Investigation Closure Readiness Check

A completed findings report does not establish that the underlying risk has been resolved. This quick check supports proportionate, documented decisions about remediation, monitoring, and closure. Not every gap requires the most expensive solution.

HOW TO USE Use a hypothetical or de-identified matter. Mark each item. Do not enter privileged, personal, or sensitive case details.

01 FINDING TO ROOT CAUSE

Is the material finding traceable to the applicable standard, supporting and contrary evidence, and reasons for the conclusion? Is the underlying failure explained beyond a generic label?

☐ Established ☐ Unclear ☐ Not yet

02 ROOT CAUSE TO CONTROL CHANGE

a. Is a specific workflow, threshold, approval, or system behavior identified for change, rather than training or a policy reminder alone?

☐ Established ☐ Unclear ☐ Not yet

b. Was a response or solution evaluated in light of risk, cost, and operational impact? Could an exception report, threshold, or compensating control address the problem effectively at a lower cost?

☐ Established ☐ Unclear ☐ Not yet

03 OWNER AND HANDOFF

Is someone accountable for the chosen response, with a milestone and a recorded handoff from the investigation team?

☐ Established ☐ Unclear ☐ Not yet

04 VERIFICATION AND MONITORING

What observable evidence will demonstrate the response or control works? Who will verify it, when will it be reviewed, and what triggers reconsideration?

☐ Established ☐ Unclear ☐ Not yet

05 INFORMED CLOSURE OR RESIDUAL-RISK ACCEPTANCE

Is closure supported by verified remediation or authorized, documented acceptance of residual risk, where permitted? Were consequences, mitigation costs, alternatives, and monitoring considered?

☐ Established ☐ Unclear ☐ Not yet

ILLUSTRATIVE EXAMPLE / APPROVAL OVERRIDES

Finding: An employee repeatedly bypassed an approval control. A report and retraining alone do not establish that the weakness is resolved.

Path A: Fix the system setting and test it. **Path B:** Where proportionate and permitted, use exception monitoring with appropriate authorization, documented residual-risk acceptance, and a review date.

ONE GAP TO FOLLOW UP

Which unanswered question most warrants further assessment before this matter is closed?

HOW TO INTERPRET: An “Unclear” or “Not yet” answer identifies an issue for further assessment, not an automatic failure or prohibition on closure.

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