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
___ Deduction of Bonus
___ 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.)
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: