Workplace Investigation Readiness Checklist

Small missteps in workplace investigations can lead to compliance risks, missed evidence, and costly legal challenges. Use this checklist to ensure every investigation follows a structured process.

STEP 1: Set up strong intake processes

- ❑ Use **tailored intake forms** for different case types (misconduct, fraud, harassment, etc.).
- ❑ Make **key details mandatory** to prevent delays (dates, involved parties, policy violations).
- ❑ Ensure whistleblowers receive **clear guidance on confidentiality** and reporting procedures.
- ❑ Implement **secure, anonymous reporting channels** to build trust.

STEP 2: Centralize investigation workflows

- ❑ Manage all case details (evidence, interviews, documents) in **one secure system**.
- ❑ **Standardize case triage and assignment** processes to avoid manual bottlenecks.
- ❑ Use **role-based access controls** to protect sensitive information.
- ❑ Automate evidence tracking and reporting to **reduce manual admin work.**

STEP 3: Maintain compliance & confidentiality

- ❑ Align investigations with regulatory frameworks
- ❑ Ensure **anonymous reporting protections** for whistleblowers.
- ❑ Use **audit-ready documentation** to prevent legal and compliance risks.
- ❑ Monitor who accesses investigation records to prevent unauthorized data exposure.

STEP 4: Control investigation scope & focus

- ❑ Define the **investigation scope at the start** —avoid unnecessary detours.
- ❑ Get HR, legal, and compliance teams aligned **before launching an investigation**.
- ❑ Set clear boundaries for documenting **out-of-scope findings** without derailing the case.

STEP 5: Review & finalize findings

- ❑ Block **time for structured case review** before closing an investigation.
- ❑ Verify all **witness statements, policy violations, and evidence logs** are complete.
- ❑ Use standardized **review checklists** to catch missing details before finalizing reports.
- ❑ Maintain **clear audit trails** to support legal and compliance obligations.

STEP 6: Improve cross-team collaboration

- ❑ Centralize case communication between HR, compliance, and legal teams.
- ❑ Assign clear **investigation roles & responsibilities** to prevent confusion.
- ❑ Schedule **regular case status check-ins** to ensure progress and accuracy.
- ❑ Ensure investigators can **view past related cases** to identify systemic risks.

STEP 7: Turn investigations into proactive risk management

- ❑ Track **trends in workplace misconduct & policy violations** over time.
- ❑ Use investigation insights to **improve company policies & training programs.**
- ❑ Identify **recurring issues** to strengthen risk mitigation strategies.
- ❑ Share **high-level, anonymized trends** with leadership to build program support.