



Investigation Escalation Decision Tree

Step 1 – Initial Assessment

Does the complaint involve any of the following?

Concern Type	Yes	No
Harassment	☐	☐
Sexual harassment	☐	☐
Discrimination	☐	☐
Retaliation	☐	☐
Threats or violence	☐	☐
Leadership misconduct	☐	☐
Ethics or fraud concerns	☐	☐
Wage & hour concerns	☐	☐
Protected leave concerns	☐	☐
Potential legal claim	☐	☐
Media/reputational risk	☐	☐
Law enforcement involvement	☐	☐

Step 2 – Escalation Guidance

If YES To	Required Escalation
Threats / Violence	Immediate HR Leadership + Legal
Harassment / Discrimination / Retaliation	HR Leadership
Executive or RD/RVP involvement	HR Leadership + Legal
Wage & Hour / Leave Issues	HR Leadership
Potential litigation	Legal
Ethics / Fraud	HR Leadership
Multiple complaints / pattern concerns	HR Leadership

Step 3 – Tier Classification

Tier	General Guidance
Tier 1	Minor ER concern, limited risk
Tier 2	Significant policy or leadership concern
Tier 3	Legal, safety, executive, or reputational exposure

Step 4 – Mandatory Controls

Requirement	Tier 1	Tier 2	Tier 3
Findings Report	☐	☐	☐
Evidence Log	Optional	Required	Required
AI Transcription	Optional	Recommended	Required





Requirement	Tier 1	Tier 2	Tier 3
Legal Review	Rare	Case-by-case	Required
Retaliation Monitoring	Case-by-case	Required	Required
RD Notification (Required for SM/ GM/ OP/ MP)	No	Sometimes	Required

