



Investigations Case Management Checklist Template

Initial Intake & Assessment

Steps to complete upon receiving a new case, including preliminary interviews and data gathering.

Case Summary/Initial Description

Write something...

Date of Initial Contact

Enter date...

Source of Referral

- ☐ Police
- ☐ Internal Report
- ☐ Third Party
- ☐ Other

Suspect/Subject Age

Enter a number...

Potential Risk Factors (Select all that apply)

- ☐ Violence
- ☐ Financial Exploitation
- ☐ Neglect
- ☐ Substance Abuse
- ☐ Mental Health Concerns
- ☐ None

Preliminary Interview Notes

Write something...

Evidence Collection & Preservation

Procedures for securing, cataloging, and maintaining the integrity of evidence.

Evidence Item Description

Write something...

Quantity of Item

Enter a number...

Date of Collection

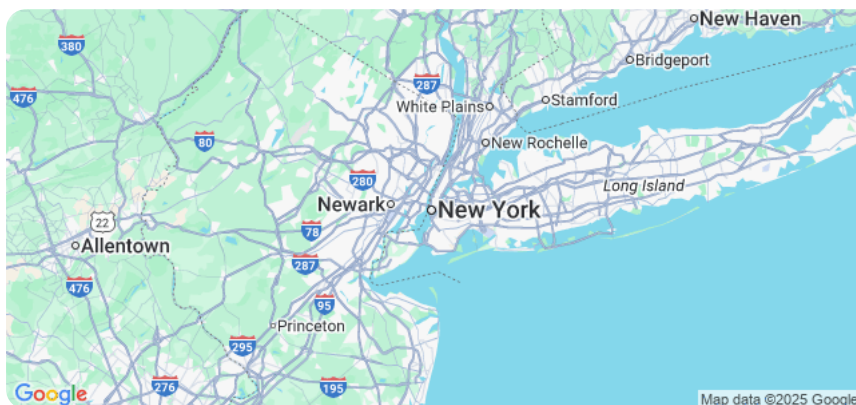
Enter date...

Time of Collection


Enter time...

Collection Location

 [Set My Current Location](#)



Supporting Photos/Videos

 [Upload File](#)

Condition of Evidence (e.g., sealed, damaged)

- ☐ Sealed
- ☐ Damaged
- ☐ Intact
- ☐ Unknown

Chain of Custody Details

Write something...

Witness Interviews & Statements

Guidelines for conducting interviews, documenting statements, and managing witness contact.

Interview Date

Enter date...

Interview Time

Enter time...

Witness Statement Summary

Write something...

Witness Cooperation Level

- ☐ Fully Cooperative
- ☐ Somewhat Cooperative
- ☐ Uncooperative
- ☐ Refused Interview

Key Points & Observations

Write something...

Audio/Video Recording (if applicable)

 Upload File

Interviewing Officer Signature

Witness Contact Information (Phone Number)

Write something...

Background Checks & Due Diligence

Process for conducting necessary background checks and verifying information.

Type of Background Check Requested

- ☐ Criminal History
- ☐ Employment Verification
- ☐ Education Verification
- ☐ Financial History
- ☐ Driving Record

Number of Prior Addresses Verified

Enter a number...

Date Background Check Initiated

Enter date...

Notes on Verification Efforts

Write something...

Verification Source (e.g., NICS, Department of Records)

- ☐ National Instant Criminal Background Check System (NICS)
- ☐ State Department of Records
- ☐ Credit Reporting Agency
- ☐ Direct Employer Contact

Supporting Documentation (e.g., Verification Reports)

 Upload File

Legal Review & Consultation

Steps for involving legal counsel and obtaining legal advice.

Date of Initial Legal Consultation

Enter date...

Summary of Legal Consultation – Key Advice & Recommendations

Write something...

Legal Counsel Assigned

- ☐ Counselor A
- ☐ Counselor B
- ☐ Counselor C

Estimated Legal Fees (Initial)

Enter a number...

Specific Legal Questions Posed and Responses Received

Write something...

Legal Strategy Approved?

