEARN MORE >

Read 5 Tips for Choosing an E-Discovery Vendor in a Workplace Investigation

Confidentiality

Media:
Other employees:
General public:
Concerns not covered elsewhere in the plan:



TIP

In accordance with a recent NLRB ruling, employers must not require that employees keep details of an investigation confidential without a legitimate, documented reason.

LEARN MORE >

For more information on the confidentiality ruling, watch The NLRB Confidentiality Ruling Affects Your Next Investigation.

Expand Your Expertise

Improve your investigation skills and your career.

As thought leaders in the investigations space, i-Sight publishes helpful eBooks, guides, cheat sheets and templates and offers free bi-monthly webinars on topics related to investigations, ethics and compliance and corporate security.

With a single focus on investigative case management solutions and a 16-year track record of successful implementations, i-Sight is the global leader in configurable case management software for investigations.

IF YOU HAVE ANY QUESTIONS:

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2255 Carling Ave. Suite 500 Ottawa, Ontario K2B 7Z5 Canada

EMAII

sales@i-sight.com media@i-sight.com support@i-sight.com

PHONE

1-800-465-6089 1-613-244-5111

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