

Initial Misconduct Report

For Use by Principals and School Administrators

SECTION 1: BASIC INFORMATION

Building Name:	
Name of Reporting Principal/Administrator:	

SECTION 2: SOURCE OF ALLEGATION

Reported By:

Student Staff Member Parent/Guardian Anonymous Other: _____

Name of Reporter (if known):	
Relationship to School:	
Date Misconduct was Reported:	/ /
Time Misconduct was Reported:	AM / PM

SECTION 3: ALLEGATION DETAILS

Date/Time Misconduct Allegedly Occurred (if known):	
Location of Alleged Misconduct:	
Type of Alleged Misconduct:	<input type="checkbox"/> Student Misconduct <input type="checkbox"/> Employee Misconduct <input type="checkbox"/> Other: _____
Individuals Allegedly Involved (Names and Roles, if known):	

Brief Summary of the Allegations:

SECTION 4: INITIAL ACTIONS TAKEN

- Immediate safety concerns assessed and addressed.
- Law enforcement or mandated reporting agency notified (if required).
- District administration consulted (if applicable).
- Witnesses or additional evidence identified.
- Investigation initiated.

Notes:

SIGNATURE

Principal/Administrator Signature:	
Date:	___ / ___ / ____

Safety and Investigation Referral Assessment

For Use by Principals and School Administrators

SECTION 1: SAFETY ASSESSMENT

Is immediate action necessary to ensure safety?

Yes No

If yes, describe the action taken and the rationale:

SECTION 2: INVESTIGATION REFERRAL ASSESSMENT

Will the principal conduct the investigation?

Yes No — If no, refer to central administration.

Rationale for decision:

SECTION 3: DOCUMENTATION AND SIGNATURE

This assessment must be documented as part of the official investigation file.

Principal/Administrator Name _____

Date of Assessment ____ / ____ / ____

Signature: _____

Investigation Plan

For Use by Principals and School Administrators

SECTION 1: BASIC INFORMATION

- **Name of Principal/Investigator:** _____
- **Date Investigation Plan Created:** ____ / ____ / _____
- **Subject(s) of Investigation:** _____
- **Nature of Allegation:** _____

SECTION 2: SCOPE OF THE INVESTIGATION

Principals must define the scope of the investigation to ensure it is appropriately focused and complete.

- **Identified Policy(ies) or Rule(s) Allegedly Violated:**

- **Complainant/Victim:** _____
- **Respondent/Alleged Perpetrator:** _____
- **Other Known Individuals Involved (Witnesses, Bystanders, etc.):**

- **Relevant Time Frame (Date(s) of Incident or Pattern):**

- **Location(s) Where Events Allegedly Occurred:**

SECTION 3: WITNESS LIST

Identify individuals who may have relevant knowledge of the events or circumstances.

Witness Name	Role/Relationship to Incident	Contact Information	Interview Date/Time (Planned)

SECTION 4: DOCUMENTS TO COLLECT OR REVIEW

List relevant records, files, reports, or communications.

Document Description	Source/Location	Requested or Collected (Date)

SECTION 5: PHYSICAL OR DIGITAL EVIDENCE

List physical or digital evidence to be gathered (e.g., photos, video, items, device logs).

Description of Evidence	Location/Owner	Collected (Date)

SECTION 6: INTERVIEW & COMPLETION TIMELINE

Task	Target Date	Actual Date Completed
Initial Planning Complete	_____	_____
Witness Interviews	_____	_____
	_____	_____

Task	Target Date	Actual Date Completed
	_____	_____
	_____	_____
	_____	_____
	_____	_____
Evidence Review	_____	_____
Report Finalization	_____	_____

SECTION 7: NOTES & STRATEGY CONSIDERATIONS

Record any additional planning notes, legal or procedural considerations, or strategy concerns.

Witness Interview Outline

For Use by Principals and School Administrators

SECTION 1: WITNESS INFORMATION

Name of Witness:	
Role/Relationship to Incident:	
Interview Date and Time:	
Interviewer Name/Title:	

SECTION 2: PREPARED QUESTIONS

List anticipated or planned questions based on the scope of the investigation. Add space for follow-ups.

1. _____
2. _____
3. _____
4. _____
5. _____

Additional Follow-Up Notes/Questions During Interview:

SECTION 3: INTERVIEW OBSERVATIONS & WITNESS RESPONSES SUMMARY

Summarize key information provided, non-verbal behavior, and any inconsistencies or notable points.

SECTION 4: INTERVIEWER NOTES & NEXT STEPS

Were any new individuals or facts mentioned that require follow-up?

Yes No

If yes, specify: _____

Recommended next steps based on this interview:

[School District Letterhead]

[Date]

[Method of Delivery]

[Employee Name]

[Address]

Re: Notice of Investigative Interview

Dear [Employee Name]:

The [School District Name] is conducting an investigation into certain circumstances or allegations. As part of this process, you are being asked to participate in an interview because you may have relevant information. Please note that this interview is not, in and of itself, a disciplinary action. You are being interviewed in your capacity as [a witness to the matter/the individual alleged to have engaged in misconduct].

The investigation involves [insert short description]

The interview is scheduled for [insert date] at [insert time] o'clock at the administrative offices of the School District.

[Optional if applicable: We will have a court reporter with us for this interview. The purposes of having a court reporter are two-fold—(1) it relieves us of the need to take comprehensive notes of the interview, resulting in this interview taking less time; and (2) the court reporter has the ability of creating a verbatim transcript which is better than notes.]

Confidentiality.

We try to keep these kinds of investigations confidential, but we cannot promise absolute confidentiality because there are times when information must be disclosed, considering such things as due process, subpoenas, a union's right to information, etc. Although we cannot promise or guarantee complete confidentiality, we will not make disclosures unless advisable or necessary.

Although we cannot promise complete confidentiality, we are directing you as an employee of the School District to comply with the following requirements regarding confidentiality.

You must not disclose any educational record that contains any personally identifiable information to anyone as part of this process, including your attorney(s) [or union representative]. The term "personally identifiable information" "includes, but is not limited to—(a) The student's name; (b) The name of the student's parent or other family members; (c) The address of the student or student's family; (d) A personal identifier, such as the student's social security number, student number, or biometric record; (e) Other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name; (f) Other information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or (g) Information requested by a person who the educational agency or institution reasonably believes knows the identity of the student to whom the education record

relates.” 34 CFR § 99.3. If you believe that it is reasonably necessary to share any educational records with anyone, including your attorney(s) [or union representative], you must redact all personally identifying information and provide a copy to me before it is shared so that we can ensure that it has been properly redacted, and all personally identifiable information has been removed.

You are requested keep everything (including, but not limited to, the allegations, and all details thereof, the facts relating to this matter, the people involved, this process, the results of this process, witness names) fully confidential, and you must not disclose any confidential information unless you have a legal or constitutional right to make the disclosure and only to the limits that the disclosure is protected by law. For example, you have the right to discuss this with your attorney, but he or she must keep this confidential to the same extent that you have the duty to keep this confidential. [*If applicable:* Another example, you may have a legal right to discuss this with your union.] If you have a legal or constitutional right to make a disclosure, you must develop a plan that ensures that this matter remains confidential except to the extent allowed by law.

Additional Directives.

You must also comply with the following directives:

Documents/Evidence. If you have any document(s) or evidence that you believe is relevant to this investigation, you are directed to bring the document(s) or evidence to the interview.

Litigation Hold. You are directed to preserve all documents, emails, texts, electronic files of any nature that have any bearing or relevance to this investigation, the allegations that are being investigative, or the students, employees, or other individuals involved. You are directed not to delete any electronic files or data of anything that is or possibly may be relevant.

Retaliation Prohibited. You are directed not to take any action that could be construed as retaliation against anyone who has given us information or engaged in any protected conduct under law.

Cooperation. You must cooperate with this investigation and process.

Protection from Retaliation.

If you experience or suspect any form of retaliation as a result of your participation in this process, report it immediately. The School District does not tolerate retaliation and will take any such claims seriously.

Thank you for your cooperation and attention to this matter.

Sincerely,

[*Name of Principal/School Administrator*]

[*Title*]

[*Contact Information*]

Interview Notes

For Use by Principals Conducting Investigative Interviews

Interview Details

Date of Interview: _____

Time of Interview: _____

Location of Interview: _____

Names and Roles of All Present

1. _____

2. _____

3. _____

Questions Asked and Responses Provided

(Use the space below to write each question and the response received)

Q1: _____

Response: _____

Q2: _____

Response: _____

Q3: _____

Response: _____

Q4: _____

Response: _____

Q5: _____

Response: _____

Clarifying or Follow-Up Questions

Observations of Demeanor

(e.g., “appeared anxious,” “became emotional”)

Signature of Interviewer

Name: _____

Signature: _____

Date: _____

Witness Interview Form

For Use by Principals Conducting Investigative Interviews

Interview Information

Date: _____

Time: _____

Location: _____

Interviewer Name/Title: _____

Interviewee Name: _____

Role (e.g., Student, Teacher, Staff): _____

Purpose of Interview

- Witness
- Subject of Allegation
- Other (Specify): _____

Summary of Interview

Use this section to summarize the interview or include verbatim quotes if necessary.

Key Statements / Verbatim Quotes

“ _____ ”

“ _____ ”

“ _____ ”

“ _____ ”

Interviewee Acknowledgment

By initialing or signing below, the interviewee acknowledges that the above summary reflects their statements as accurately as possible. This is not an admission of guilt or wrongdoing.

Interviewee Initials: _____ Date: _____

Interviewee Signature (if applicable): _____

Audio Recording Documentation Form

For use by principals when recording interviews of students or employees

Interview Information

- **Date of Interview:** _____
- **Time of Interview:** _____
- **Location:** _____
- **Principal/Investigator Name:** _____
- **Interviewee Name:** _____
- **Role of Interviewee (e.g., witness, subject):** _____
- **Others Present:** _____

Pre-Recording Notice

- All individuals present were **notified in advance** that the interview would be **audio recorded**.
- The notification was provided:
 - Verbally; or
 - In writing (attach copy, if applicable) [*see attached template*]
- All parties **consented to the recording**.
- At the start of the recording, the **principal stated on the record**:

“This interview is being audio recorded. All individuals present have been notified of and consented to this recording.”

Recording Details

- **Device Used for Recording:** _____
- **Recording File Name/ID:** _____
- **Recording Duration:** _____
- **Storage Location of Audio File:** _____
- **Backup Created:** Yes No
- **Backup Location (if applicable):** _____

Transcript Preparation

A transcript of the interview recording was prepared.

- **Typist Name:** _____
- **Date of Transcript Completion:** _____

Certification of Transcript Accuracy

By signing below, we certify that the transcript is a true and accurate representation of the recorded interview.

Signature of Typist: _____ **Date:** _____

Signature of Principal/Investigator: _____ **Date:** _____

Notes or Additional Comments:

[School District Letterhead]

Written Consent to Audio Recording of Interview

Consent to Audio Recording – Investigative Interview

I, [Employee/Student Name], acknowledge that I have been notified that my interview with [Principal/Investigator Name] on [Date] at [Location] will be **audio recorded**.

I understand the following:

- The purpose of the audio recording is to ensure accuracy of the interview record.
- The recording may be transcribed, and both the recording and transcript will be retained as part of the investigation file.
- I may ask questions about the process before consenting.
- This interview is not a disciplinary proceeding unless I have been otherwise notified.
- I have the right to request the presence of a union representative or other support person if applicable.

I consent to the audio recording of this interview.

I do **not** consent to the audio recording of this interview.

Interviewee Name (Print): _____

Interviewee Signature: _____

Date: _____

Witness/Principal Name (Print): _____

Signature: _____

Date: _____

Commented [A1]: If it is a student under age 18 signing, should there be a signature line for parents to sign as well?

Video Recording Documentation Form

For use by principals when video recording interviews of students or employees

Interview Information

- **Date of Interview:** _____
- **Time of Interview:** _____
- **Location:** _____
- **Principal/Investigator Name:** _____
- **Interviewee Name:** _____
- **Role of Interviewee (e.g., witness, subject):** _____
- **Others Present:** _____

Pre-Recording Notice

- All individuals present were **notified in advance** that the interview would be **video recorded**.
- The notification was provided:
 - Verbally; or
 - In writing (attach copy, if applicable) [*see attached template*]
- All parties **consented to the video recording**.
- At the start of the recording, the **principal stated on the record**:

“This interview is being video recorded. All individuals present have been notified of and consented to this recording.”

Recording Details

- **Device Used for Recording:** _____
- **Recording File Name/ID:** _____
- **Video Duration:** _____
- **Storage Location of Video File:** _____
- **Backup Created:** Yes No
- **Backup Location (if applicable):** _____

Transcript Preparation

A transcript of the video interview was prepared.

- **Typist Name:** _____
- **Date of Transcript Completion:** _____

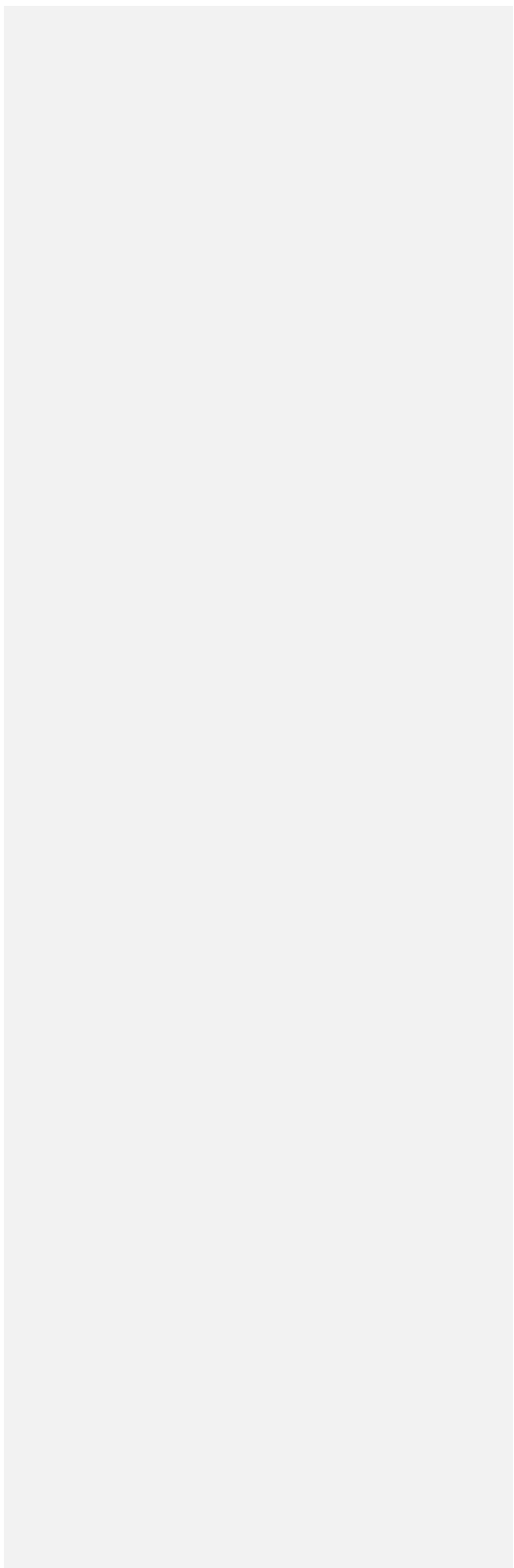
Certification of Transcript Accuracy

By signing below, we certify that the transcript is a true and accurate representation of the recorded interview.

Signature of Typist: _____ **Date:** _____

Signature of Principal/Investigator: _____ **Date:** _____

Notes or Additional Comments:



[School District Letterhead]

Written Consent to Video Recording of Interview

Consent to Video Recording – Investigative Interview

I, [Employee/Student Name], acknowledge that I have been notified that my interview with [Principal/Investigator Name] on [Date] at [Location] will be **video recorded**.

I understand the following:

- The purpose of the video recording is to document the interview accurately, including both verbal responses and demeanor.
- The recording may be transcribed, and both the recording and transcript will be retained as part of the investigation file.
- I may ask questions about the process before consenting.
- This interview is not a disciplinary proceeding unless I have been otherwise notified.
- I have the right to request the presence of a union representative or other support person if applicable.

I consent to the video recording of this interview.

I do **not** consent to the video recording of this interview.

Interviewee Name (Print): _____

Interviewee Signature: _____

Date: _____

Witness/Principal Name (Print): _____

Signature: _____

Date: _____

Commented [A1]: If it is a student under age 18 signing, should there be a signature line for parents to sign as well?

Evidence Log

I. Section A – Documentary Evidence

Instructions: List and describe all documents gathered during the investigation, such as emails, text messages, printed materials, social media posts, disciplinary records, reports, and any physical items. Note how each item was obtained and how it will be stored or preserved.

#	Type of Evidence	Description / Relevance	Source (person/system)	Date Collected	Storage Location / Method
1					
2					
3					
4					
5					
6					
7					
8					

Physical evidence collected? (e.g., clothing, objects):

Describe and list storage method: _____

Storage location: _____

Chain of custody initiated? Yes No

II. Section B – Video Surveillance Evidence

Instructions: Document any relevant security camera footage reviewed, saved, or requested as part of the investigation.