- ☐ Yes
- ☐ No
- ☐ Needs Further Discussion

Reporting & Documentation

Requirements for documenting findings, preparing reports, and maintaining a case file.

Case Summary & Findings

Write something...


Report Submission Date

Enter date...

Number of Exhibits Attached

Enter a number...

Supporting Documentation (e.g., Interviews, Records)

 Upload File

Report Classification (e.g., Preliminary, Final, Amendment)

- ☐ Preliminary
- ☐ Final
- ☐ Amendment

Recommendations for Next Steps

Write something...

Security & Confidentiality

Protocols to safeguard sensitive information and maintain confidentiality.

Data Encryption Method

- ☐ AES-256
- ☐ Triple DES
- ☐ Other (Specify)

Access Control Level

- ☐ Public
- ☐ Limited
- ☐ Restricted
- ☐ Confidential

Data Sharing Permissions

- ☐ Internal Team
- ☐ Legal Counsel
- ☐ External Partners
- ☐ Client (with consent)

Last Security Audit Date

Enter date...

Security Incident Report Summary (if applicable)

Write something...

Authorized Security Reviewer Signature

Case Escalation & Coordination

Process for escalating cases and coordinating with relevant parties.

Escalation Trigger

- ☐ Significant Risk Identified
- ☐ Legal Hold Required
- ☐ Unresolved Conflict
- ☐ Resource Limitations
- ☐ Regulatory Non-Compliance

Escalation Level

- ☐ Supervisor
- ☐ Manager
- ☐ Director
- ☐ Executive

Reason for Escalation

Write something...

Priority Level (1-10)

Enter a number...

Date of Escalation

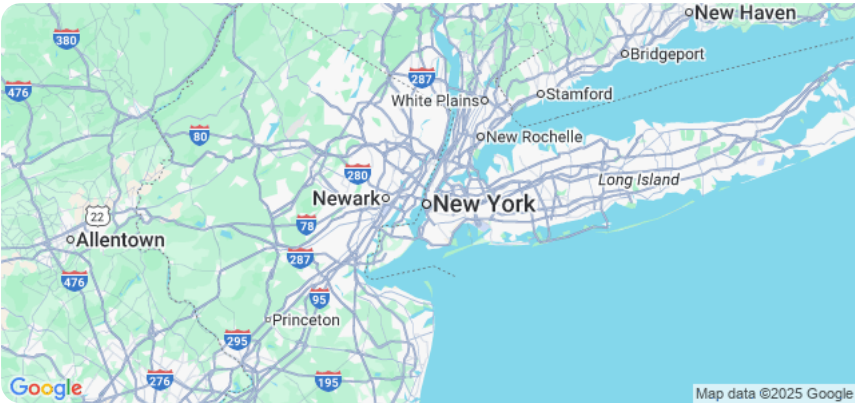
Enter date...

Time of Escalation

Enter time...

Location of Escalation Meeting (if applicable)

 Set My Current Location



Closure & Archiving

Steps for formally closing the case and archiving relevant documents.

Case Closure Date

Enter date...

Summary of Case Resolution

Write something...


Case Outcome Category

- ☐ Resolved
- ☐ Unresolved
- ☐ Suspended
- ☐ Closed - Further Action Pending

Total Case Costs (Final)

Enter a number...

Final Report/Documentation Upload

 Upload File

Investigator Signature

Notes Regarding Case Archiving (e.g., storage location, retention schedule)

Write something...

Compliance & Audit Trail

Ensuring adherence to relevant laws, regulations, and internal policies, and maintaining an audit trail of actions taken.

Initial Compliance Review Date

Enter date...

Compliance Score (if applicable)

Enter a number...

Applicable Regulations/Laws

- ☐ Regulation A
- ☐ Regulation B
- ☐ Regulation C
- ☐ Other (Specify)

Summary of Compliance Review Findings

Write something...

Compliance Officer Signature

Date of Last Audit

Enter date...

Policies Reviewed

- ☐ Policy 1
- ☐ Policy 2
- ☐ Policy 3