

Corporate Compliance Forms and Tools

Sources of Potential Information in an Investigation

In addition to conducting interviews, there is a number of other potentially significant sources of information to consider and possibly review as part of an internal investigation. A record of all sources of information reviewed should be retained as part of the investigation file, regardless of whether such information supports, refutes, or sheds no light on the allegations.

Item	Relevant/Not
☐ Company code of conduct, compliance policies and procedures	
☐ Company records retention policy: Consider whether issuance of an investigational hold is recommended to ensure relevant records are retained and not destroyed.	
☐ Company records (e.g., hard copy or electronic files, including presentations, memos, calendar and diary entries, notes, emails, instant messages, text messages, messaging apps, phone records): Consider imaging of relevant laptops, but be wary of chain-of-command and privacy issues and consult with legal counsel.	
☐ Geolocation data from company cell phones or mobile hot spots or other devices: Be wary of potential privacy issues, consult with legal counsel.	
☐ Employee expense reports and employee's company credit card statements.	
☐ Websites, internet, and social media (e.g., Google, Yahoo, Facebook, Twitter, LinkedIn): Be wary of potential privacy issues, consult with legal counsel.	
☐ Criminal background checks: Be wary of potential privacy issues, consult with legal counsel.	
☐ Civil/criminal matter background checks: Be wary of potential privacy issues, consult with legal counsel.	

☐ Company or location video surveillance: Be wary of potential privacy issues, consult with legal counsel.	
☐ Employee attendance and badge entry/exit records.	
☐ Employee personnel files or other relevant files (e.g., I-9, worker’s compensation, manager files): Be wary of potential privacy issues, consult with legal counsel.	
☐ Pictures/video/audio captured on employee cell phones or other recordings available: Be wary of potential privacy issues, consult with legal counsel.	
☐ Public records	
☐ Other	

Table 1: Sources of Potential Information

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