



INVESTIGATION REPORT TEMPLATE



Investigator: [Name], [Title]

Date of Complaint:

Name of Complainant:

Start Date of Investigation:

End Date of Investigation:

I. INVESTIGATIVE RESOURCES

Documents Reviewed:

- [Source Document]
- [Source Document]
- [Source Document]

Interviewees:

- [Interviewee Name, Title], [Date(s)]
- [Interviewee Name, Title], [Date(s)]
- [Interviewee Name, Title], [Date(s)]

Management Briefed on Complaint and Investigation:

- [Name], [Title], [Date(s)] re: [topic discussed]
- [Name], [Title], [Date(s)] re: [topic discussed]

II. COMPLAINT DETAILS

[Description of Complaint]

III. FACTUAL FINDINGS

Allegation 1: [summary of complaint allegation (e.g., my supervisor gave me a written warning for tardiness, but not my male co-worker)]

Findings: [This section is for facts. Recite factual findings. Discuss the steps that you undertook to investigate the facts and which sources supported your factual findings.]

Ex. When did the shift start? When did the employee arrive? Was the employee disciplined? Did the employee provide documentation to excuse the tardiness? Was the documentation sufficient? Same for the co-worker.]

Assessment: [Substantiated/Not Substantiated/Cannot Determine Either Way] – This section is for a conclusion about whether there was a violation. Was the allegation of a violation of policy, law, or ethics substantiated? The facts in the case may be substantiated, but that does not equate to the allegation of wrongdoing being substantiated. Often the underlying facts will be true, but the allegation of wrongdoing will not be true; in that case, the Assessment is “Unsubstantiated.” In some cases, the investigation may not have a clear outcome, whether based on lack of corroboration or some other factor. In that case, the outcome is inconclusive.

Ex. If the supervisor issued a written warning, that is not enough to decide whether the allegation of wrongdoing is substantiated. The question is whether there was wrongdoing, not whether the underlying fact is true or false. If the supervisor disciplined the complainant but not the male co-worker, and the male co-worker was also similarly tardy, then the allegation would be “substantiated.” If the supervisor issued discipline to both the complainant and the male co-worker, it would be “unsubstantiated.” Similarly, if the male co-worker was not tardy, or the tardiness was excused, and the co-worker was therefore not disciplined, the allegation would be “unsubstantiated.”]

Allegation 2:

Findings:

Assessment:

Allegation 3:

Findings:

Assessment:

ACTION TAKEN:

DOCUMENTATION