

## **THE REPORT**

### **APPENDIX 5A: INVESTIGATION REPORT TEMPLATE**

**CONFIDENTIAL**

#### **INVESTIGATION REPORT**

**NAME**  
**SERVICE / DEPARTMENT**

**INVESTIGATING OFFICER - NAME**

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## 1 INTRODUCTION

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- 1.1 Provide brief details of the 'subject' of the Investigation, their employment history, current role and how long held etc.
- 1.2 Provide brief outline of how the concerns arose.
- 1.3 Outline who commissioned the Investigation
- 1.4 Note if 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 ie. line management responsibility removed, budget responsibility suspended, taken off usual duties but still within department etc.
- 1.5 If there are specific allegations record them at this point.
- 1.6 If there are recommendations for the organisation outline that they will be covered by an action plan at the end and not detailed in the main body of the Report.

## 2 TERMS OF REFERENCE

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These are the Terms of Reference given to the Investigating Officer which outline what is being covered by the Investigation and will include what the alleged breach is.

- 2.1 Investigation objectives:

To establish whether:

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## 3 DETAILS OF EVIDENCE

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- 3.1 Interviews were held as follows:

Name	Date/time of 1 <sup>st</sup> Interview	Date/time of 2 <sup>nd</sup> Interview (where relevant)

All interviewees should be noted (including telephone interviews) - the initials should be inserted after each name as these will be the initials used throughout the report

If the list of interviewees is long consider including it as an appendix.

If the Investigating Officer has not interviewed all individuals suggested by the 'subject' of the Investigation the decision should be recorded in this section or reference made to the log and attached as an appendix (including reasons e.g. character reference only)

List of files and documents inspected:

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If the list is long consider including it as an appendix

3.2 The following additional evidence was examined (for example):

- Letter of complaint
- Personal file
- Policies/procedures eg., Fairness At Work Policy and Guidance
- Specialist advice eg., IT

## **4 SUMMARY OF THE INVESTIGATION**

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- Avoid pages and pages of continuous text - break up with headings e.g. 'Working Relationships', 'Service Complaints', 'Performance Management', 'Shouting Incident - 31 May', 'Previous Management Action', etc... This makes the report easier to read.
- Avoid using vast extracts from statements - only quote directly from the statements where it is necessary, for example, 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 Investigating Officer's responsibility to analyse all the statements and draw out all corroborative evidence. Interviewees are not always articulate during interviews and the Investigating Officer may therefore use their own words to concisely convey the findings.
- Investigating Officers are not just fact finders - their duty extends beyond just recording a verbatim account and they have a responsibility to contextualise and 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 substantiate an allegation - say so. Is there any evidence to support the allegations - it is the Investigating Officer's responsibility to explain how significant the evidence is - this should come across throughout the report.
- It is important to note any mitigating factors e.g. lack of procedural guidance, management action or expected documentation and any other actions / behaviours which may have potentially compounded or aggravated the situation.
- Using full names throughout the report can be very repetitive use initials e.g. Joe Bloggs (JB) - it is suggested that you quote full name and job title the first time they are mentioned within the report - initials thereafter are sufficient.
- In addition to the specific allegations the report should include any patterns of behaviour that may have some relevance.
- If specific actions demonstrate a breach of policy or service procedures - these should be noted throughout the report, where appropriate.

## **5 DETAILED REPORT FOR EACH ALLEGATION OR COMPLAINT**

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Organise the findings under each main allegation.

<i>Allegation 1.</i>  Outline the allegation as per the complaint letter or Terms of Reference, be specific	<i>For example: There is insufficient evidence to warrant further action or there is sufficient evidence to support further action.</i>
<i>Allegation 2</i>	
<i>Allegation 3 etc</i>	

## **6 CONCLUSION/FINDINGS**

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*This is where the Investigating Officer provides an overall fact based opinion on a) whether there is sufficient or insufficient evidence to support the allegation/s and b) the strength of the evidence.*

*Draw out key facts which demonstrate particular breaches of policy e.g. Civil Service Regulations (where applicable), Fairness at Work Policy and Guidance, Financial Regulations, etc.*

If the Investigating Officer believes that there is sufficient evidence to warrant consideration of further action it should be recorded here:

## **7 OTHER FACTORS TO BE CONSIDERED**

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- Cover issues which you have identified but are not directly related to the allegations or objectives of the Investigation (could be system issues, management or policy weaknesses or matters which relate to the individual but were not part of the original brief – e.g. patterns of behaviour)
- If there are any mitigating factors ensure that they are clear and explain their significance.
- Provide these to the Designated Manager in a separate report.

*Any recommendations relating to system, policy, procedural or management weaknesses should be reported separately. **These Action Plans should not make any reference to the individuals involved in the Investigation.***

## **8 APPENDICES**

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Ensure that all appendices are attached and made reference to throughout the report.