



Division of Personnel Instructional Guide

Workplace Investigations Guide

The purpose of this guide is to communicate basic principles regarding the process for conducting internal workplace investigations into complaints or allegations of misconduct, policy violations, discrimination, harassment, retaliation, or other inappropriate behavior. The information in this guide is provided as a resource for appointing authorities to consider when establishing processes that align with their agency's policies and procedures.

DISCLAIMER

This Guide is intended to be used as a reference and procedural guide for conducting workplace investigations. The general information contained should not be construed to supersede any law, rule, or policy. In the case of any inconsistencies, the statutory and regulatory provisions shall prevail.

This guide is written with the understanding that the West Virginia Division of Personnel (DOP) is not engaged in rendering legal services. If legal advice or assistance is required, the services of legal counsel should be sought. Agencies should also refer to the policies, rules, and regulations, as well as consult with the human resources office within their respective agency.

For technical assistance concerning specific situations, employees and employers may contact the DOP Employee Relations section at (304) 414-1853.

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Receipt of the Complaint

An internal investigation is typically conducted to enable an agency to determine what has occurred when allegations of wrongdoing arise in the workplace. It is best practice and, at times, a legal requirement for agencies to have a complaint process established in their policies and to provide employees, clients, and third parties with options for reporting complaints. The specific complaint procedure may vary depending on the agency's size, the nature of its business, and the type of complaint received. The following are commonly used channels for reporting complaints: an agency-managed hotline or online equivalent; human resources; an employee's supervisor or manager; or a dedicated agency representative, such as the agency's Equal Employment Opportunity (EEO) coordinator or counselor.

Meet with the Complainant:

- Explain to the complainant:
 - The matter will be taken seriously.
 - The agency is obligated to investigate.
 - Information obtained will be maintained confidential as practicable.
 - He or she will not be retaliated against for filing the complaint or reporting the allegations.
 - If applicable, inform the complainant of the various agencies available to assist.
- Document the complaint by taking thorough notes.
 - Who made the complaint, when, and how?
 - Who is the subject of the complaint or alleged wrongdoing?
 - When did the incident take place?
 - Were there witnesses or those with firsthand knowledge of the situation?
- Ask the complainant for a signed and dated written statement.

Assess the Need for an Investigation

Agencies are legally obligated to investigate reports of harassment, discrimination, and retaliation, but other types of allegations may also warrant an investigation. These include issues of policy violations, theft, fraud, or other inappropriate behavior. Prior to initiating an investigation, agencies should determine:

- Whether the issue involves:
 - Harassment or discrimination
 - Policy or ethics violations
 - Misconduct or performance issues
- Is the issue serious enough to warrant an investigation?
- Is there a potential legal or safety risk?
- Can it be resolved informally or through mediation?
- Can it be addressed through corrective or disciplinary action?

Perform an Immediate Needs Assessment

If it is determined that an internal investigation will be performed, agencies must perform an immediate needs assessment to determine timelines, confidentiality, and security protocols. Agencies should consider if it is appropriate or necessary to:

- Cut off or restrict user access to sensitive systems, programs, or software.
- Temporarily modify an employee's duties or reassign an employee to another section to protect the integrity of the investigation or separate the complainant and subject.
- Place the subject on a non-disciplinary suspension pending investigation or the outcome of a criminal proceeding. This should only be considered when it is necessary to maintain the integrity of the investigation or when reassignment/duty modification is not feasible.
- Contact law enforcement or other authorities.

It is important to keep in mind that reports of wrongdoing may be intentionally or unintentionally untrue or misrepresented. Individuals accused may be completely innocent. Be cautious not to take unnecessarily grievous actions that may cause undue distress or humiliate the individual in front of his or her employer, coworkers, friends, and the public.

Investigation Planning

Define the scope of the investigation

Defining the scope of an investigation is crucial for ensuring a thorough, efficient, and unbiased process. A clear scope outlines what will be investigated, what evidence will be collected, and what questions need to be answered. This focus ensures that the investigation remains on track and addresses the relevant concerns. When defining the scope, identify:

- State, federal, and agency laws, rules, and policies that may be involved
- Individuals and/or IT resources, including hardware, software, and data, as well as the storage and transmission of confidential, private information potentially involved
- Who needs to be informed (*agency Human Resources, Human Rights Commission, EEO Coordinator/Counselor, Privacy Officer, Office of Technology, Agency Legal Counsel, Law Enforcement*)
- Timeframe in which the investigation must be or should be concluded. (*Under federal and state laws, agencies may be obligated to conduct internal investigations and to promptly implement remedial measures within a specified timeframe.*)
- Develop standardized interview questions for the complainant, subject, and witnesses. It is recommended to start with basic questions that all participants will answer honestly (*e.g., example questions 1-4 below*). This allows the interviewer to establish a baseline for the interviewee's pattern of speech, i.e., the normal time lapse between questions, speed, and volume at which they normally talk, etc. Recognizing changes in speech patterns during the interview can help investigators assess an individual's credibility or determine if the interviewee has answered the question completely. An individual's response may warrant additional questioning.

Example questions include:

1. Please tell me your name, position, and work location.
2. How long have you worked for this agency?
3. How long have you worked in this location?
4. Who is your supervisor?

5. We are here today to investigate a possible **[insert type of allegation, i.e., harassment, favoritism, comments/language inappropriate for the workplace, misconduct/policy violation, confidentiality violation]**. Have you personally experienced or observed this? (If yes) who?
6. *(Question for Complainant and Accused)* Describe the incident in your own words.

(Question for Witness) In your own words, describe what you personally witnessed or heard during the incident. *This allows the individual to explain the situation from their perspective without being led by the interviewer's questions.*
7. What was the date, time, and location of the incident? *Establishing a timeline and location is crucial.*
 - a. Is it still ongoing?
 - b. How often did it occur?
 - c. How did it affect you? *This may help determine if the conduct is interfering with the individual's ability to perform their job duties.*
 - d. How did you react? *Understanding the individual's actions and reactions may offer insights into the severity of the incident.*
8. *If it is clear from the interviewee's responses that he/she knows the identity of the complainant and/or the accused, consider asking, What is your relationship with the complainant and/or the accused? This question may help establish the potential for witness bias or motive.*
9. Who else was present? *Identifying other individuals involved or who may have witnessed the event is important.*
10. Can you provide evidence to support your version of events? *Evidence can help corroborate or dispel the claims.*
11. Did you report this incident to anyone? *This question may help clarify the reporting process and identify potential barriers to reporting, such as fear of retaliation or concerns about confidentiality.*
12. Has anyone been treating you differently as a result of this or another incident, or reporting your concerns?

13. Are you aware of any attempts to resolve the issue? *This question may reveal if the complainant, third party, or agency management tried to resolve the issue internally before reporting it through official channels.*

Assign the Investigator(s)

- Investigators should be familiar with the process for conducting workplace investigations.
- May involve Human Resources, supervisors, agency investigators, or third-party investigators.

Performing the Investigation

Schedule Interviews

Notify key individuals (*Complainant, Subject, and Witnesses*) that information has been obtained, implying that a possible violation of law, rule, policy, or workplace standards may have occurred in the workplace, and those who may have relevant information concerning the matter may be asked to participate in the investigation. The notice, verbal or in writing, should direct parties to limit discussion of the matter to those who are conducting the investigation, and deviation from this directive may be construed as an effort to impede or interfere with the investigation and grounds for disciplinary action. Additionally, all parties should be notified that retaliation against individuals who complained or participated in the investigatory process is strictly prohibited.

To provide the subject with the specifics of the accusation and afford him or her the opportunity to respond to all charges during the interview, it is best practice to interview the complainant and witnesses prior to the accused. This may avoid the need for a second interview.

Conducting Interviews

Inform the interviewee that any information disclosed to them or by them is confidential and the interview may be recorded to ensure accuracy when reviewing the information provided and, if necessary, to transcribe it for the final investigation report. If the interview is transcribed fully or in-part, the transcription should be signed by the interviewee certifying that the information accurately reflects their statements. If the interview cannot be recorded, a written sworn statement must be provided by the interviewee providing their account of the issue and certifying that the information they are providing, whether verbal or written, is true and complete. Absent this certification, the weight of evidence may be diminished during a hearing.

Ask the interviewee to read and sign an attestation certifying that the statements they are about to give are truthful and shall remain confidential to the extent practicable.

Use clear and concise language. Ensure that questions are easy to understand.

Inform the person that their information will be kept confidential and discussed only with those individuals who need to know, as required by law or governmental authorities.

Ensure that all parties are aware of their rights. Employees may be required to answer pertinent questions during an internal administrative investigation without the presence of an attorney. However,

employees may have a representative or advocate present during any meeting that may result in disciplinary action. In cases that may expose criminal activity, employees must be provided an administrative Garrity warning advising them of their right to be free from compulsory self-incrimination.

Be respectful and impartial. Create a safe and supportive environment for them to share their experiences. Do not allow your own feelings and opinions to influence the investigation.

Ask open-ended questions and avoid leading questions. Encourage the person to share their account of what took place and express their feelings and concerns.

Listen carefully and take detailed notes. Record all responses exactly as provided to avoid misinterpreting a summary of their statements later. Record any additional information that may be relevant to the allegations or may expose other wrongdoings.

Conclude the interview. Ensure each pre-scripted question has been answered and all relevant information has been collected.

Interview key individuals identified at the onset of the investigation, and other parties with relevant information identified through the course of the investigation.

Collect Evidence

When collecting evidence, it may be necessary to request information from other agencies or third parties, such as contractors or technology providers. Such requests must be made through official agency channels. Agencies are encouraged to consult their agency legal counsel, privacy officer, law enforcement, etc., before such requests. Evidence that supports and contradicts the allegations may include:

- Physical and electronic documentation
- Network access and user audits
- Emails, phone records, and other means of communication
- Records of building access, network access, and security logs, etc.

Post-Investigation Process

Evaluate the Evidence

Consider all relevant policies and past practices. *(Past practices may include those practices that have been historically permitted but may not be agency-sanctioned.)*

Assess the credibility of those interviewed, considering:

- Consistency: *Examining whether the witness's statements are consistent with each other, with other evidence, including documents and other witness testimonies, and with known facts.*
- Demeanor: *Observing the witness's behavior and demeanor during testimony, though this is considered a subjective factor.*
- Corroboration: *Independent evidence to support the witness's account.*
- Potential Biases: *Identifying any potential motivations for the witness to lie or exaggerate, such as personal relationships with parties involved, financial interests, or prior convictions.*
- Truthfulness: *Assessing the witness's general reputation for honesty and whether they have a history of making false statements.*

Use the “preponderance of the evidence” standard *(more likely than not)*.

Make a Finding

- Substantiated – *The allegation is supported by the evidence.*
- Substantiated in part – *Some of the allegations are supported by the evidence.*
- Unsubstantiated – *Sufficient evidence to support the claim was not found.*
- Inconclusive – *Conflicting evidence, unclear outcome.*

An investigation may also reveal that a claim or allegation of wrongdoing is untrue and intentionally fabricated by the complainant. While making false allegations is grounds for disciplinary action, imposing discipline poses the risk of giving the appearance of illegal retaliation. Agencies are strongly encouraged to consult with their legal counsel before taking such action.

Reporting

Prepare a Final Investigative Findings Report for the appointing authority. Include:

- Complainant's name
- Summary of allegations
- Accused's response
- Scope of the investigation
- Key evidence
- Interview summaries. Maintain full statements for record retention purposes.
- Findings and rationale.

Communicate Findings

- Share conclusions with the appropriate parties (e.g., agency leadership, legal), including any timeframe for taking legally required remedies.
- Inform the complainant and the subject of the outcome of the investigation, within policy/legal limits. Specific details of the investigation findings are confidential. Specific details of remediation actions should remain confidential.

Maintain Records

Securely retain all documentation, witness statements, reports, and evidence in accordance with State, federal, and agency retention schedules.

Sample Documents and Letters Provided Below

- **Employee Notice of Investigation**
 - Complainant
 - *Complainant Employee Notice of Investigation*
 - Subject
 - *Subject Employee Notice of Investigation*
 - Witness
 - *Witness Employee Notice of Investigation*

- **Investigative Results Notice**
 - Complainant
 - *Investigative Results Notice to Complainant*
 - *Investigative Results Notice to Complaint - Accused Name Not Provided*
 - Subject
 - *Investigative Results Notice to Subject*

- **Performing the Investigation**
 - *Investigation Interview Opening*
 - *Workplace Investigation Confidentiality Agreement and Attestation of Truthfulness*

- **Investigative Findings Report**

Complainant Employee Notice of Investigation

[Date]

[Complainant's Name], [Job Title, if internal]

[Complainant's Department or address]

Dear [Complainant's Name]:

Subject: Notice of Investigation Initiation

Dear [Complainant's Name],

This letter is to inform you that the complaint you submitted on [date of complaint] has been reviewed, and a formal [inquiry/investigation] has been initiated.

The [Agency/Office] takes all complaints seriously and is committed to conducting a prompt, thorough, and impartial investigation. As part of this process, you and other relevant individuals may be asked to participate in an interview and/or provide supporting documentation to ensure a complete understanding of the matter.

[Name of individual scheduling interviews] will contact you shortly to schedule a convenient time for the interview. If you have any questions or concerns before then, feel free to contact me at [phone number] or [your email address].

During the investigation, you are expected to cooperate fully and truthfully. You are directed to limit discussion of this matter to those who are conducting the investigation.

Thank you for bringing this matter to our attention.

Sincerely,

[Agency Representative or Investigator Name]

[Title]

[Agency/Office Name]

Agency File

Subject Employee Notice of Investigation

(Note: This notice may be used when the Employee is NOT Being Suspended Pending the Outcome of an Investigation or Criminal Proceeding.)

[Date]

[Subject's Name], [Job Title]
[Subject's Department or address]

Subject: Notice of Investigation Initiation

Dear [Subject's Name],

This letter serves as formal notification that an internal investigation has been initiated in which you have been named as the subject. An investigation does not affirm that an act has occurred or that a formal complaint has been received; it simply means that information has been obtained, implying that a possible violation of law, policy, or workplace standards may have occurred.

The purpose of the investigation is to objectively gather facts and determine whether any policies or workplace standards have been violated. We take all complaints seriously and are committed to conducting a prompt, thorough, and impartial investigation. You will be given an opportunity to respond to the allegations and provide relevant information as part of the investigation process.

[Allegation 1 – e.g., Harassment by [Employee/Visitor Name] toward [Other Party]]

[Allegation 2 – e.g., Violation of [Policy Name] by Employee/Visitor]

[Add more if applicable]

[Name of individual scheduling interviews] will contact you shortly to schedule a convenient time for the interview. If you have any questions or concerns before then, feel free to contact me at **[phone number]** or **[your email address]**.

Please be advised of the following:

- You are expected to cooperate fully and truthfully during the course of the investigation.

- You may be asked to participate in an interview and/or provide supporting documentation.
- You are directed to limit discussion of this matter to those who are conducting the investigation. Any deviation from this directive without authorization from me may be construed as an effort to impede or interfere with our investigation and may be grounds for disciplinary action.
- Retaliation in any form —direct or indirect— against any individual involved in the investigation, including witnesses or the complainant, is strictly prohibited.

