

ISO/TS 37008:2023-07 (E)

Internal investigations of organizations - Guidance

Contents		Page
Foreword		v
Introduction		vi
1	Scope	1
2	Normative references	1
3	Terms and definitions	1
4	Principles	3
4.1	Independent	3
4.2	Confidential	3
4.3	Competent and professional	3
4.4	Objective and impartial	3
4.5	Legal and lawful	3
5	Support for internal investigations	3
5.1	Resources	3
5.2	Leadership and commitment	4
6	Establishment of investigation policy or procedure	4
7	Safety and protection measures	4
7.1	Preserving and securing evidence	4
7.2	Protection of and support to personnel involved in investigations	5
7.3	Anti-retaliation	5
7.4	Safeguarding	5
8	Investigative process	5
8.1	Investigation team	5
8.1.1	Appointment of the investigation team	5
8.1.2	Investigation reporting line	5
8.2	Preliminary assessment	6
8.3	Determining the scope of the investigation	6
8.3.1	Scope	6
8.3.2	Scope changes	6
8.3.3	Determination elements	6
8.4	Investigation planning	7
8.5	Maintaining confidentiality	7
8.6	Liability caution to deter disclosure	8
8.6.1	Written caution notice	8
8.6.2	Verbal caution notice	8
8.7	No interference	8
8.8	Evidence	8
8.8.1	Document collection and review	8
8.8.2	Electronic data collection, preservation, analysis and review	8
8.9	Interviews	9
8.9.1	Preparations	9
8.9.2	Conducting an interview	9
8.9.3	Keeping records of an interview	10
8.10	Finalization process	10

8.11	Investigation report	10
9	Potential remedial measures or improvements	10
9.1	Proposal of remedial measures and improvements	10
9.2	Interim remedial measures	11
9.3	A final plan for post-investigation remedial measures	11
9.4	Proportionality of remediation and improvement measures	11
9.5	Monitoring and enforcement of remedial measures	11
10	Interaction with stakeholders	11
10.1	General	11
10.2	Planning	11
10.3	Measures for the communication process	12
10.4	Effective communication channels	12
10.5	Government and regulator communication	12
10.6	Self-disclosure to the authorities	12
11	Disciplinary actions	12
	Annex A (informative) Guidance on the use of this document	13
	Bibliography	24