

# Workplace Investigation Follow-Up Checklist

Not following up is one of the most common mistakes that employers make when it comes to workplace investigations. Follow-up may be the last step in the investigative process, but it is one of the most important. It provides an opportunity to address workplace issues. Use this checklist as a basic guide to complete follow-up for your investigations.

- Submit investigation report to the decision-maker to determine next steps.
- Communicate the outcome to both the complainant and subject of the investigation. Avoid discussing the outcome of the case with other employees unless it is necessary.

Communicate to the complainant and subject the course of action that the company has chosen to follow.

- No Action Taken
- Disciplinary Action:
  - Warning
  - Demotion
  - Other: \_\_\_\_\_
  - Re-Training
  - Suspension
  - Termination

- Address any questions or concerns that are brought up by the subject/complainant.
- Remind the subject and complainant that retaliation is unacceptable and will be taken seriously if it occurs.
- Review the investigation report to identify any organizational issues that may have enabled this misconduct.

If an organizational issue is found, consider what action(s) should be suggested to senior management:

- Introduce more internal controls to increase accountability.
- Implement new training programs to increase employee awareness of misconduct.
- Other: \_\_\_\_\_  
\_\_\_\_\_

- Ensure the subject has met all disciplinary requirements. If these requirements are still being fulfilled, record progress regularly.
- Document all components of the investigation for future reference.



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