#	Location of Camera	Date/Time Range Reviewed	Relevance of Footage	Was Footage Saved?	Storage Location / File ID
1					
2					
3					
4					

I confirm that all relevant video footage has been secured and saved in a manner that prevents deletion, editing, or overwriting.

Signature of Principal: _____ Date: _____

Investigation Report

For Use by Principals Conducting Student or Employee Investigations

1. Basic Information

Principal/Investigator Name: _____

School/Location: _____

Date of Initial Report: _____

Person making Initial Report: _____

To whom Initial Report was Made: _____

Date/Timeframe of Reported Incident(s): _____

Investigation Start Date: _____ End Date: _____

2. Summary of Allegation(s)

Brief description of the reported incident or concern:

3. Individuals Involved

List all relevant individuals, including complainant(s), respondent(s), and witnesses.

Name	Role (e.g., Complainant, Respondent, Witness)	Relationship to School (e.g., student, staff)

4. Investigation Overview

[Provide a general summary of the investigative process, including key steps taken, such as receiving and reviewing the initial complaint, collecting evidence, obtaining written statements, and conducting interviews from relevant parties. Include any procedural measures taken, such as

providing the factual record to the complainant and respondent for review, if applicable. If the investigation extended beyond the typical timeline, briefly explain the reason for the delay.]

5. Complainant Interviews and Submitted Information

Interview(s) Conducted with Complainant:

Date(s):

Location(s):

Individuals Present:

Summary of Interview(s):

[Provide brief summary with reference to Interview Notes/Transcript included in Appendix. If multiple interviews occurred or a response was made to the distribution of evidence, note this here.]

[Notes/Transcript] of the interviews conducted with the Complainant are included with the Evidence Appendix at Item __.

Relevant Additional Information Provided by Complainant:

[List additional non-verbal information submitted that is relevant – written documents, emails, texts, etc., and include all actual documents/records submitted which directly relate to the allegations (even if not deemed relevant) as attachments numbered within the Evidence Appendix.]

6. Respondent Interview(s) and Submitted Information:

Interview(s) Conducted with Respondent:

Date(s):

Location(s):

Individuals Present:

Summary of Interview(s):

[Provide brief summary with reference to Interview Notes/Transcript included in Appendix. If multiple interviews occurred or a response was made to the distribution of evidence, note this here]

[Notes/Transcript] of the interviews conducted with the Respondent are included within the Evidence Appendix at Item __.

Relevant Additional Information Provided by Respondent:

[List additional non-verbal information submitted that is relevant – written documents, emails, texts, etc., and include all actual documents/records submitted which directly relate to the allegations (even if not deemed relevant) as attachments numbered within the Evidence Appendix.]

7. Witness Interviews and Submitted Information:

1) [Insert witness name and title]:

a. Date(s):

b. Location(s):

c. Individual Present:

d. Summary of Interview(s):

[Provide brief summary with reference to Interview Notes/Transcript included in Appendix.]

[Notes/Transcript] of the interview(s) conducted with Witness are included within the Evidence Appendix at Item __.

e. Relevant Additional Information Provided by Witness:

[List additional non-verbal information submitted that is relevant – written documents, emails, texts, etc., and include all actual documents/records submitted which directly relate to the allegations (even if not deemed relevant) as attachments numbered within the Evidence Appendix.]

2) [Insert witness name and title]: *Same as above, continue for all additional witnesses.*

8. Evidence Collected

For a list of evidence reviewed, see the Evidence Appendix attached hereto and incorporated into this factual report.

9. Findings of Fact

[Provide an analysis of the interviews and evidence collected, and summarize how the interviews and evidence support/refute the allegations. State factual conclusions based on the interviews and evidence.]

10. Policy Violation Determination

[Indicate whether a violation of school or district policy occurred, and identify the policy.]

11. Recommendations (If Applicable)

[Include any recommendations, such as referrals for disciplinary action or other follow-up steps.]

Principal/Investigator Signature: _____

Date: _____

Evidence Appendix

[Insert numbered list of all evidence collected]

Principal's Investigation Checklist

I. Authority to Investigate

- Determine whether you will investigate or refer the matter.
 - Confirm whether school district rules and practices authorize the principal to investigate the issue.
 - If beyond principal's authority, refer to appropriate authority:
 - Superintendent
 - HR Director
 - Title IX Coordinator
 - ChildLine
 - Law Enforcement
 - PDE (Pennsylvania Department of Education)
-

II. Understand Relevant Legal and Policy Framework

- Review federal and state laws relevant to the misconduct.
 - Review applicable school board policies and codes of conduct.
 - If sexual harassment and a *Formal Complaint* under Title IX is involved:
 - **Do NOT proceed** unless trained and designated as Title IX Investigator.
-

III. Initial Response

- Mandatory Reporting Obligation:
 - If there is reasonable cause to suspect child abuse, immediately report:
 - Via the Child Welfare Portal; or
 - Call ChildLine at 1-800-932-0313.

- If the alleged conduct qualifies as a Safe Schools Act reportable offense:
 - The Superintendent or designee must promptly notify local law enforcement following applicable School District procedures and legal requirements.
 - These steps must be taken immediately and must not be delayed pending further school-based investigation.
 - Document the initial report (date, time, source, substance). [Form 1]
 - Assess immediate safety risks to students/staff. [Form 2]
 - Document any immediate protective or safety actions taken.
-

IV. Plan the Investigation

- Define scope:
 - Identify rule/policy potentially violated.
 - List complainant, respondent, and witnesses.
 - Note relevant locations and timeframe.
 - Develop investigation plan:
 - Identify documents and evidence to gather.
 - Timeline for tasks and interviews. [Form 3]
-

V. Interview Preparation & Execution

- Schedule interviews in private, neutral, and confidential setting.
- Prepare open-ended and follow-up questions. [Form 4]
- Be ready to adapt to gather full facts.
- Maintain professional tone; avoid bias or assumptions.

Interviewing Students

- Consider maturity, disability, and emotional readiness.

- If student under 18 and allegations involve sensitive topic, prior notice to student's parent may be required.
- Provide necessary supports (e.g., special ed staff, visual aids).
- Review IEP or 504 Plan if applicable.

Interviewing Employees

- Provide written notice and description of issue. [Form 5]
- If requested, provide a union representative for employee accused of misconduct who is in a collective bargaining unit.
- If serious discipline is possible (e.g., suspension without pay), ensure Loudermill rights are preserved.

VI. Interview Documentation

Choose appropriate method(s):

- Handwritten notes signed by interviewer. [Form 6]
- Interview summary form or structured template. [Form 7]
- Verbatim transcription (e.g., by designated note-taker or stenographer, if appropriate)
- Audio recording (with prior written or verbal notice and consent). [Form 8]
- Video recording (with prior written or verbal notice and consent). [Form 9]
- Signed witness statements, if appropriate. [Form 10]
- Save any post-interview email clarifications.
- Maintain interview attendance log. [Form 11]
- Secure all records in confidential location (either digital or physical) that is consistent with School District requirements.

VII. Gather & Preserve Evidence

- Collect all documentary evidence (emails, texts, social media, reports, disciplinary records, etc.).

- Preserve physical evidence (clothing, objects, etc.). [Form 12]
 - Review and retain relevant video surveillance footage. [Form 12]
 - Conduct searches only if in accordance with applicable laws and school board policies:
 - For students: requires reasonable suspicion and proportionate scope.
 - For employees: requires reasonable suspicion; scope must be limited and job-related.
 - Obtain consent when possible.
 - Ensure compliance with collective bargaining agreements, if applicable.
 - Follow chain-of-custody procedures for drug testing or sensitive evidence.
 - Do NOT use polygraphs or voice stress tests unless clearly authorized and consented to in writing.
 - Avoid threats, coercion, or promises of immunity.
-

VIII. Investigation Report [Form 13]

- Summarize allegations and parties involved.
 - Summarize interview contents.
 - List and analyze all evidence collected.
 - Identify findings of fact.
 - Conclude if policy violation occurred.
 - If appropriate, provide any recommendations (e.g., referral for discipline).
-

IX. Confidentiality & Retaliation

- Remind all parties of confidentiality requirements.
 - Instruct that retaliation is strictly prohibited.
 - Monitor for signs of retaliation and intervene as needed.
-

X. Closing the Investigation

- Determine whether to share findings summary (per school board policy and confidentiality requirements).
- If student discipline results, notify parents/guardians if required.
- File all documents per retention policy.

Principal's Investigation Checklist

I. Authority to Investigate

- Determine whether you will investigate or refer the matter.
 - Confirm whether school district rules and practices authorize the principal to investigate the issue.
 - If beyond principal's authority, refer to appropriate authority:
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 - Avoid threats, coercion, or promises of immunity.
-

VIII. Investigation Report [Form 13]

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