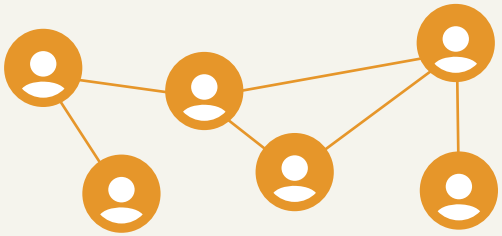
Finalizing the investigation report

Before sending a final report to decision-makers, review it to make sure it includes all the necessary elements:

Involved parties



- [ ] names of investigators, including their titles
- [ ] names of the subject of the investigation
- [ ] reporter *
- [ ] witnesses you interviewed *
- [ ] witnesses you chose not to interview and why *

*** Pro tip:** If you don't want to use names in your report, consider using placeholders for reporter and witness names (e.g., "reporter" and "witness #1"). List the names and titles of these individuals in a file memo for future reference, as needed. This de-emphasizes bias toward participants to focus on the allegations, facts, and conclusion, and reduces the likelihood of retaliation.

Dates

- [ ] when the concern was first reported to the organizations
- [ ] start and end dates for the investigation, including reasons for delaying any part of the investigation
- [ ] interviews
- [ ] material documents which support the investigation findings

Facts & Evidence

- [ ] how the organization learned of the concern (e.g., a fight broke out; an audit revealed accounting irregularities)
- [ ] summary of any actions taken before the investigation began (e.g., placing an employee on leave; changing an employee's reporting line; engaging an outside expert)
- [ ] summary of the incident(s) under investigation from the reported concern or other information that prompted the investigation
- [ ] documents—electronic and hard copy—and their source or where they were found (e.g., an employee's personnel file; email communication; in an employee's desk drawer)

Conclusions, Remediations, & Recommendations

- [ ] burden of proof used to draw conclusions (e.g., preponderance of the evidence or "more likely than not")
- [ ] conclusions, including a summary of witness statements and other facts that led to this conclusion
- [ ] actions taken as a result of the investigation (e.g., policy updates; disciplinary actions; workplace training)
- [ ] recommendations to address the issue and reduce the likelihood it will happen again
- [ ] any important, unresolved issues that management needs to address

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GLOBAL ADVISORY

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