

Workplace Investigation Planning Checklist

Use this checklist to define an open-minded investigation plan before evidence gathering begins.

Details

MATTER OR REFERENCE	INVESTIGATOR
PLANNED START	RELEVANT POLICY OR PROCESS

Define the issue

☐	Clarify what needs to be established
☐	Define what is inside and outside scope
☐	Identify key questions without assuming the outcome
☐	Identify relevant people and potential evidence sources
☐	Consider relevant records and documents
☐	Plan preservation of relevant information
☐	Plan interview order where appropriate
☐	Consider confidentiality and information handling
☐	Set reasonable timescales and practical arrangements
☐	Check for actual or perceived conflicts of interest
☐	Keep an open mind as evidence is gathered

Evidence planning

People to speak to	Documents or evidence	Key questions

USE THIS RESOURCE CAREFULLY *Planning an investigation does not establish guilt, misconduct or credibility. Evidence should be considered before conclusions are reached, and the employer remains responsible for handling the process appropriately.*

FREE INTERACTIVE TOOL Investigation Plan Builder | </free-tools/investigation-plan-builder>

COMPLETE PAID WORKFLOW Employee Investigation Toolkit | </toolkits/employee-investigation>