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, indicate if any of the following were notified.)

__ Chief Ethics & Compliance Officer  ___ Chief Legal Counsel
__ Chief Financial Officer  ___ Chief Executive Officer
__ Internal Audit  ___ Board of Directors
__ Others (Identify any local, state and federal authorities 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 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:

Conclusion: