

Internal Investigation Checklist (HR)

Initial Intake & Assessment

Documenting the initial report and determining the need for a formal investigation.

Report Date

Summary of Initial Report

Report Type

- Harassment
- Discrimination
- Retaliation
- Violation of Policy
- Other

Reporting Party Status

- Employee
- Former Employee
- Contractor
- Third Party

Number of Individuals Involved

Enter a number...

Summary of Allegations

Write something...

Planning & Scope Definition

Defining the investigation's objectives, scope, and potential witnesses.

Initial Allegation Summary

Write something...

Type of Allegation (e.g., Harassment, Discrimination, Misconduct)

- Harassment
- Discrimination
- Misconduct
- Retaliation
- Other

Number of Potential Witnesses

Enter a number...

Estimated Start Date of Investigation

Enter date...

Potential Areas of Inquiry

- Email Records
- Personnel Files
- Security Footage
- Financial Records
- Witness Interviews

Scope Limitations/Excluded Areas

Write something...

Witness Interviews

Conducting interviews with relevant witnesses and documenting their statements.

Witness Name

Write something...

Witness Statement

Write something...

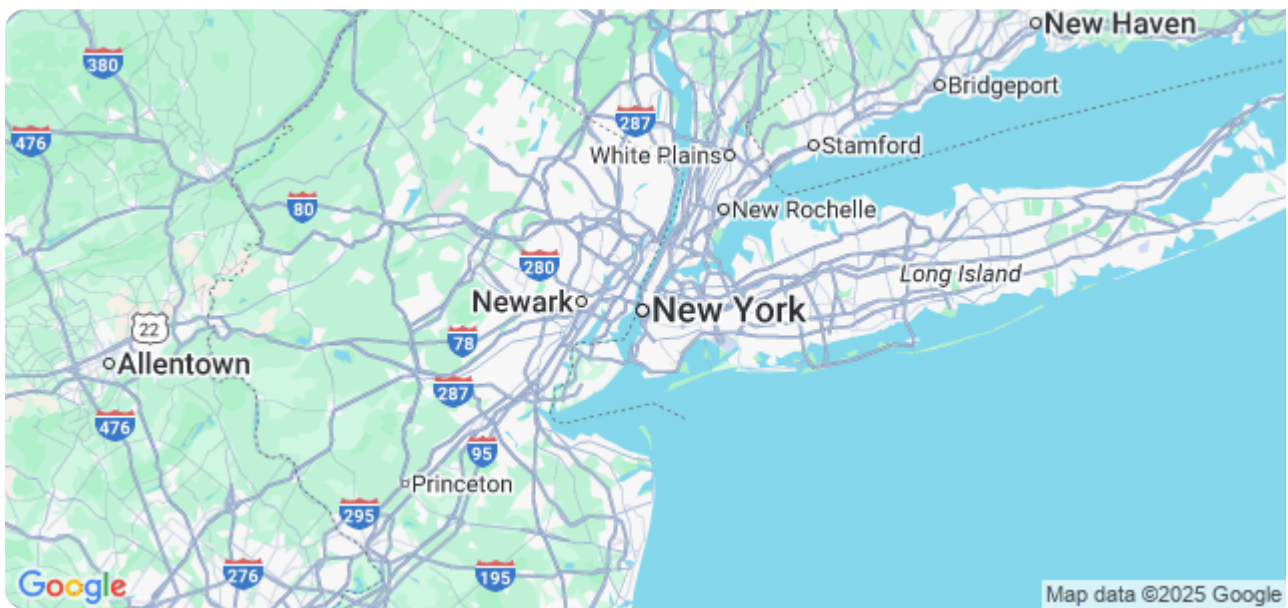
Interview Date

Enter date...

Interview Time

Interview Location

 [Set My Current Location](#)



Witness Reliability Assessment

- Highly Reliable
- Reliable
- Somewhat Reliable
- Unreliable

Witness Signature

Interview Duration (minutes)

Enter a number...

Evidence Collection & Preservation

Gathering and preserving all relevant evidence, including documents, emails, and data.

Relevant Documents (e.g., emails, memos)

 Upload File

Detailed Description of Physical Evidence

Write something...

