# 

**[Date of Letter]**

**To: [ ]**

**Subject: [ ]**

**Investigatory Team Members: [ ]**

**Executive Summary**

1. Brief complaint description

* *Include the basic facts you were presented with at the commencement of the investigation.*
* *Include the intake method (i.e., who brought it to you) and why (i.e.,what that person asked you to do.)*

1. Policy/rule at issue

* *Explain what you viewed as the applicable laws/regulations/policies that governed the conduct for purposes of your investigation.*

1. Investigative mandate

* *From where did you receive the investigative mandate?*
* *Include instructions from OGC about confidentiality/privilege.*
* *If multiple parties took part in the investigation, briefly list each party and its role.*

1. Ultimate conclusion reached

* *State the conclusion and whether or not the problem was resolved.*

**Factual Background**

* *Answer the following questions:* 
  + *What are the background facts to the allegation or incident?*
  + *How did the issue come to light?*
  + *What department or units were involved?*
  + *What were the relevant activities of the unit?*
  + *What employees and employee relationships were involved?*
  + *What were the factual issues to be resolved?*
  + *Were any other actions been taken prior to the investigation?*

**Scope of the Investigation**

* *Answer the following questions:*
  + *What specifically were you charged to investigate (e.g., violations of HSPP policies/guidance)?*
  + *What was the scope of review (e.g., something broader than HSPP policies/guidance)?*
  + *Describe any limitations on the scope (e.g., what you were not to investigate; things left for others (Banner?) to investigate)*
  + *Did additional allegations (within your purview) come light during the investigation? If so, briefly explain the allegations and how they were addressed (e.g., referred to a separate investigation, included as part of this report).*
  + *What interviews were conducted?*
  + *What other evidence was considered?*
  + *What investigative process matters should be noted?*

**Evidence Considered**

1. Documents reviewed *(e.g., emails, reports, records, etc.)*
   1. *Describe what documents (e.g., emails, reports, records, etc. were reviewed.*
   2. *Consider including all exhibits and documents relied upon as exhibits in an Appendix.*
2. Interviews conducted
   1. *List all persons interviewed, along with their role, their supervisor, departmental affiliation, and contact information.*
   2. *Include the Date/time/location of interview(s).*
   3. *For each interviewee and each major category of documents, describe any relevant facts that informed your Findings of Fact.  Provide sufficient background on each interviewee as well.*
   4. *Avoid adding personal opinion.*

**Analysis of the Evidence**

* *Describe the positions of each party.*
* *Describe the evidence in support of each position.*
* *Weigh the facts.*
* *Describe the relevant facts identified.*
* *Describe the irrelevant facts dismissed.*
* *Describe any disputed facts. Note: If there were disputed facts, how did you assess credibility? (I.e., Did you consider any of the following factors: inherent plausibility, timeline of events, corroborating evidence, actual knowledge, and objective factors? Caution: Avoid behavioral interpretations.)*

**Findings of Fact**

* *Summarize findings that resulted from the Analysis of Evidence*.

**Resolution/Actions Taken**

* *Indicate if the matter was referred to another department/office/committee and if so, what action was taken. If the matter was referred to a committee, specify the date of the committee meeting and include an excerpt from the minutes.*
* *If there were issues that arose that were outside your purview, specify to whom they were referred.*

**Conclusion(s) Reached**

* *State the conclusion(s) and whether or not the problem was resolved.*

**Sign & Date**

**Appendix**

* + *Consider including all exhibits and documents relied upon as exhibits in an Appendix.*