

Investigation Best-Practice Protocols Checklist



This checklist must be completed and submitted with the administrative due process checklist for just cause terminations.

Employee name: _____

Date: _____

1. Was the investigation conducted in an impartial manner by someone who is neutral?

YES ___ NO ___

Notes: _____

2. Was the investigation conducted objectively without having a pre-determined hypothesis or outcome in mind?

YES ___ NO ___

Notes: _____

3. Were respondents provided with the opportunity to have representation, e.g. a union shop steward, or an analogous representative for management respondents, during interviews?

YES ___ NO ___

Notes: _____

4. Were the parties and witnesses properly informed of their rights and responsibilities during the investigation process, including expectations surrounding confidentiality and retaliation?

YES ___ NO ___

Notes: _____

5. Was the respondent given sufficient details about the nature of the allegations prior to being asked to respond?

YES ___ NO ___

Notes: _____

6. Did the interviews include a sufficient level of open-ended questions to encourage full disclosure?

YES ___ NO ___

Notes: _____

7. Was the respondent given a full opportunity to respond to all allegations that could form the basis of disciplinary action?

YES ___ NO ___

Notes: _____

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8. Did the investigator examine and assess all the relevant evidence that was uncovered or disclosed during the investigation, including potential alibis, alternate explanations, and/or mitigating circumstances?

YES ___ NO ___

Notes: _____

9. Were all relevant witnesses (as identified by the parties, other witnesses or the investigator) interviewed?

YES ___ NO ___

Notes: _____

10. Was the investigation conducted without unreasonable delay considering the circumstances of the case? If the respondent was suspended pending the investigation, consider that in the analysis.

YES ___ NO ___

Was the employee suspended pending the investigation?

YES ___ NO ___

Notes: _____

11. Based on all of the evidence, has the investigator determined that all or some of the allegations made against the respondent have been proven on a balance of probabilities (51% or greater)?

YES ___ NO ___

Notes: _____

The following individuals confirm, to the best of their knowledge, the above information to be accurate:

PSA/Lead Investigator

PSA Management