At this time, no conclusions have been made. This is a neutral fact-finding process.

Sincerely,

[Agency Representative Name]
[Title]
[Contact Information]

Agency File

Witness Employee Notice of Investigation

[Date]

[Witness Name, Job Title, if internal]

[Department, or address]

Dear [Witness Name]:

This letter is to inform you that a formal workplace investigation is being conducted by the **[Investigating party, eg, agency, third-party]** in which you have been identified as someone who may have relevant information concerning the matter under review. An investigation does not affirm that an act has occurred or that a formal complaint has been received; it simply means that information has been obtained, implying that a possible violation of law, rule, policy, or workplace standards may have occurred.

You will be contacted to participate in an interview to share any information you may have. The purpose of the interview is to gather facts to ensure a fair and thorough investigation. Your cooperation is important and appreciated.

[Name of individual scheduling interviews] will contact you shortly to schedule a convenient time for the interview. If you have any questions or concerns before then, feel free to contact me at **[phone number]** or **[your email address]**.

During the investigation, you are directed to limit discussion of this matter to those who are conducting the investigation. Any deviation from this directive without authorization from me may be construed as an effort to impede or interfere with our investigation. Additionally, any form of retaliation—direct or indirect—against individuals who participated in the investigatory process is strictly prohibited.

Thank you for your cooperation.

Sincerely,

[Agency Representative or Investigator Name]

[Title]

[Agency/Office Name]

Agency File

Investigative Results Notice to Complainant

[Date]

[Complainant's Name, Job Title, if internal]
[Department or Address]

Dear [Complainant's Name]:

Re: Conclusion of Workplace Investigation

Thank you for bringing your concerns regarding **[briefly describe the general nature of the complaint, e.g., "allegations of harassment, alleged inappropriate conduct in the workplace"]** to our attention. We appreciate your cooperation throughout the course of the investigation.

We recognize that workplace concerns can be difficult to raise, and we appreciate you for bringing them to our attention. **[Agency, Office]** is committed to maintaining a respectful, inclusive, and professional work environment, and we take all reports seriously.

After a thorough review, including **[interviews with relevant parties, a review of applicable physical and electronic documentation/information]**, the investigation into your complaint, received on **[date]**, has now concluded.

While the specific details of the investigation findings are confidential, please be assured that appropriate action has been taken in response to the conclusions reached. **[Optional: Based on the results of the [inquiry/investigation], [the complaint was substantiated; the complaint was found to be partially substantiated; or sufficient evidence to support the complaint was not found.]**

You are reminded that the details of this investigation are to remain confidential to the extent practicable. Sharing information about the investigation with others, including coworkers or individuals not directly involved, is prohibited. Additionally, any form of retaliation—direct or indirect—against individuals who participated in the investigatory process is strictly prohibited.

If you have further concerns or experience any issues related to this matter, you are encouraged to contact **[HR contact or investigator's name, title, and contact information]**.

Sincerely,

[Agency Representative Name]
[Title]

c: Division of Personnel
Agency File

Investigative Results Notice to Complaint - Accused Name Not Provided

[Date]

[Complainant's Name, Job Title, if internal]

[Department or Address]

Dear [Complainant's Name]:

Re: Conclusion of Workplace Inquiry/Investigation

Dear [[Complainant's Name]:

This letter is in response to your communication dated [date] alleging [summary of the complaint/violation] in violation of [law, rule, or policy].

I would like to inform you that [I or agency name] has examined this complaint. However, given that the complaint does not disclose the name of the accused individual(s), it is very difficult for us to address your concerns.

We recognize that workplace concerns can be difficult to raise, and we appreciate you for bringing them to our attention. [Agency, Office] is committed to [providing a fair and respectful workplace; being good stewards of public trust etc.] Attached for your review is a copy of the [policy/directive], [posted/sent/signed] to all [agency/department name] employees notifying them of [activity] is prohibited and will not be tolerated.