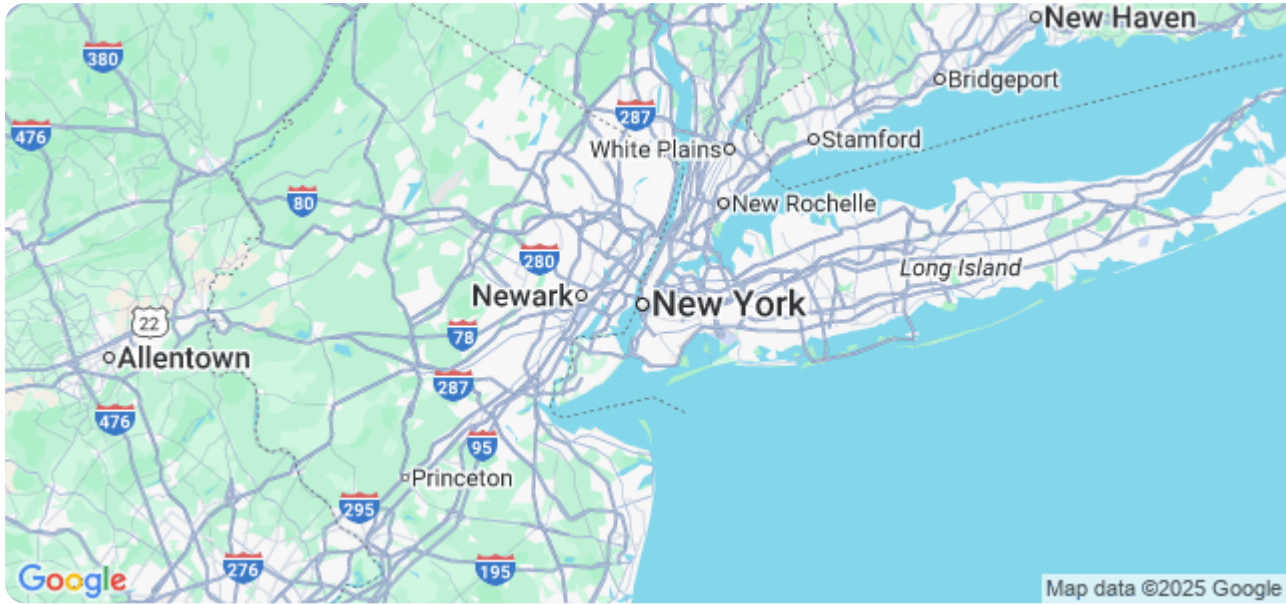
Date Evidence Collected

Enter date...

Time Evidence Collected

Location Evidence Found

 [Set My Current Location](#)



Signature of Person Collecting Evidence

Chain of Custody Documentation

Write something...

Evidence Item Number (if applicable)

Enter a number...

Legal Consultation & Review

Seeking legal advice regarding the investigation's process and potential legal implications.

Legal Counsel Involved?

Yes

No

Counsel Name

Write something...

Date of Initial Consultation

Enter date...

Summary of Legal Consultation Discussion

Write something...

Topics Discussed (Select all that apply)

Legal Risks

Compliance Issues

Employee Rights

Potential Litigation

Reporting Obligations

Specific Legal Advice Received

Write something...

Analysis & Findings

Analyzing the collected information and formulating a preliminary set of findings.

Summary of Allegations

Write something...

Summary of Witness Statements

Write something...

Applicable Company Policies Violated (select all that apply)

- Code of Conduct
- Harassment Policy
- Confidentiality Agreement
- Ethics Policy
- Other (specify in LONG_TEXT)

Number of Witnesses Interviewed

Enter a number...

Overall Credibility of Allegations (based on evidence)

- High
- Moderate
- Low
- Unable to Determine

Justification for Credibility Assessment

Write something...

Report Documentation & Review

Preparing a comprehensive report detailing the investigation's findings, conclusions, and recommendations.

Executive Summary of Findings

Write something...

Detailed Narrative of Investigation Process

Write something...

Witness Statement Summaries (Anonymized)

Write something...

Applicable Company Policies Violated

- Code of Conduct
- Harassment Policy
- Confidentiality Agreement
- Data Security Policy
- Other (Specify)

Number of Witnesses Interviewed

Enter a number...

Date of Report Finalization

Enter date...

Investigator Signature

Supporting Evidence (e.g., exhibits, emails)

 Upload File

Corrective Action & Remediation

Implementing corrective actions to address the issues identified in the investigation and prevent recurrence.

Detailed Description of Corrective Action

Write something...

Cost of Corrective Action (Estimated)

Enter a number...

Responsible Department for Action

- HR
- Legal
- Operations
- Finance

Implementation Start Date

Enter date...

Completion Target Date

Enter date...

Affected Employee(s) (if applicable)

- Employee A
- Employee B
- Employee C

Signature of Responsible Party

Follow-up & Monitoring

Monitoring the effectiveness of corrective actions and ensuring ongoing compliance.

Date of Initial Corrective Action

Number of Repeat Incidents (Post-Action)

Effectiveness of Corrective Action (Overall)

- Highly Effective
- Moderately Effective
- Minimally Effective
- Not Effective

Notes on Employee Performance/Behavior Post-Action

Date of Next Review/Follow-Up

Management Confidence in Continued Improvement

- High
- Moderate
- Low

Record Retention & Disposal

Maintaining appropriate records of the investigation and disposing of them in accordance with legal and company policies.

Date of Investigation Closure

Summary of Retention Schedule Applied

Number of Years Records Retained (per schedule)

Method of Record Destruction

- Shredding
- Secure Data Erasure
- Other (Specify)

Details of 'Other' Destruction Method (if selected)

Write something...

Date of Record Destruction

Enter date...

Signature of Person Responsible for Record Destruction
