**PLEASE READ BEFORE COMMENCING THE REPORT AND DELETE BEFORE SUBMITTING THE REPORT**

**Important information**

Suggested wording has been used in each section to support the Investigation Manager with structuring their report. This is only a guide and is not mandatory however we do request that the main headings are used to ensure the structure of the report remains consistent.

Dependent on circumstances, it may not always be appropriate to use the suggested wording/or secondary headings. It will be the Investigation Manager’s responsibility to determine this.

Wording highlighted in yellow must be changed to reflect the appropriate details for the investigation.

Red wording is helpful prompts for the Investigation Manager and must be deleted prior to finalising the report.

**Styles/fonts**

Heading 1 style should be used for main headings and all main headings should be numbered 1, 2, 3 etc.

Heading 2 style should be used for secondary headings. They should not show in the table of contents and must be numbered i.e. 1.1, 1.2 etc.

Normal style should be used for all other wording in the report (Arial, 12) and should be numbered i.e. if there is a main heading (i.e. 1) then a secondary heading (i.e. 1.1), then the paragraph would be numbered 1.1.1.

# Introduction

## Investigation Manager role

I, [NAME], [JOB TITLE] [ABREVIATION] was appointed as Investigation Manager on [DATE] and have had no prior knowledge of the complaint.

There is not any conflict of interest in my role as Investigation Manager.

[NAME], [HR JOB TITLE] [ABREVIATION] provided procedural support and guidance to the Investigation Manager throughout this investigation and asked some questions in the meetings for clarity.

I confirm that I have read, understood, and adhered to the Investigation Manager guidance throughout this investigation.

## Remit of the investigation

This section should be used to provide a high-level summary to clarify the purpose of the investigation and if applicable the reason for the suspension/temporary measures that have been implemented, if applicable.

This investigation was carried out in accordance with the [CONFIRM POLICY/PROCEDURE] and the remit of the investigation was to look into the following allegation/s: [LIST THE ALLEGATION/S] as set out in [COMPLAINT/GRIEVANCE/EMAIL] dated [DATE]. A copy of this document can be viewed in Appendix [CONFIRM].

The purpose of the investigation was to establish the facts of the matter, consider evidence that supports and challenges the allegation(s), decide if there was a case to answer, and recommend actions.

# Methodology

This section should be used to explain how the investigation was carried out and what methods were used to gather the facts.

The evidence was gathered using a variety of sources which are detailed below under the relevant sub-headings.

All individuals involved in the investigation were informed of the parameters of confidentiality and acknowledged that they understood the requirements of this.

All individuals involved in the investigation were informed of the parameters of anonymity and acknowledged that they understood this. [One] individual has requested to remain anonymous which was approved and therefore their notes have been redacted to eliminate their identity. The individual is aware that anonymity cannot be guaranteed particularly if the matter results in legal proceedings.

[One] individual I had identified as a witness to the matter declined to be interviewed.

## Investigation meetings [DELETE IF NOT APPLICABLE]

The following investigation meetings took place between [DATE] and [DATE].

As part of my investigation preparation, I identified [CONFIRM NUMBER] appropriate witnesses that could help me establish the facts of the matter. Other potential witnesses were named in the investigation meetings by [NAME] and [NAME] and, of these, I interviewed [CONFIRM NUMBER] whom I had identified as being key relevant witnesses both to the events on [DATE] and as understanding the contextual background of the matter.

All meetings were noted and typed up after the meeting had ended. A summary of these notes was sent to each individual to confirm that they were satisfied they represented an accurate, not a verbatim record of the meeting.

[Corrections were made to some of the notes and other comments noted]. [No feedback was received by [NAME] therefore these notes have not been signed off.]

All of the notes are included in Appendix [CONFIRM].

If there was a particular order/structure to the investigations, this should be outlined and the reasons for this.

## Witness statements [DELETE IF NOT APPLICABLE]

Witness statements were used to gather information from [NAME]. State reason why statements were taken and not interviewed.

All individuals were provided with a list of specific questions about the matter which they were requested to respond to. All of the statements are included in Appendix [CONFIRM].

## Written records and documentation [DELETE IF NOT APPLICABLE]

Confirm any written documentation that was reviewed as part of the investigation i.e. previous related/live warnings, emails, RDS records etc. and the reason why this was used as part of the investigation.