You are reminded that the details of this investigation are to remain confidential to the extent practicable. Sharing information about the investigation with others, including coworkers or individuals not directly involved, is prohibited. Additionally, any form of retaliation—direct or indirect—against individuals who participated in the investigatory process is strictly prohibited. If you experience retaliation due to participating in this investigation, please contact [office], [name] at [contact information] immediately.

If you have any questions regarding the investigation, you may contact [insert contact name and title].

Sincerely,

[Agency representative]
[Title]

c: Division of Personnel

Agency File

Investigative Results Notice to Subject

[Date]

[Subject's Name]

[Subject's Job Title, if internal]

[Subject's Department or Address]

Dear [Subject's Name]:

The purpose of this letter is to inform you of the outcome of the [inquiry/investigation] regarding the [complaint/allegation] raised on [date], concerning [briefly describe the nature of the allegation, e.g., "harassment, alleged inappropriate conduct in the workplace"].

The investigation has now concluded. After reviewing the relevant information, including [witness statements, a review of applicable physical and electronic documentation/information], and your account of the events, we have determined the allegation that you [describe specific behavior] [is substantiated, is substantiated in part, or could not be substantiated].

[Optional: Additional findings relevant to the matter, such as the respondent was found to have provided false testimony to investigators.]

Based on the evidence, it has been determined that [your conduct did not violate agency/State/federal policy/law, or "your actions were inconsistent with workplace expectations in accordance with State/federal policy/law"].

(Optional if disciplinary action will be considered) As a result, [insert consequence, e.g., a predetermination (if necessary) is/will be scheduled to consider disciplinary or corrective action, or "this matter is considered closed. No further action will be taken at this time."]

You are reminded that the details of this investigation are to remain confidential to the extent practicable. Sharing information about the investigation with others, including coworkers or individuals not directly involved, is prohibited. Additionally, any form of retaliation—direct or indirect—against individuals who participated in the investigatory process is strictly prohibited.

We appreciate your cooperation throughout the course of the investigation. If you have any questions regarding the investigation, you may contact **[insert contact name and title]**.

Sincerely,

[Agency Representative Name]
[Title]

c: Division of Personnel
Agency File

Investigation Interview Opening

Today is **[date]**, and the time is **[time]**. Present are **[interviewee's name]**, please state and spell your first and last name for the record, **[interviewer's name and title]**, and myself, **[speaker's name and title]**. We are at **[location of the interview]**.

[Appointing authority name and title] of **[agency]** has authorized us to conduct an investigation regarding **[an alleged policy violation, incident, or complaint]**. It is our role to collect material, relevant, and reliable evidence that states the issues and describes the evidence addressing both sides of each issue in this case. An investigation does not affirm that an act has occurred or that a formal complaint has been received; it simply means that information has been obtained, implying that a possible violation of law, policy, or workplace standards may have occurred.

Upon conclusion of the investigation, an investigative summary containing facts and evidence will be compiled to support our findings and submitted to **[appointing authority, agency legal counsel, etc.]** for any further action. Copies of the report and your transcribed statement could be viewed by the court system if further action is initiated.

At any time during this interview that you wish to take a short break, please let me know. Be advised that any time we go off record, the case will not be discussed. Do you have any questions before we begin?

Have you read and signed the Workplace Investigation Confidentiality Agreement and Attestation of Truthfulness? Do you understand the agreement? *(If the interviewee does not want to sign, have them state such on record, note "refused to sign" on the form, and continue with the investigation.)*

Workplace Investigation Confidentiality Agreement and Attestation of Truthfulness

By signing below, I, **[Full Name]**, understand that I am participating in a workplace investigation conducted by or on behalf of **[Company/Agency Name]** regarding **[an alleged policy violation, incident, or complaint]**.

