

# The Complete Compliance and Ethics Manual 2024

## Appendix 3-S: Sample Investigation Report Form

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### 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:

\_\_\_\_\_

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### 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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