Workplace Violence and Harassment Investigation Checklist

Obtain a Description of the Incident / Claim

- Listen to the employee, and ensure that they provide a full account of the incident(s).
- Ensure that you treat the matter seriously, using a professional manner and avoid discounting their difficulties in coming forward and telling the story.
- Contact the organizations legal resources where it appears that the situation may require legal action.
- Obtain a written, signed and dated statement from the claimant.
- Ensure that the employee is free from retaliation as a result of their coming forward.
- Ask the employee if there is a resolution that can be reached.
- Inform the employee that they may wish to file a complaint with the authorities.

Conduct an Investigation into the Incident / Claim

- Conduct your investigation immediately after learning of the complaint.
- Ensure that the investigation remains confidential, and that all information gathered remains confidential. Information should be shared only where necessary, and with appropriate parties. They must also be informed of the need to remain confidential.
- Investigate all claims seriously.
- Document all information appropriately.
- Contact the authorities where appropriate.

Interviewing the Complainant

- Obtain a full account of the incident, and document all details provided.
- Determine any potential pattern involved, or if the incident was a singular occurrence.
- Determine if the incident was influenced by any contextual factors.
- Identify any reporting relationships, or hierarchical structures that may have influenced the incident(s).
- Determine a timeline of events associated with the incident, and what the job duties of each party were at the time of the incident, and what their expected locations were.
- Examine the potential of a charge made under false pretenses, and any motivating factors that may be involved. Work to rule out these potential elements.
- Inform the complainant that a thorough investigation will take place.
- Obtain a written, signed and dated statement from the claimant.
- Ensure that the employee is free from retaliation as a result of their coming forward.

Interview the Accused

- Obtain a written, signed and dated statement from the claimant.
- Describe the details of the accusation, and ask for clarification on any discrepancies between the two stories.
- Identify any reporting relationships, or hierarchical structures that exist between the parties.
- Determine a time-line of events associated with the incident, and what the job duties of each party were at the time of the incident, and what their expected locations were.
- Determine any potential for retaliation or reprisal, and inform the accused that this would be unacceptable.
- Document all pertinent details of the interview, including observations of behaviour displayed and their account of the incident.

Interviewing Witnesses

- Obtain written, dated and signed statements from any witnesses.
- Ensure that the employee is free from retaliation as a result of their coming forward.

SAMPLE

Workplace Violence and Harassment Investigation Checklist

Resolve the Complaint

- Where a transfer is either requested or required, ensure that it does not create a negative impact on their employment.
- Where disciplinary action is required, determine the level of discipline based on the severity of the incident, previous action taken in similar circumstances, the employees previous history, and the frequency.
- Review, revise and re-communicate the organization's policy on violence.
- Place documentation of the complaint, investigation, rulings, discipline imposed, and any actions taken into confidential files.
- Follow up with the involved parties to provide details of the actions being taken in response to the findings of the investigation.

SAMPLE