Inquiry Checklist

Procedure

Receipt of allegation(s)
- collect information
  - nature of allegation
  - possible respondents
  - necessary evidence
- is it a matter covered by misconduct regulations?
- would informal steps be possible or appropriate?
- determine if frivolous or clearly mistaken

Consult with department head (or next in administrative line) of respondent
- if not frivolous or clearly mistaken, inform dean

Dean makes determination about whether inquiry is necessary or desirable
- select inquiry team members
  - note: charge letter should have policy attached, written orientation information for team members, if any, and background on allegations, if available and appropriate

Inform respondent of inquiry
- provide written notice of charge, rights under policy
- secure evidence (if necessary)

Inform complainant of inquiry

Arrange meeting of inquiry team
- orientation of team members
- requirements of policy
- dynamics of process
- their role
- information on allegations, review of evidence available
- meet with complainant
- meet with respondent
- meet with others, as appropriate
- secure additional information, as needed & appropriate
- (meet with any of witnesses again, as necessary)

Come to conclusions; draft report
- Submit report to required official
- date of team appointment, compliance with procedural requirements
- how many meetings, for how long
- with whom met
- evidence reviewed
- findings & conclusions
- recommendations re investigation

Decision re initiation of investigation / termination of inquiry
- if no investigation recommended:
  - notify respondent
  - notify complainant
  - notify witnesses
  - notify others informed of inquiry
  - collect documents, seal file

- if investigation recommended:
  - notify respondent, solicit comments on report
  - notify initiator
  - notify witnesses
  - notify others informed of inquiry
  - notify agencies

*See Sample Inquiry Report in Sample Reports section