**Compliance Investigation Report Template**

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A well-written compliance investigation report is the most effective way to demonstrate that a fair, thorough and timely investigation was conducted. Use this template to organize your investigation information in a logical, organized and comprehensive investigation report.

Table of Contents

[**Case Information** 3](#_Toc67395813)

[**Investigation Plan** 5](#_Toc67395814)

[**Case Notes** 6](#_Toc67395815)

[**Information Interview Summaries** 9](#_Toc67395816)

[**Interview Reports** 11](#_Toc67395817)

[**Exhibit List** 18](#_Toc67395818)

[**Recommendations** 19](#_Toc67395819)

**INSTRUCTIONS FOR USING THIS TEMPLATE**

Once you have completed the template, you can delete all instructions (including these) from your final document.

1. Select the “Developer” tab from the top panel in Microsoft Word.
2. Click on “Restrict Editing.” A panel will appear on the right.
3. Click on the “Stop Protection” button at the bottom of the panel.
4. Edit the document as desired and save.

**Note**: Once you select “Stop Protection,” you will no longer be able to use the drop-down fields in the document, so ensure you have completed the fields before doing this.

## **Case Information**

If the referral is a known employee, fill in the source’s employment details using the combination of fields and drop-down lists. You may need to contact human resources to get this information.

In a case management solution, these details can be extracted automatically from the human resources database to complete the fields.

**Tip**: If the referral source is anonymous, write “anonymous” and the vehicle used for the referral (i.e. hotline) in the “reported by” field.

Investigator: Case Number:

Date Case Recorded: Date Case Assigned:

MM/DD/YYYY MM/DD/YYYY

**REFERRAL SOURCE**

Reported By: Email:

Work Phone: Status:

Job Code: Hire Date:

       MM/DD/YYYY

Location: Employee ID:

Department ID: Report Date:

       MM/DD/YYYY

Incident Date:

MM/DD/YYYY

Choose a case type from the drop-down list then modify the case with an allegation type, such as sexual (for harassment), gender (for discrimination) or procurement (for fraud). If there is no allegation type, leave this field blank. You may need to contact human resources to gather details for this section.

In a case management solution, these details can be extracted automatically from the human resources database to complete the fields.

**ALLEGATION DETAILS**

Case Type: Allegation Type:

Alleged Victim:

Supervisor:

Allegation Details:

**SUBJECT OF ALLEGATION**

Name: Email:

Work Phone: Status:

Job Code: Hire Date:

       MM/DD/YYYY

Location: Employee ID:

Department ID:

## **Investigation Plan**

Keep the scope of the investigation focused narrowly on the allegation presented.

For example: The investigation will focus on the tip received through the whistleblower hotline. The objective of the investigation is to determine whether the incident reported happened.

Investigation Scope:

## **Case Notes**

Record a brief description of each action taken during the investigation. This will become your investigator diary, showing everything done during the investigation, who did it and when it was done. This is invaluable if you are ever challenged on the timeliness or thoroughness of your investigation.

**Tip**: Use this section to document all actions taken. Case notes provide a chronological record of the entire investigation.

**ACTION #1**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #2**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #3**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #4**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #5**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #6**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #7**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #8**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #9**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

**ACTION #10**

Action Type: Responsible:

Date Completed: Description:

MM/DD/YYYY

## **Information Interview Summaries**

Information interview summaries are designed to stand alone as a record of who was interviewed, by whom, where and when. These pages can be produced as a simple record of interviews conducted, as opposed to the longer version that follows in the next section.

As you complete each field in this section, the information will populate the corresponding fields in the following section.

**Tip**: It’s important to choose an interview location that is private and free of distractions, but not intimidating.

**INTERVIEW #1**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

**INTERVIEW #2**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

**INTERVIEW #3**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

**INTERVIEW #4**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

**INTERVIEW #5**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

**INTERVIEW #6**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

## **Interview Reports**

When providing the credibility assessment, avoid making assumptions about the subject’s behavior as an indicator of truthfulness. For example, while avoiding eye contact might be interpreted as a sign of deception for one person it could be a cultural norm for another.

In the interview notes fields, provide a skeleton of what you said during the introduction, incident overview and interview conclusion. For example:

Introduction:

• Explained the purpose of the interview

• Explained my role as lead investigator

• Reviewed confidentiality concepts

• Gave overview of protection against retaliation

• Explained interview ground rules

Interview Conclusion:

• Thanked witness for honesty and time

• Reviewed confidentiality concepts

• Obtained signature on witness interview report

**Tip**: A separate document, the investigation interview report, contains the full details of what was said during the interview. It can be included as an attachment to the investigation report.

**INTERVIEW #1**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

**INTERVIEW #2**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

**INTERVIEW #3**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

**INTERVIEW #4**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

**INTERVIEW #5**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

**INTERVIEW #6**

Conducted By: Interview Subject:

Interview Location: Interview Date:

       MM/DD/YYYY

Credibility Assessment:

Introduction:

Incident Overview:

Interview Conclusion:

## **Exhibit List**

List all attachments and evidence that are related to the case. Examples are investigation interview reports, performance reviews, emails, video files, etc.

**Tip**: If you are using case management software, you can upload all digital evidence and exhibits to the case file.

**EXHIBIT #1**

**EXHIBIT #2**

**EXHIBIT #3**

**EXHIBIT #4**

**EXHIBIT #5**

**EXHIBIT #6**

## **Recommendations**

Draw a conclusion. For example: After reviewing the documentary evidence combined with the interviews, it appears that the allegation is credible.

Make recommendations. For example: We recommend that disciplinary action be taken with Jerry Jones.

Provide an action plan. For example: All parties should be contacted in six months for follow-up.

**Tip**: Resist the temptation to find that the investigation was inconclusive. If you can’t come to a conclusion, review the evidence again or investigate further.

Final Investigative Findings:

Final Recommendations:

Organizational Action Plan:

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**IF YOU HAVE ANY QUESTIONS:**

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