



**How to Conduct Effective Workplace Investigations**

**Part 3: How to Plan an Investigation**

**Effective Internal Investigations for Compliance Professionals**

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**Purpose of an Investigation Plan**

- It's the key to a proper investigation.
- It's your outline of how you will carry out the investigation.
- It ensures that you cover all necessary points.
- It must be tailored to the particulars of the case and the shareholder concerns.
- It can be formal or informal.

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**Scope the investigation right**

- Think about the end of your investigation.
- A proper scope protects the innocent.
- A proper scope protects the implicated person.
- But do you have probable cause?

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Requirements for preparing a plan

- Step 1 – Review the report
  - Prepare a rudimentary chronology.
  - Contact the reporter.
  - What do you say to the reporter?
  - What don't you say to the reporter?

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Requirements for preparing a plan

- Step 2 – Frame your allegation
  - Review the initial documentation and support
  - Don't accept the reporter's allegation. What is the true allegation based on the facts?
  - What are the relevant standards of behavior or company policies involved?

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Requirements for preparing a plan

- Step 3 – What proof do you need?
  - Need corroboration for every material fact.
  - Try to prove the allegation if you can.
  
  - Consider a Proof / Analysis Matrix.
    - One for each allegation.
    - It's the outline for the eventual investigation report.

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Requirements for preparing a plan

- Step 4 - Who do you interview?
  - You don't want to interview everyone.
  - What interview order do you follow?
  - What specific topics do you need to cover with that witness?

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