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 exculpating 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