

The Complete Compliance and Ethics Manual 2024

Appendix 3-S: Sample Investigation Report Form

Investigation Report

Investigator: _____

Case Number: _____

Case Open Date: _____

Case Closure Date: _____

Allegations:

_____ Substantiated

_____ Partially Substantiated

_____ Unsubstantiated

_____ Insufficient Information – Unconclusive

I. Summary

A. Allegation Overview

On _____, the Company received a complaint of
_____ via _____.

The complaint alleged that:

1. _____

2. _____

3. _____

B. Persons Involved

The following persons were alleged to have engaged in wrongdoing:

C. Investigation Process

The following individuals were interviewed as part of this investigation:

Name/Title/Date of Interview

Name/Title:	Name/Title:
Date:	Date:
Length of Interview:	Length of Interview:
Key Findings:	Key Findings:
Name/Title:	Name/Title:
Date:	Date:
Length of Interview:	Length of Interview:
Key Findings:	Key Findings:

The following documents were gathered and reviewed as part of this investigation:

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