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| **CONFIDENTIAL INVESTIGATION REPORT- Department of <NAME>** | |
| Allegation/Issue |  |
| Name/Designation of employee subject to investigation (if appropriate) | *<Name, Job title>* |
| Name of complainant  (if appropriate) |  |
| Investigator(s) | *<Name 1, Job title, Department>, <Name 2, Job title, Department (if appropriate)>* |
| HR Support/Link | *<Name, Job title, contact number>* |

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| **Background** | |
| * *Identify how the situation came to light (based on the factual information provided by the instigating manager); what actions have already been taken prior to the investigation commencing; what communications have taken place.* * *Provide brief details of the ‘subject’ of the investigation, their employment history, current role and how long held etc.* * *Note if employee suspended and when, whether redeployed for duration of investigation or if there are any specific changes in place to allow the investigation to take place i.e. line management responsibility removed, budget responsibility suspended, taken off usual duties but still within department etc.* | |
| **Executive Summary (Optional - delete if appropriate)** | |
| * *This may be suitable for complex investigations and should provide a brief summary of the main findings/conclusions.* | |
| **Remit of Investigation** | |
| * *Define remit of investigation, i.e. what allegations/concerns were identified as in need of investigation (provide concise bullet points list of all allegations, that will be expanded upon in “Findings” section).* * *State policy under which the investigation was carried out (e.g. University Disciplinary Policy, Research Misconduct etc).* | |
| **Investigation Process** | |
| *Explain how the investigation progressed, including reasons for decisions which were made and the direction the investigation went including:*   * *A brief description of the method(s) used to gather information.* * *Use table template ‘Appendix 1’ to record what interviews/statements were undertaken, when, and their appendix number within the bundled of evidence* * *If the investigator has not interviewed all individuals suggested by the ‘subject’ of the investigation the decision should be recorded in this section (including reasons e.g. character reference only).* * *A timetable of events. (Detailing any delays in the investigations).* * *What documents/evidence were reviewed (Appendix 2: Record of Evidence)* | |
| **Findings** | |
| *Provide a summary of the findings and observations:*   * *Present the findings separately for each point/allegation/issue of concern in turn, by confirming the facts established by the investigation, identifying the sequence of events, cross-referencing any documentation and highlighting any mitigating factors e.g. lack of procedural guidance, management action or expected documentation and any other actions / behaviours which may have compounded or aggravated the situation* * *Avoid using vast extracts from statements - only quote directly from the statements where it is necessary.  It is the investigator’s responsibility to analyse all the statements and draw out all corroborative evidence.  Interviewees are not always articulate during interviews and the investigator should therefore use their own words to concisely convey the findings.* * *If the evidence is inconclusive or there is no evidence to substantiate an allegation - say so.  The instigating manager wants to know whether there is any evidence to support the allegations - it is also the investigator’s responsibility to explain how significant the evidence is - this should come across throughout the report.* * *Note any specific actions that demonstrate a breach of policy or standards of conduct/performance that did not meet those normally expected.* * *Refer back to the agreed remit of investigation, ensuring that you cover all the points.* | |
| **Conclusion** | |
| ***NOTE****: When reviewing the evidence, investigators need to aim to demonstrate a reasonable belief as to what happened, based on their assessment of the evidence available. The standard of proof for internal investigations and any subsequent disciplinary hearing or grievance meeting is based on the “balance of probabilities”, i.e. that on the basis of the evidence it was more probable than not that the alleged misconduct was committed. Investigators are not required to demonstrate beyond reasonable doubt, unlike in criminal investigations, but do need to act reasonably on behalf of the employer.*   * *For each allegation/concern/issue provide an overall fact based opinion on a) whether there is any evidence to support the allegations and b) the strength of the evidence.* * *Support the conclusions with the strongest evidence without repeating the text in the main body of the report (where possible) - the conclusions should be clear and concise.* * *Identify to the reader the strengths and weaknesses in the evidence - emphasising the importance of any issues and where evidence can be open to different interpretation / scenarios.* * *Draw out key facts which demonstrate particular breaches of policy e.g. Code of Conduct, Harassment, Financial Regulations, service policies & procedures etc* * *If there are any special circumstances/mitigating factors ensure that they are clear within the conclusions and it is important to explain their significance.* | |
| **Appendices** | |
| * *Chronology of events; witness statements; investigatory interview notes; about the Job documents; organisational structure; medical advice etc.* | |
| Signed by Investigatory Officer |  |
| Date |  |

**Appendix 1:**

**The following table gives the names of the people who provided statements for this investigation.**

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| **Name** | **Post** | **Reason** | **Date** | **Appendix** |
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**Appendix 2: Record of Evidence**

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| **Date** | **Item** | **Appendix** |
| **Investigation Statements** | | |
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| **Supporting Documentation** | | |
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