

# Internal Investigation Report Template

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Draft or Final Report

Date: \_\_\_\_\_

Matter # \_\_\_\_\_

Category: \_\_\_\_\_

Business Name /Location: \_\_\_\_\_

Investigator(s): \_\_\_\_\_

Legal Counsel: \_\_\_\_\_

Was the allegation or concern substantiated? Y/N

Is it significant: (If yes, indicate if any of the following were notified.)

Chief Ethics & Compliance Officer

Chief Legal Counsel

Chief Financial Officer

Chief Executive Officer

Internal Audit

Board of Directors

Others (Identify any local, state and federal authorities below.)

Identify disciplinary actions taken:

None

Verbal Warning

Written Warning (1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>)

Suspension w/without pay

Deduction of Bonus

Termination

Other (describe)

Describe any corrective actions taken:

None

Policy Revision

Education/Training

Other (Briefly Describe)

Other known actions taken by reporter, complainant or accused:

Lawsuit

Union Action (Briefly Explain)

Other (Briefly Describe)

Government Agency (e.g. EEOC, Dept of Labor, State HR Commissions, Govt. Hotlines)

## Investigation Summary:

*(Briefly describe the actions taken in conducting the investigation.)*

*(Please list the name(s) of the individual(s) who were involved in the investigation. If an outside source was involved, please identify.)*

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**Who was interviewed?**

*(Describe who was interviewed during the investigation include full name and title along with date of interview.)*

**Identify Documents Reviewed:**

*(Identify policy, procedures, instructions, forms, reports along with any other documentation to support the findings and recommendations of this investigation.)*

**If matter involves/reports alleged issues with an employee, has employee been named in prior reports over the past year? Y/N**

*If yes, please provide summarize prior incidents noting if matter reports same issue with employee.*

**This investigation was conducted to answer the following (describe the allegation or concern reported):**

**Summarize the Investigation Findings:**

**Conclusion:**