



## CONFIDENTIAL DISCIPLINARY INVESTIGATION REPORT

*This template report format is for guidance purposes only and may be changed to reflect the individual circumstances and needs of a case*

<b>Department/School</b>	
<b>Name of employee subject to investigation</b>	
<b>Allegation/Issue</b>	
<b>Investigating Manager</b>	
<b>HR support</b>	

<b>Background</b> <ul style="list-style-type: none"> <li>Identify how the situation came to light, what actions have already been taken prior to the investigation commencing, what communications have taken place.</li> <li>Provide brief details of the employee subject to the investigation, their employment history, current role, etc.</li> <li>Note if employee is suspended and when or if there are any specific changes in place to allow the investigation to take place</li> </ul>
<b>Remit of Investigation</b> <ul style="list-style-type: none"> <li>Define the 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 the 'Findings' section.</li> <li>State policy under which the investigation was carried out (e.g. Disciplinary Policy and Procedure)</li> </ul>
<b>Investigation Process</b> <p>Explain how the investigation progressed, including reasons for decisions which were made and the direction the investigation went including:</p> <ul style="list-style-type: none"> <li>A brief description of the methods used to gather information</li> <li>A timetable of events</li> <li>What documents/evidence were reviewed</li> </ul>
<b>Findings</b> <p>Provide a summary of the findings and observations:</p> <ul style="list-style-type: none"> <li>Present the findings separately for each allegation/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</li> <li>Avoid using vast extracts from statements – quote directly from the statements where it is necessary. Include signed copies of statements in the report appendices and refer to them as necessary.</li> <li>Explain how significant the evidence is</li> <li>If the evidence is inconclusive or there is no evidence to substantiate an allegation then say so.</li> </ul>

<b>Conclusion</b>
<p>When reviewing the evidence, the investigating manager needs 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 is based on 'the balance of probabilities'. The conclusion of an investigatory report should state whether or not there is case to answer and, if so, whether or not the matter should be referred to a disciplinary hearing.</p> <ul style="list-style-type: none"> <li>• For each allegation/concern provide an overall fact based opinion on a) whether there is any evidence to support the allegation and b) the strength of the evidence</li> <li>• Conclusions should be clear and concise and draw out the key facts</li> <li>• Identify to the reader the strengths and weaknesses in the evidence – identify where evidence can be open to different interpretation.</li> <li>• Identify any special circumstances/mitigating factors to ensure they are clear in the report and explain their significance.</li> </ul>

## APPENDICES

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

Name	Position	Reason	Date	Appendix

## Record of Evidence

Date	Item	Appendix

<b>Signed by Investigating Manager</b>	
<b>Date</b>	
<b>Signed by HR representative</b>	
<b>Date</b>	