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# APPENDIX 7 Model Investigation Report Template

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| **Confidential Investigation Report commissioned as part of the Disciplinary Procedure**  N.B: This is a document of record. |
| **Name of employee against whom the allegation has been raised:**  **Job title:**  **Department:** |
| **Name of Commissioning Manager:**  **Job title:** |
| **Date investigation commissioned:** |
| **Date investigation started :** |
| **Date investigation finished:** |
| **Name of investigation officer:** |
| **Introduction:**   * Role and length of service with the council (employment history) * Brief outline of how the concerns arose and why the investigation is taking place  Note if suspended and when. State whether placed in a different location 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.  * Date employee informed of investigation * Confirm that employee has received a copy of the Disciplinary Procedure |
| **The specific allegation:**   * State the specific allegations * The allegations should be the same as listed on the letter informing of investigation * (Add any further allegations which may have been added at a later stage during investigation – this should relate to the initial allegation and state what communication the investigation officer or commissioning manager has had with the employee in confirming these allegations) |
| **Summary of allegation:**   * What, when and where it happened * Set the scene for the reader |
| **Chronological order of events:**   * In date order – this should be from when the incident occurred |
| **Identification of parties involved:**   * Names/post held |
| **Sequence of interviews:**   * Order of people questioned by Investigating Officer * Dates of interviews  |  |  |  | | --- | --- | --- | | **Name** | **Position** | **Date** | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |
| **Findings:**   * Draw out main points addressing **each allegation** separately. * State **facts** and **evidence** gathered from interviews in relation to the allegations * Add any further information gathered that is relevant from investigation interviews * Avoid using vast extracts from statements - only quote directly from the statements where it is necessary, e.g., to illustrate the use of language or if the response to a question shows a particular disregard for policy or respect for others * It is the investigator’s responsibility to analyse all the statements and draw out all corroborative evidence * It is the investigator’s responsibility to explain what the evidence means.  Avoid ‘he said, she said’ reports - the reader should not be left trying to establish what all the facts mean * If the evidence is inconclusive or there is no evidence to support an allegation - say so. The reader 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 * State any supplementary issues identified as part of the investigation * *N.B: Investigation Officer’s conclusions / opinions or recommendations should not be put in this section* |
| **Overall Conclusion:**   * Provide an overall fact based opinion on:   1. Whether there is any evidence from the findings to support the allegations   2. The strength of the evidence * Detail **how** the investigating officer has come to the conclusion that there is substance to the allegations. * Consider whether there is evidence to support the allegations and if it is factual and/or based on balance of probability. * Draw out key facts which demonstrate particular breaches of policy e.g. Code of Conduct, service policies & procedures etc. * The conclusions should be clear and concise * If there are any mitigating factors ensure that they are clear within the conclusions and it is important to explain their significance |
| **Recommendations:** The report should:Recommend whether there is a case to answer and whether the matter should proceed to a Disciplinary Meeting, giving reasonsIf the recommendation is that there is no case to answer, the report should indicate why i.e. no evidence to support the allegation, etc. in which case the outcome would be “No further action”If appropriate, the Report should recommend that cases of minor misconduct could be addressed through a Guidance Meeting or Mediation  * The Investigating Officer may also make other recommendations i.e. changes in policies/procedures or management practice. * *N.B: Any form of recommendation can be discussed with HR* |
| **Appendices:**  The following records were examined:   |  |  |  | | --- | --- | --- | | **Appendix Number** | **Name of Document** | **Page Number** | | Appendix 1 |  |  | | Appendix 2 |  |  | | Appendix 3 |  |  |  * *N.B: Minutes should be agreed and signed by employee and witnesses.* * *Where appropriate, structure charts may be included.* |

**Date report completed:**