

Fraud Case Management Checklist Template

 Show only Checklist

Display Style
Default 

Initial Assessment & Reporting

Tasks related to the initial identification, documentation, and reporting of suspected fraud.

Date of Initial Suspicion

Enter date...

Description of Initial Suspicion/Incident

Write something...



Reported By (Role/Department)


- Employee
- Customer
- External Source
- Audit Department

Estimated Potential Loss (USD)

Severity Level (Initial)

- Low
- Medium
- High

Supporting Documentation (Initial)

 Upload File

Evidence Gathering & Preservation

Activities focused on collecting, securing, and analyzing evidence to support the fraud investigation.

Date Evidence Collected

Time Evidence Collected

Enter time...

Detailed Description of Evidence Collected

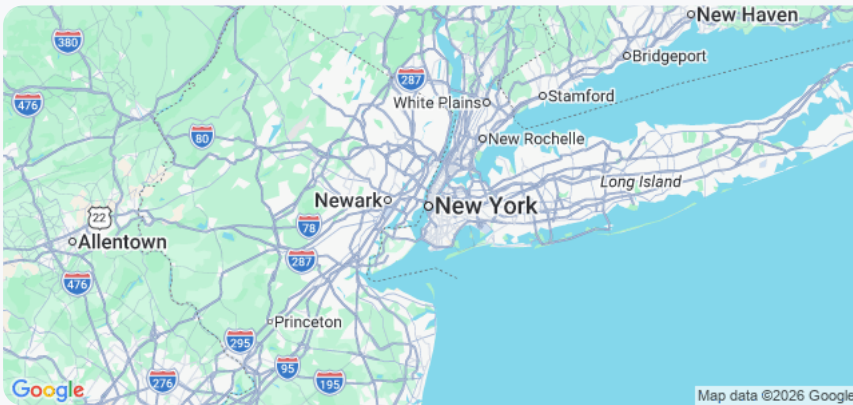
Write something...

Supporting Documents (e.g., Bank Statements, Emails)

 Upload File

Location of Evidence Source (Physical or Digital)

 Set My Current Location



Type of Evidence (e.g., Financial Record, Email)

- Financial Record
- Email
- Contract
- Other

Quantity of Documents Collected (if applicable)

Enter a number...

Investigation & Analysis

Detailed examination of financial records, interviews, and other data sources to identify the scope and perpetrators of fraud.

Summary of Initial Interview(s)

Write something...

Financial Records - Bank Statements

 Upload File

Estimated Financial Loss (USD)

Enter a number...

Suspected Perpetrator(s) - Initial Assessment

- Employee
- Vendor
- Customer
- Unknown

Date of Suspected Fraudulent Activity

Enter date...

Description of Unusual Transaction Patterns

Write something...

Potential Motives (Select all that apply)

- Personal Gain
- Revenge
- External Pressure
- Cover-up

Legal Review & Consultation

Seeking legal advice and ensuring compliance with relevant laws and regulations throughout the case.

Date of Initial Legal Consultation

Enter date...

Legal Counsel Assigned

- Internal Counsel
- External Counsel - Firm A
- External Counsel - Firm B

Summary of Initial Legal Advice Received

Write something...

Estimated Legal Fees (Initial Estimate)

Enter a number...

Legal Hold Implemented?

- Yes
- No
- Pending

Uploaded Documents (e.g., Engagement Letter)

 Upload File

Remediation & Recovery

Steps taken to recover losses, prevent future fraud, and strengthen internal controls.

Estimated Financial Loss

Enter a number...

Recovery Method Selected

- Legal Action
- Insurance Claim
- Negotiation
- Other

Detailed Recovery Plan Description

Write something...

Target Date for Initial Recovery

Enter date...

Supporting Documentation for Recovery Efforts

 Upload File

Amount Recovered to Date

Enter a number...

Status of Recovery Efforts

- Ongoing
- Completed
- Pending

Reporting & Documentation

Finalizing reports, maintaining thorough documentation, and fulfilling reporting obligations to relevant stakeholders.

Case Summary Report

Write something...

Report Submission Date

Enter date...

Estimated Financial Loss

Enter a number...

Supporting Financial Documents

 Upload File

Report Classification (e.g., Internal, External)

Internal

External

Investigating Officer Signature

Key Findings and Conclusions

Write something...

Prevention & Controls

Reviewing existing fraud prevention mechanisms and developing improved controls to reduce future risk.

Review and Update Fraud Prevention Policies?

- Yes
- No

Strengthened Internal Controls (Select All That Apply)

- Enhanced Employee Background Checks
- Mandatory Segregation of Duties
- Increased Transaction Monitoring
- Implemented Dual Authorization
- Regular Security Awareness Training

Frequency of Employee Security Training (Months)

Enter a number...

Date of Last Policy Review

Enter date...

Implementation of Whistleblower Program?

Yes

No

Closure & Audit

Officially closing the case, conducting a final audit to assess effectiveness, and documenting lessons learned.

Case Closure Date

Enter date...

Total Recovered Amount (USD)

Enter a number...

Summary of Audit Findings & Recommendations

Write something...

Case Outcome

- Resolved
- Closed (No Recovery)
- Pending Further Action

Auditor Signature

Lessons Learned and Recommendations for Improvement

Write something...

Compliance with Legal Requirements

- Fully Compliant
- Partially Compliant
- Non-Compliant