I hereby affirm and attest that:

1. I acknowledge my responsibility to cooperate fully throughout the duration of the investigation.
2. I make these statements without any belief of threat or intimidation by the investigator.
3. The information I provide, whether verbal or written, is true and complete to the best of my knowledge and recollection.
4. I understand that providing false or misleading information during an investigation may result in disciplinary action.
5. I understand that the information disclosed to me and by me is confidential, and that disclosure of related information is to be done only to my personal representatives or as required by law to governmental authorities.
6. I understand unauthorized disclosure may be viewed as interference with the investigation and is grounds for disciplinary action, up to and including dismissal from employment.
7. I understand that retaliation against those who participate or cooperate with a workplace investigation is illegal. I understand that if I experience retaliation due to being a participant in this investigation, I must contact the **[office]**, **[name]** at **[contact information]** immediately.

I affirm that I have read and understand the above statements. By signing below, I certify that my participation in this investigation has been truthful and made in good faith.

Employee Name (Printed): _____

Employee Signature: _____

Date: _____

Investigator Name: _____

Investigator Signature: _____

Investigator Name: _____

Investigator Signature: _____

CONFIDENTIAL

INVESTIGATIVE FINDINGS REPORT

[Date]

Submitted to: [Appointing Authority or Office Name], [Department/Agency]

Case Number: [Number, If Applicable]

Complainant: [Name]

Position: [Job Title] Department: [Department Name]

Respondent: [Name]

Position: [Job Title] Department: [Department Name]

Investigation Start Date: [Start Date] Investigation End Date: [End Date]

Investigator(s): [Investigator Name(s)/Title(s)]

I. Introduction

This report summarizes the findings of a workplace investigation conducted in response to a complaint received on [date]. The complaint alleged that [brief summary of allegations].

[Appointing authority name and title] of [agency] authorized [Investigator(s) or Office] to conduct an investigation regarding the complaint. The investigation was conducted in accordance with applicable policies and procedures [if applicable].

II. Allegations

The following allegations were investigated:

[Allegation 1 – e.g., Harassment by [Employee/Visitor Name] toward [Other Party]]

[Allegation 2 – e.g., Violation of [Policy Name] by Employee/Visitor]

[Add more if applicable]

III. Methodology

The investigation included the following steps:

Review of the written complaint

Interviews with the complainant, respondent, and relevant witnesses

Review of documents, emails, and other records

Evaluation of findings in context of State or agency policies (If applicable)

Individuals interviewed:

[Complainant Name, Title]

[Respondent Name, Title]

[Witness Name(s), Title(s)]

IV. Summary of Evidence

Allegation 1: [Summarize Allegation]

Complainant Statement: [Brief summary]

Respondent Statement: [Brief summary]

Witness(s) Statements: [Brief summary]

Documentary Evidence: [e.g., Emails, time records, video footage, etc.]

Allegation 2: [Summarize Allegation]

[Same format as above]

V. Findings

After careful review of all evidence, the findings are as follows:

Allegation 1: ☐ Substantiated ☐ Substantiated In Part ☐ Unsubstantiated ☐ Inconclusive

Rationale: [Brief explanation]

Allegation 2: ☐ Substantiated ☐ Substantiated In Part ☐ Unsubstantiated ☐ Inconclusive

Rationale: [Brief explanation]

VI. Conclusion

Based on the evidence, the investigation concludes that:

[Summarize findings, e.g., "The allegation of harassment is substantiated. Witness statements and corroborating documents support the claim."]

VII. Recommendations (if applicable)

The following actions are recommended:

[e.g., Corrective action, policy training, disciplinary measures, mediation, etc.]
[e.g., No further action warranted]

Prepared by:

[Investigator Name]
[Title]
[Agency, Office]
[Date]

Reviewed by:

[Agency Representative]
[Title]
[Agency, Office]
[Date]