## Physical (including electronic) evidence [DELETE IF NOT APPLICABLE]

As part of the investigation, as Investigation Manager, I identified a need to review physical evidence namely [CONFIRM THE EVIDENCE REQUESTED] to help me clearly establish the facts of the matter. To review this evidence, I provided a business justification to the Head of Information Assurance & Governance, [NAME]. This was authorised by NAME on [DATE]. The business justification email and authorisation is included in Appendix [CONFIRM].

# Summary of the evidence

Section 3 should provide a summary of the evidence in order of each allegation/event from the perspective of the complainant/person who raised the issue followed by the accused and/or witnesses accounts. Deal with each allegation separately and note what evidence is corroborated and what is contradictory. Use links to your appendices to evidence your summary of events e.g. “LS section 12-14”.

## Background of the subject of the investigation / complainant

Provide details of the individual’s employment history, current role and how long they have worked in this role for. Provide information on any history of application. i.e. the individual has an existing written warning for these behaviours already which is included in Appendix X

**Allegation/Complaint 1 [TO BE CONFIRMED]**

**Complainant evidence summary**

**Accused evidence summary**

**Witness evidence summary**

## Allegation/Complaint 2 [TO BE CONFIRMED]

**Complainant evidence summary**

**Accused evidence summary**

**Witness evidence summary**

# Consideration of other evidence

Add any other evidence found in the investigation that is relevant but does not fit within the allegations/events above. Ensure you use links to your appendices to evidence your summary of events and note any inconsistencies, disputed facts and contradictions here.

# Findings

This section should summarise the results of the investigation weighing up the evidence gathered and documented in sections 3 and 4. In assessing the evidence, the Investigation Manager should consider whether on the balance of probabilities, the evidence establishes that the alleged behaviour/conduct took place/was genuine misconduct, the behaviour/conduct was repeated/unwanted and/or a breach of the relevant policy/procedure.

It is recommended that you use the headings used in section 3, to record your findings. This section should be used to thoroughly examine each allegation and analyse the data gathered. What specifically was said, what statements/facts supports the allegations i.e. “*LN admits to swearing at LS however disputes swearing repeatedly at LS on XX/XX/XXXX”* and what information challenges the allegations/issues raised. *“LS stated that LN swore repeatedly at LS on XX/XX/XXXX. This is confirmed by a witness who corroborates LS version of events. EMc stated that the expletives were unnecessary and aimed directly at LS. The conversation was heated and uncomfortable to hear”.*

# Conclusion and recommendations

This section should be your view taking into consideration everything documented in section 5. This should confirm if a policy/procedure may have been breached, if previous training/discussions which has occurred would show if the employee was/was not aware of “it” and any mitigating factors. The Investigation Manager should state whether the evidence supports or refutes the allegations and confirm if there is or is not a case to answer.

The Investigation Manager should also use this section to confirm what next steps/actions are required. *“There is evidence that LN behaved in an unprofessional and inappropriate way towards LS on XX/XX, and that her conduct towards her was intimidating and unwanted. There is, sufficient evidence to conclude that the behaviour and actions amounted to bullying. There is insufficient evidence to suggest that the behaviour amounted to harassment. It is recommended that LN conduct should be referred to discipline.”* The Investigation Manager should list any formal and informal action recommended in this section e.g. Formal disciplinary action, training, mediation etc.

The Investigation Manager must also confirm any additional actions to take forward that whilst outside the scope of the investigation, may still require action.

The standard that applies in workplace investigations is for the Investigation Manager to have reached a genuine belief based on reasonable grounds, and on the balance of probability, after having carried out as much investigation into the matter as was reasonable in the circumstances. For example; *“Taking into account LN’s admission of swearing,the other evidence about her behaviour towards other individuals on occasions, as well as the witness statement corroborating LS version of events, on the balance of probabilities, it is likely that she swore when she told LS to leave the room. The evidence confirms that two individuals were witness to LN swearing and therefore I would recommend that there is a case to answer and the matter should be referred to discipline.”*

# Types of appendices

The Investigation Manager should include as part of the appendices/supporting information:

* A timeline of events
* List of documents and evidence reviewed
* List of people interviewed
* Witness statements
* Extract from policy, University regulation or procedure of the alleged breach
* Definitions and abbreviations used in the report