

Appendices and Supporting Documentation

Compliance Investigation (Sample)

Appendix A: List of Interviewed Personnel

Name	Position	Date Interviewed
Jane Doe	Compliance Officer	2024-05-18
John Smith	IT Manager	2024-05-19

Appendix B: Relevant Policies and Procedures

- Code of Conduct (Document ID: CC-001, Version 5.2, 2024-01-10)
- Data Retention Policy (Document ID: DRP-104, Version 3.0, 2023-08-22)
- Incident Reporting Procedure (Document ID: IRP-210, Version 2.3, 2023-11-14)

Appendix C: Collected Evidence Summary

Evidence Number	Description	Date Collected
E-001	Email correspondence between involved parties	2024-05-21
E-002	System access logs for April-May 2024	2024-05-22
E-003	Signed incident report form	2024-05-18

Appendix D: Additional Supporting Documents

- Meeting minutes: Compliance Review, 2024-05-16
- Organizational chart
- Photographic evidence (site audit)
- External audit summary 2023

Important Notes:

- Ensure all appendices are referenced clearly within the main investigation report.
- Verify the authenticity and relevance of all supporting documentation.
- Maintain confidentiality and secure handling of sensitive information.
- Update appendices as additional evidence or documentation is collected.
- Date and version control all documents included as appendices.