

**UC Compliance Symposium 2013**  
**Investigation Report Outline/Checklist**

**I. Introduction**

- A. Identify the complaint**
- B. Describe the investigation authorized**

**II. Summary**

- A. Issues Considered**
- B. Findings of Fact and Conclusions**

**III. Factual Background**

- A. Relevant department/unit/mission/activities**
- B. Parties and relevant party responsibilities and relationships**
- C. Circumstances/interactions/incidents relevant to complaint**
- D. Interim actions taken**
  - 1. Protective actions (threat assessment, change in assignments, no-contact orders)**
  - 2. Personnel actions (administrative/investigatory leave, corrective action, victim counseling)**
  - 3. Sequestering of evidence (nonconsensual access, confiscation of computers/other evidence)**
  - 4. Who authorized what, when, and with what conditions**

**IV. Scope of Investigation**

- A. Factual Issues Presented**
- B. Applicable Policies or Rules**
  - 1. First policy**
    - a. Elements of policy/rule**
    - b. Evidentiary Burdens**
  - 2. Second policy . . .**
    - a. Elements of policy/rule**
    - b. Evidentiary burdens**
  - 3. Other workplace rule/ethical standard/contract provision at issue**
- C. Limitations on scope**
  - 1. Excluded policies/rules/standards**
  - 2. Excluded Issues**
  - 3. Matters referred elsewhere**
- D. Evidence Considered**
  - 1. Identify documents reviewed**
    - a. Background documents and information**
    - b. Party or witness documents**
    - c. Documents obtained by other means**

- d. Documents exchanged
      - e. List of Relevant Documents
    - 2. Identify interviews conducted
      - a. List of Interviews Conducted
      - b. Who, when, where, how and with what representation
        - i. Note any repeat interviews conducted
          - a) Complainant's opportunity to argue pretext
          - b) Respondent's opportunity to rebut all implicating evidence
      - c. Describe any general party/witness admonitions given
        - i. Privacy concerns
        - ii. Retaliation concerns
        - iii. Confidentiality concerns
      - d. Describe any party or witness interview issues
  - E. Timing Considerations
    - 1. Original report completion date
    - 2. Complicating or delaying factors
    - 3. Time extensions approved
- V. Relevant Evidence
  - F. Relevant evidence from party and witness interview testimony
  - G. Relevant evidence from documents examined
  - H. Summary of other relevant evidence considered
  - I. Undisputed facts
  - J. Disputed or uncertain facts
- VI. Analysis and Findings of Fact
  - A. Summary of party positions
  - B. Consider first allegation
    - 1. Identify most relevant and material facts
    - 2. Set out disputed, conflicting, or uncertain facts
    - 3. Consider corroborating or contradictory evidence
    - 4. Assess party or witness credibility, as necessary
    - 5. Weigh probative value of the evidence on the allegation
    - 6. State findings of fact relevant to the allegation
  - C. Consider additional allegations
  - D. Consider any mitigating or exculpatory evidence factors
    - 1. Consider prior or subsequent conduct
    - 2. Consider factors affecting responsibility for the actions at issue
  - E. Findings of fact set out
- VII. Conclusions

- A. Standard for reaching conclusions**
- B. Determinative findings of fact**
- C. State final conclusions**
- D. End, Sign and Date**

**VIII. Exhibits**

- A. List of those Interviewed**
- B. List of relevant Documents**
- C. Party Statements**
- D. Relevant Document Exhibits**