

Case IQ

# INVESTIGATION PLAN Template



Use this document to plan your investigation. If changes to the information in the plan occur during the course of your investigation, they can be recorded in the notes section on each page.

## INVESTIGATION PLAN TEMPLATE

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| 1. Investigation Overview     | PAGES 3 - 5  |
| 2. Scope of the Investigation | PAGE 6       |
| 3. Investigation Steps        | PAGES 7 - 15 |
| 4. Costs and Budget           | PAGE 16      |
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### KEEP TRACK

Log intake, investigator assignment and dates related to your investigation.

**PAGE 3**

### PLAN

Organize your investigation interview appointments.

**PAGE 11**

### ORGANIZING

Forecast your budget, schedule and unforeseen costs.

**PAGE 16**

## INVESTIGATION OVERVIEW

Issue to be investigated

How the referral was received

When the referral was received

When the case was accepted

Investigator assigned

Summary of the complaint

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### NOTES



#### TIP

The complaint summary should include only the facts: Who made the complaint, when, how and what he or she said.

**INVESTIGATION OVERVIEW**

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**RISKS TO THE INVESTIGATION**

Flight risk for suspects

Destruction of documents

Anticipated delays

Lack of cooperation

Fear of reprisal

Collusion between witnesses

Other risks

**NOTES****TIP**

If there is a risk that important electronic evidence may be destroyed, take immediate steps to preserve it.

**LEARN MORE ►**

Watch this webinar on *Identifying and Collecting Digital Evidence*

**INVESTIGATION OVERVIEW**

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**INVOLVED PARTIES**

Complainant(s)

Alleged wrongdoer(s)

Witnesses

Other involved parties or agencies

**NOTES****TIP**

Use your words carefully when referring to those involved in the complaint. Avoid words such as "victim" and "accused" as they can appear to lead to a particular conclusion. Stick with neutral language.

## SCOPE OF THE INVESTIGATION

### SOURCES OF EVIDENCE

Documents

Witnesses:

Expert input

### OTHER SOURCES OF INFORMATION

Employee handbook

Applicable laws

Company policies

Research related to the misconduct

Areas not being investigated and why

### NOTES



#### TIP

Beware of "scope creep". To learn more, read [3 Tips to Avoid Scope Creep in Workplace Investigations](#)

## INVESTIGATION STEPS

### LIST OF ACTIVITIES TO BE PERFORMED

Activity

Person responsible

Time frame

Activity

Person responsible

Time frame

Activity

Person responsible

Time frame

Activity

Person responsible

Time frame

### NOTES



### TIP

Investigation steps could include such activities as:

- Requesting video footage from an incident location
- Reserving a room for investigation interviews
- Contacting outside experts for forensic analysis, legal advice, translation, etc.
- Making interview appointments
- Communicating with the IT department to gather evidence

## INVESTIGATION STEPS

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**INVESTIGATION STEPS**

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**INTERVIEW PLAN WITH LOCATIONS**

Interview Subject

Location:

Date/Time:

Interview Subject

Location:

Date/Time:

Interview Subject

Location:

Date/Time:

Interview Subject

Location:

Date/Time:

**NOTES****TIP**

Choose interview locations carefully. Interviews should be conducted on neutral ground, in a private place. The interview room should have few distractions and be easily accessible for the interviewee.

**INVESTIGATION STEPS**

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**INVESTIGATION STEPS**

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**DOCUMENT MANAGEMENT**

Where will documents be stored

How will documents be recorded

Who will have access to them:

**COMMUNICATION PLAN**

Who will have access to case information

Who will have specified access to certain information:

Who will not have access to case information

Will law enforcement be involved?

**NOTES****LEARN MORE ►**

Wondering whether to involve law enforcement?  
Read *When to Report Employee Misconduct to Police*

## COSTS AND BUDGET

### Costs to be incurred:

Forensic Experts

Legal advice

Travel And Related Costs

Translation

Transcription

Administrative costs

E-Discovery

### TIMETABLE

Interviews completed

Evidence gathered

Investigation report

### NOTES



### TIP

When outsourcing e-discovery for a sensitive case, it's important to choose a vendor that can guarantee the integrity and security of the data collected.

### LEARN MORE ►

Read *5 Tips for Choosing an E-Discovery Vendor in a Workplace Investigation*



## CONFIDENTIALITY

Media

Other employees:

General public:

Concerns not covered elsewhere in the plan:

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### NOTES



#### TIP

In accordance with a recent NLRB ruling, employers must not require that employees keep details of an investigation confidential without a legitimate, documented reason.

#### LEARN MORE ►

For more information on the confidentiality ruling, watch *The NLRB Confidentiality Ruling Affects Your Next Investigation*.

# EXPAND YOUR EXPERTISE

## IMPROVE YOUR INVESTIGATION SKILLS AND YOUR CAREER.

As thought leaders in the investigations space, Case IQ publishes helpful eBooks, guides, cheat sheets and templates and offers free webinars on topics related to investigations, ethics and compliance, employee misconduct and more.

With a single focus on investigative case management solutions and two decades of successful implementations, Case IQ is the global leader in configurable case management software for investigations.

## IF YOU HAVE ANY QUESTIONS:

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