

Case IQ

# INVESTIGATION REPORT TEMPLATE

Template



# TABLE OF CONTENTS

1. Case Information	03
2. Investigation Plan	05
3. Case Notes	06
4. Information Interview Summaries	08
5. Interview Reports	09
6. Exhibit List	12
7. Recommendations	13

# Case Information

## INSTRUCTIONS

If the referral is a known employee, fill in the source's employment details. 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.

Investigator

Date Case Recorded: (M/D/YY)

Date Case Assigned: (M/D/YY)

## REFERRAL SOURCE

Reported By

Email

Work Phone

Status

Job Code

Hire Date: (M/D/YY)

Location

Employee ID

Department ID

Report Date: (M/D/YY)

Incident Date: (M/D/YY)

# Case Information

IQ

## ALLEGATION DETAILS

Case Type

Allegation Type

Alleged Victim

Supervisor

Allegation Details

## SUBJECT OF ALLEGATION

Name

Email

Work Phone

Status

Job Code

Hire Date: (M/D/YY)

Location

Employee ID

Department ID

## INVESTIGATION PLAN

### INSTRUCTIONS

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

### NOTES

## CASE NOTES

### INSTRUCTIONS

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.

#### ACTION #1:

Action Type

Responsible

Date Completed: (M/D/YY)

Description

#### ACTION #2:

Action Type

Responsible

Date Completed: (M/D/YY)

Description

#### ACTION #3:

Action Type

Responsible

Date Completed: (M/D/YY)

Description

#### ACTION #4:

Action Type

Responsible

Date Completed: (M/D/YY)

Description

# Information Interview Summaries

## INSTRUCTIONS

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.

### INTERVIEW #1:

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

### INTERVIEW #2:

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

### INTERVIEW #3:

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

### INTERVIEW #4:

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

# Interview Reports

## INSTRUCTIONS

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 fields. 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

### INTRODUCTION:

- Thanked witness for honesty and time
- Reviewed confidentiality concepts
- Obtained signature on witness interview report

### INTERVIEW #1:

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

Credibility Assessment

Introduction

Incident Overview

Interview Conclusion



# Interview Reports

**INTERVIEW #2:**

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

Credibility Assessment

Introduction

Incident Overview

Interview Conclusion

**INTERVIEW #3:**

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

Credibility Assessment

Introduction

Incident Overview

Interview Conclusion

# Interview Reports

**INTERVIEW #4:**

Conducted By

Interview Subject

Interview Location

Interview Date: (M/D/YY)

Credibility Assessment

Introduction

Incident Overview

Interview Conclusion

# Exhibit List

## INSTRUCTIONS

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

#1:

#2:

#3:

#4:

#5:

#6:

# RECOMMENDATIONS

## INSTRUCTIONS

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.

## IF YOU HAVE ANY QUESTIONS:

### FINAL INVESTIGATIVE FINDINGS:

### FINAL RECOMMENDATIONS:

### ORGANIZATIONAL ACTION PLAN:

# EXPAND YOUR EXPERTISE

## IMPROVE YOUR INVESTIGATION SKILLS AND YOUR CAREER.

As thought leaders in the investigations space, Case IQ publishes helpful eBooks, guides, cheat sheets and templates and offers free webinars on topics related to investigations, ethics and compliance, employee misconduct and more.

With a single focus on investigative case management solutions and two decades of successful implementations, Case IQ is the global leader in configurable case management software for investigations.

## IF YOU HAVE ANY QUESTIONS:

### EMAIL

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