

INTERNAL INVESTIGATION REPORT

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, did you notify any of the following?)

- Chief Ethics & Compliance Officer Chief Legal Counsel
 Chief Financial Officer Chief Executive Officer
 Internal Audit Board of Directors
 Other (Identify any local, state and federal authorities below.)

Identify any disciplinary actions taken:

- None Verbal Warning
 Written Warning (1st, 2nd, 3rd) Suspension w/without pay
 Deduction of Bonus Termination
 Other (describe)

Identify 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)
 Report to Government Agency (e.g. EEOC, Dept of Labor, State HR Commission, 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:

Identify any corrective action taken as a result of the investigation:

Conclusion: