


Workplace Investigation Report Template

TEMPLATE



A well-written workplace investigation report is the most effective way to demonstrate that a fair, thorough and timely workplace investigation was conducted. Use this template to organize your investigation information in a logical, organized and comprehensive investigation report.

INVESTIGATION REPORT TEMPLATE

1. Case Information
 2. Investigation Plan
 3. Case Notes
 4. Information Interview Summaries
 5. Interview Reports
 6. Exhibit List
 7. Recommendations
-

CASE NOTES

Record actions taken and dates completed to create a chronological record of everything that happened in the investigation.

SECTION 3

INTERVIEW REPORTS

Interview reports are brief records of each interview that took place, including the names of the participants, location, time, date and outcome.

SECTION 5

RECOMMENDATIONS

Draw a conclusion, make final recommendations and recommend an action plan for follow-up.

SECTION 7

Case Information

Investigator:

Case Number:

Date Case Recorded:

Date Case Assigned:

REFERRAL SOURCE

Reported By:

Email:

Work Phone:

Status:

Job Code:

Hire Date:

Location:

Employee ID:

Department ID:

Report Date:

Incident Date:

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.



TIP:

If the referral source is anonymous, write "anonymous" and the vehicle used for the referral (i.e. hotline) in the "reported by" field.

CASE INFORMATION

ALLEGATION DETAILS

Case Type:

Allegation Type:

Alleged Victim:

Supervisor:

Allegation Details:

SUBJECT OF ALLEGATION

Name:

Email:

Work Phone:

Status:

Job Code:

Hire Date:

Location:

Employee ID:

Department ID:

INSTRUCTIONS

Choose a case type from the drop-down list then modify the case with an allegation type, such as sexual (for harassment), gender (for discrimination) or procurement (for fraud). If there is no allegation type, leave this field blank.

You may need to contact human resources to gather details for this section.

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



TIP:

When furnishing the allegation details, use language carefully to avoid the appearance of bias. For example, do not refer to the subject of the allegation as the "accused".

Investigation Plan

Investigation Scope:

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.



TIP:

See 3 Tips to Avoid Scope Creep in Investigations

Case Notes

ACTION #1:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #2:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #3:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #4:

Action Type:

Responsible:

Date Completed:

Description:

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.



TIP:

Use this section to document all actions taken. Case Notes provide a chronological record of the entire investigation.

CASE NOTES

ACTION #5:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #6:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #7:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #8:

Action Type:

Responsible:

Date Completed:

Description:

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.

CASE NOTES

ACTION #9:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #10:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #11:

Action Type:

Responsible:

Date Completed:

Description:

ACTION #12:

Action Type:

Responsible:

Date Completed:

Description:

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.

Information Interview Summaries

INTERVIEW #1:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

INTERVIEW #2:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

INTERVIEW #3:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

INTERVIEW #4:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

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.



TIP:

It's important to choose an interview location that is private and free of distractions, but not intimidating.

INFORMATION INTERVIEW SUMMARIES

INTERVIEW #5:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

INTERVIEW #6:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

INTERVIEW #7:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

INTERVIEW #8:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

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.



TIP:

It's important to choose an interview location that is private and free of distractions, but not intimidating.

Interview Reports

INTERVIEW #1:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

INTERVIEW REPORTS

INTERVIEW #2:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

INTERVIEW REPORTS

INTERVIEW #3:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

INTERVIEW REPORTS

INTERVIEW #4:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

INTERVIEW REPORTS

INTERVIEW #5:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

INTERVIEW REPORTS

INTERVIEW #6:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

INTERVIEW REPORTS

INTERVIEW #7:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

INTERVIEW REPORTS

INTERVIEW #8:

Conducted By:

Interview Subject:

Interview Location:

Interview Date:

MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

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



TIP:

A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

Exhibit List

1

2

3

4

5

6

INSTRUCTIONS

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



TIP:

If you are using case management software, you can upload all digital evidence and exhibits to the case file.

Recommendations

Final Investigative Findings:

Final Recommendations:

Organizational Action Plan:

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.



TIP:

Resist the temptation to find that the investigation was inconclusive. If you can't come to a conclusion, review the evidence again or investigate further.



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