

Internal Investigation Report Template

Draft or Final Report

Date: _____

Matter # _____

Category: _____

Business Name /Location: _____

Investigator(s): _____

Was the allegation or concern Substantiated? Y/N

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

Chief Ethics & Compliance Officer

Chief Legal Counsel

Chief Financial Officer

Chief Executive Officer

Internal Audit

Board of Directors

Others: (including local, state and federal authorities. Describe below.)

Identify disciplinary actions taken:

None

Verbal Warning

Written Warning (1st, 2nd, 3rd)

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 involved, please note.)

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Who was interviewed?

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

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: