



Human Resources Employee Relations Case Management Checklist Template 2026

Initial Incident Report & Documentation

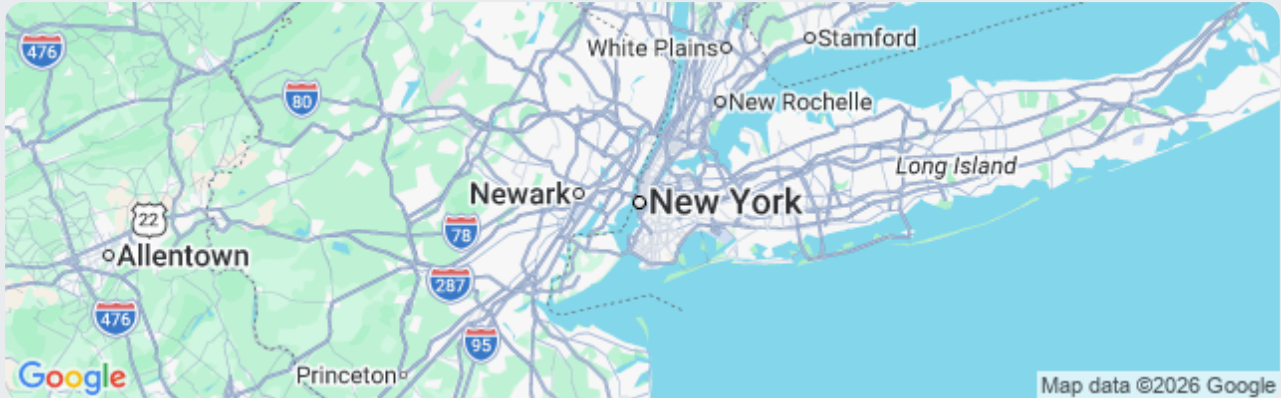
Standardized intake process for recording the details of the employee relations complaint, including date, time, parties involved, and immediate observations.

Date of Incident

Time of Incident

Incident Location

 [Set My Current Location](#)



Complainant Name

Write something...

Parties Involved

- ☐ Complainant
- ☐ Respondent
- ☐ Witness
- ☐ Manager/Supervisor

Description of Incident

Write something...

Supporting Evidence/Photos

 [Upload File](#)

Reporting Officer Acknowledgment

Preliminary Assessment & Conflict Review

Steps to determine the severity of the issue, identify potential policy violations, and assess the immediate need for interim measures or suspensions.

Severity Level

- ☐ Low (Minor Policy Infraction)
- ☐ Medium (Significant Disruption)
- ☐ High (Severe Misconduct/Legal Risk)
- ☐ Critical (Immediate Safety Threat)

Date of Initial Report

Enter date...

Involved Parties Type

- ☐ Complainant
- ☐ Respondent
- ☐ Witness
- ☐ Manager/Supervisor

Initial Summary of Allegations

Write something...

Immediate Interim Action Required?

- ☐ No Action Needed
- ☐ Administrative Leave
- ☐ Work Schedule Change
- ☐ No-Contact Order

Supporting Documentation

 Upload File

Investigation Planning & Evidence Gathering

A structured roadmap for identifying witnesses, collecting digital footprints (emails, logs), reviewing physical evidence, and outlining the investigation scope.

Investigation Start Date

Enter date...

Investigation Type

- ☐ Harassment
- ☐ Discrimination
- ☐ Policy Violation
- ☐ Behavioral/Conduct
- ☐ Other

Evidence Sources to Review

- ☐ Email Correspondence
- ☐ Security Camera Footage
- ☐ Slack/Teams Chat Logs
- ☐ Badge Access Logs
- ☐ Witness Statements

Scope of Investigation Summary

Write something...

Upload Initial Complaint/Evidence

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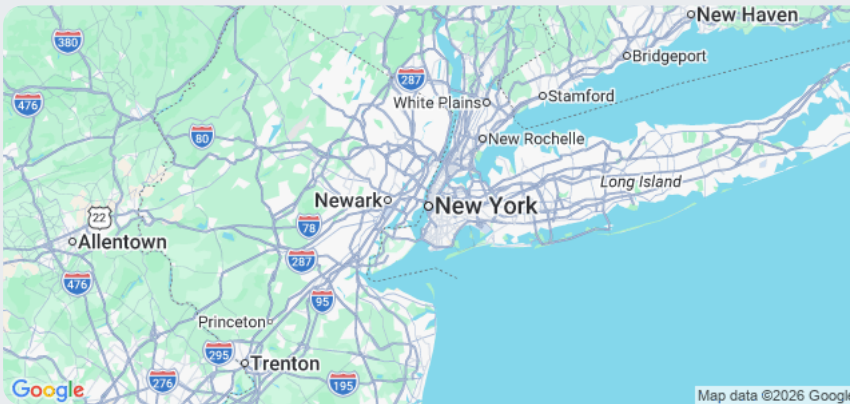
Lead Investigator Acknowledgment

A guide for conducting formal interviews with complainants, witnesses, and the subject, ensuring consistent questioning and formal documentation of statements.

Enter date...

Enter time...

 Set My Current Location



- ☐ Complainant
- ☐ Respondent
- ☐ Witness
- ☐ Management/HR Representative

Summary of Interview Statements

Write something...

Evidence Reviewed During Interview

- ☐ Email Correspondence
- ☐ Security Camera Footage
- ☐ Internal Chat Logs
- ☐ Physical Documents
- ☐ Badge Access Logs

Upload Signed Witness Statement

 Upload File

Interviewer Acknowledgment

Policy & Legal Compliance Audit

Verification steps to ensure all investigative actions align with current 2026 labor laws, company handbooks, and collective bargaining agreements.

Applicable Labor Law Jurisdiction

- ☐ Federal/National Law
- ☐ State/Provincial Law
- ☐ Municipal/Local Ordinance
- ☐ International/Cross-Border Regulation

Internal Policies Reviewed

- ☐ Code of Conduct
- ☐ Anti-Harassment Policy
- ☐ Attendance & Punctuality Policy
- ☐ IT & Data Privacy Policy
- ☐ Health and Safety Manual

Date of Compliance Review

Enter date...

Compliance Discrepancy Notes

Write something...

Legal Reference Documents



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Compliance Officer Verification

Finding Determination & Conclusion

A framework for synthesizing gathered evidence to reach a formal determination of whether the alleged misconduct occurred as reported.

Final Determination Status

- ☐ Substantiated
- ☐ Unsubstantiated
- ☐ Inconclusive
- ☐ Policy Violation Found

Summary of Findings

Write something...

Violated Policies

- ☐ Code of Conduct
- ☐ Anti-Harassment Policy
- ☐ Attendance/Punctuality
- ☐ Data Privacy/IT Policy
- ☐ Safety & Security

Determination Date

Enter date...

Final Investigation Report

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Investigating Officer Signature



Disciplinary Action & Resolution Implementation

The execution phase involving formal warnings, terminations, or training interventions, along with the delivery of official decision notices.

Disciplinary Action Type

- ☐ Verbal Warning
- ☐ Written Warning
- ☐ Final Written Warning
- ☐ Suspension
- ☐ Demotion
- ☐ Termination
- ☐ Mandatory Training/Retraining

Effective Date of Action

Enter date...

Summary of Disciplinary Decision

Write something...

Required Follow-up Actions

- ☐ Update Employee File
- ☐ Notify Department Manager
- ☐ Notify Legal/Compliance Department
- ☐ Schedule Follow-up Meeting
- ☐ Revoke System Access

Signed Disciplinary Notice

 Upload File

HR Representative Acknowledgment

Post-Case Follow-up & Retaliation Monitoring

Scheduled check-ins to ensure no retaliation occurs against participants and to confirm the stability of the workplace environment post-resolution.

Follow-up Check-in Date

Enter date...

Retaliation Risk Level

- ☐ Low
- ☐ Medium
- ☐ High

Monitoring Areas Covered

- ☐ Performance Review Consistency
- ☐ Schedule/Shift Changes
- ☐ Work Assignment Changes
- ☐ Team Communication/Social Exclusion

Monitoring Observations

Write something...

HR Representative Sign-off

Case Closure & Record Retention

Final steps for archiving all case-related documentation in compliance with data privacy regulations and updating the HR Management System (HRMS).

Case Closure Date

Enter date...

Retention Period Category

- ☐ Standard (3 Years)
- ☐ Legal Hold (Extended)
- ☐ Permanent Archive

Final Case Summary Report

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Signed Disciplinary/Resolution Notice

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Documents Archived

- ☐ Witness Statements
- ☐ Evidence Logs
- ☐ Interview Transcripts
- ☐ Policy Reference Documents

HR Manager Final Approval

Root Cause Analysis & Preventative Strategy

A high-level review to identify systemic issues and suggest updates to company policy or training programs to prevent recurrence.

Primary Root Cause Category

- ☐ Policy Gap
- ☐ Training Deficiency
- ☐ Management/Supervisory Failure
- ☐ Communication Breakdown
- ☐ Behavioral/Conduct Issue
- ☐ Process/Workflow Flaw

Detailed Root Cause Analysis

Write something...

Recommended Preventative Actions

- ☐ Update Employee Handbook
- ☐ Mandatory Manager Training
- ☐ Staff Sensitivity Training
- ☐ Revised Reporting Procedure
- ☐ Increased Monitoring/Auditing

Target Completion Date for Remediation

Enter date...

Revised Policy or Training Materials



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HR Director Approval

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🏁 Finish

🛠️ Generate Sample Report