

Investigation Checklist

This checklist is not intended to be comprehensive.
Additions and modifications to fit local practice are encouraged.
Revised 8/5/16

Immediate

Secure original evidence, paper and electronic, including laptops, phones, tablets – if wary about alerting suspects, image their hard drives remotely

Notify counsel

Log the allegation

Determine need for notifying bonding company

Notify the audit committee

Identify the lead investigator

Identify investigation objectives

Capture facts: who, what, when, where, why, how

Interviews

Review company policy, union contracts, and applicable laws and regulations pertaining to the interview

Review background information of the interviewee

Confirm the interviewee will be closest to an exit

Confirm the interviewee has signed consent to being interviewed, and is aware they are free to leave the room at any time

Discuss and identify the role of third-party witnesses

 N/A Yes

Disposition

If subject is an employee to be suspended or discharged:

 N/A

Review and follow termination policy

Collect and cancel company credit cards

Terminate system access

Disable voicemail and email

Obtain keys and security badges

Change locks, combinations, and shared access passcodes

Bar the individual from company property

Confirm all evidence, workpapers, and notes, including copies and document drafts, have been collected and secured with the lead investigator