

Consistent processes, comprehensive documentation and strong capable investigators are all critical to mitigate the potential legal and financial liabilities associated with workplace issues. The *HR Acuity Investigation Case File Review* ensures quality and comprehensive investigations are conducted in your organization.

- Review cases in progress to ensure they are comprehensive and defensible.
- Review closed cases to identify gaps in internal processes and assess investigators' capabilities.

**INSTRUCTIONS:** Read through the contents of the investigation file and indicate if the documents noted are available and meet the criteria listed. While every case will be different, a pattern of "NO" responses could indicate more fact-finding is required or there is an opportunity to improve your internal processes.

Case Name: \_\_\_\_\_ Investigator: \_\_\_\_\_ Date of Investigation: \_\_\_\_\_

**Part 1: THE INVESTIGATION REPORT**

YES NO

1. The Case File contains a final investigation report (if no, skip to Part 2)		
<b>The Investigation Report contains the following:</b>		
2. Date and manner in which your organization was notified of the complaint		
3. Clear statement(s) of the allegation or allegations made by the complainant		
4. List of applicable company policies (with date/version)		
5. List of all involved parties contacted including, full name, title, date and location of interview		
6. Names and titles of investigation team members, and roles performed, including the decision maker		
7. List of documents and evidence reviewed during the investigation (including any forensic efforts if applicable)		
8. A section with bulleted facts, referencing source, uncovered during investigation		
9. An analysis of the facts uncovered during the investigation including credibility assessments of those involved		
10. Allegation deposition—Was there merit to the claim made? *		
11. Remedial actions that were taken as a result of the investigation including dates taken *		
12. Indication of how the investigation resolution was communicated to involved parties *		
13. Based solely on the information in the investigation report, did the investigator come to reasonable conclusions from the facts/analysis presented?		

\* Some organizations maintain this information separate from the investigation report. Consult with your legal advisor to clarify expectations and consistent practices.

**Part 2: THE CASE FILE CONTAINS...**

YES NO

14. Investigation Report (final version only—no drafts)		
15. Interview notes for each of the involved persons cited in the Investigation Report		
16. Copy of your organization's policy documents identified within the Investigation Report		
17. Other evidentiary documents or materials identified in Investigation Report		
18. If applicable, initial written notification of allegation		
19. If applicable, indication that legal counsel was provided during investigation		

**Part 3: THE INTERVIEW NOTES**

YES NO

20. The interviews notes are legible and easy to read		
21. The interview notes clearly state the name of the Interviewee, role in the investigation, date and location of interview, as well as the name of the Interviewer		
22. The interview notes indicate that protocols regarding the fact-finding process (e.g., confidentiality, non-retaliation, and the requirement to cooperate and provide truthful information, etc.) were reviewed prior to starting the interview		
23. The interview notes are easy to follow and the progression made by the Interviewer is understandable		
24. The notes indicate that the Interviewee was asked to provide additional documents or names of parties that he/she believed would be relevant to the fact-finding process		

NOTE: The purpose of this review is to help identify inconsistencies of process and training needs. It is not meant to assess the facts related to any event, conclusions reached or remediation implemented and is no guarantee of favorable outcomes to any legal actions or administrative proceedings related to the case.