Incident Investigation



Today’s Date: _____/_____/_____ Date of Incident: _____/_____/_____

Describe
Incident:_____
_____
_____

Person(s) involved:
_____
_____

Witnesses:_____
_____

What policy or guideline forms the basis of the
complaint?_____

INCIDENT INVESTIGATION PROCEDURES

1. Conduct interviews with all parties involved (including witnesses to the incident). Get the facts– who, what, when, where, how, and why.
2. Before you begin each interview, be prepared to explain what you are investigating, why the interviewee is being interviewed and how the information obtained will be used.
3. Assure each interviewee that confidentiality will be maintained as far as legally possible, but help interviewee understand that his/her testimony may be required should a legal proceeding occur.
4. Assure each interviewee of the company’s policy protecting employees against retaliation and who to contact if he/she believes that retaliation is occurring.
5. Make notes of the interviewee’s responses in a format he/she can review. Omit any personal observations on credibility or demeanor. Review the interviewee’s answers with the interviewee. Correct any errors and ask the interviewee to initial each page and each correction. Ask if there is anyone else you should talk to. Remind the interviewee of the confidentiality of the investigation. Encourage the interviewee to come back with additional information and/or documents.

AFTER EACH INTERVIEW

- Make notes that will help assess credibility as soon as the interviewee leaves.

- Review the interviewee’s chronology of events.
- Note the interviewee’s demeanor.
- What, if any, admissions were made during the interview.
- Did the interviewee deny anything?
- Were conflicting statements made?
- Was the interviewee’s account of the incident plausible?

UPON COMPLETION OF THE INVESTIGATION

1. Review the documentation guidelines to be sure you have documented your investigation properly.
2. Determine if any local, state, or federal laws require you to take certain actions?
3. What, if any, factors would mitigate against instituting discipline in this case?
4. Distribute your findings, conclusions and recommendations for action to appropriate employees and members of management pursuant to the company’s guidelines.