

SOP: Formal Investigation and Fact-Finding Procedures

This SOP defines the **formal investigation and fact-finding procedures** to ensure a systematic approach to gathering, analyzing, and documenting information related to incidents, complaints, or allegations. It includes steps for initiating investigations, conducting interviews, collecting evidence, maintaining confidentiality, and preparing detailed reports to support informed decision-making and ensure accountability.

1. Purpose

To ensure a consistent, fair, and comprehensive method of conducting investigations into reported incidents, complaints, or allegations within the organization.

2. Scope

This SOP applies to all employees, managers, and appointed investigators responsible for handling formal investigations within the organization.

3. Responsibilities

Role	Responsibility
Investigator	Conducts the investigation, collects and analyzes evidence, interviews witnesses, and prepares the investigation report.
Manager/Supervisor	Initiates the investigation process and ensures resources and support are available to the investigator.
HR/Compliance Officer	Provides oversight, ensures legal and company policy compliance, and maintains confidentiality.

4. Procedures

- Initiation of Investigation**
 - Receive and log the incident, complaint, or allegation.
 - Assign a lead investigator and, if needed, an investigation team.
 - Assess urgency and risk to determine the investigation timeline.
- Planning and Preparation**
 - Review initial information and relevant policies.
 - Develop an investigation plan-define objectives, list witnesses, and identify evidence to be collected.
 - Establish confidentiality expectations with all involved parties.
- Evidence Collection**
 - Identify and secure physical, documentary, and digital evidence.
 - Maintain a clear chain of custody for all evidence collected.
 - Document evidence thoroughly with dates, times, and sources.
- Conducting Interviews**
 - Prepare structured interview questions for complainants, witnesses, and respondents.
 - Conduct interviews in a neutral and confidential setting.
 - Record interview responses accurately, obtaining consent where required.
- Analysis and Findings**
 - Review all evidence and interview transcripts.
 - Cross-reference information to identify consistencies or discrepancies.
 - Assess credibility and relevance of collected data.
- Reporting**
 - Prepare a comprehensive investigation report detailing methodology, evidence, findings, and conclusions.
 - Submit the report to relevant authorities or management for review and action.
- Confidentiality and Documentation**
 - Ensure all investigation materials are securely stored and access is limited to authorized personnel only.
 - Retain records according to organizational policy and applicable law.

5. Confidentiality

All investigation information, evidence, and participant identities must be treated with strict confidentiality to protect privacy and uphold the integrity of the investigation process.

6. Review and Approval

This SOP is to be reviewed annually or as needed, and approved by the Compliance Officer or designated authority.

7. Document Control

Version	Date	Prepared by	Reviewed by	Approved by
1.0	2024-06-13	Compliance Team	HR Director	COO