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.)
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: