

# SOP: Assignment of Investigation Officer or Committee

This SOP defines the process for the **assignment of an investigation officer or committee** to ensure thorough, unbiased, and timely investigation of incidents, complaints, or breaches within the organization. It outlines the criteria for selecting qualified personnel, the delegation of responsibilities, and the communication protocols to maintain transparency and integrity throughout the investigation process. The goal is to facilitate effective resolution and uphold organizational standards and compliance.

## 1. Purpose

To establish a standardized method for assigning an investigation officer or committee to handle incidents, complaints, or breaches effectively, maintaining objectivity, transparency, and compliance with internal and external requirements.

## 2. Scope

This SOP applies to all incidents, complaints, or breaches requiring formal investigation within the organization.

## 3. Definitions

- **Investigation Officer (IO):** An individual appointed to conduct a formal investigation.
- **Investigation Committee:** A group assigned to carry out a joint investigation, usually for complex or sensitive cases.
- **Incident:** Any event, complaint, or breach warranting an investigation.

## 4. Roles and Responsibilities

Role	Responsibility
Appointing Authority	Initiates assignment of the investigation officer or committee and ensures procedure adherence.
Investigation Officer/Committee	Conducts investigation as per guidelines, maintains confidentiality, and documents findings.
HR/Compliance Dept	Provides support and guidance, monitors investigation process, preserves records.

## 5. Procedure

1. **Incident Notification:** Relevant authorities are notified of the incident requiring investigation.
2. **Initial Assessment:** Appointing Authority performs a preliminary review to determine the need for a formal investigation.
3. **Selection Criteria:** The Appointing Authority identifies potential investigation officers or committee members based on:
  - Relevant expertise and experience
  - Impartiality and absence of conflicts of interest
  - Availability and ability to commit to timelines
4. **Assignment:** The officer or committee is formally assigned via written communication, defining scope, responsibilities, and timelines.

5. **Disclosure and Recusal:** Assigned personnel must disclose any conflicts of interest and recuse themselves if necessary.
6. **Investigation Process:** The investigation proceeds as per established protocols.
7. **Reporting:** Findings and recommendations are submitted to the Appointing Authority for further action.
8. **Record Keeping:** All documents and reports are securely maintained by HR/Compliance.

## 6. Communication Protocols

- All communications regarding the investigation must remain confidential.
- Regular updates should be provided to the Appointing Authority.
- Upon conclusion, affected parties are notified per organizational policy.

## 7. Review and Revision

This SOP is to be reviewed annually or following a major incident to ensure continued effectiveness and compliance.

## 8. References

- Organizational Code of Conduct
- Applicable Laws and Regulations
- Related Investigation SOPs/Guidelines