

Appendix F

Investigation report template (please note this is for use as an example only, and is not definitive).

STRICTLY PRIVATE & CONFIDENTIAL

Investigation Report

Into Complaint of (xxx)

[DATE]

Author.....

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Appendices:

No	Document	Date
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1. Introduction and Background

1.1 This report is based upon my interviews with the complainant (xx), (yy), the subject of the complaint, and a number of individuals mentioned by (xx), (yy) and other witnesses in the course of this investigation.

1.2 Terms of Reference

1.2.1 I was appointed as investigator to explore the allegations detailed in (xx) letter [DATE] (attached at Appendix 1 of this report).

1.2.2 It was agreed with Aberystwyth University that I would provide a preliminary report based on my interviews with (xx) and (yy) and the examination of any relevant files and correspondence. Aberystwyth University would then take a view as to whether it was necessary to investigate the matter further, by interviewing individuals mentioned either by xx or yy. I provided a preliminary report in [date] and was instructed by [NAME] to extend the investigation by interviewing further witnesses.

2. Methodology

2.1 This report is based on:

- Interview with xx on [date/s]
- an interview with yy on [date]
- an examination of xx personnel file held by Aberystwyth University
- an examination of xx/yy’s personnel file held by Aberystwyth University
- Interviews with:
 -
 -
 -
 -
 -

2.2 Email exchange and correspondence between various parties were also reviewed as were xx’s appraisal documents for the last four years.

2.3 All those interviewed were asked to confirm that the statements prepared were an accurate record of their interviews with me. Signed copies of these statements are included in Appendices X-X.

3. Chronology of events

3.1 A chronology of events is set out below.

3.2 xx has had difficulty in providing exact dates of the incidents that she alleges. From the interviews conducted, I have attempted to piece together a chronology of events and place either an exact or approximate date of the incidents alleged by xx.

Date	Incident/Event	Evidence
[date]	example	Statement (Appendix 2) Statement (Appendix 3)
[date]	example	
[date]	example	Letter
[date]	Management meeting incident regarding	Notes (appendix...)
[date]	Alleged behaviour.....(example)	letter
[date]	Incident.....	letter
[date]	Incident.....	statement
[date]	Incident.....	Grievance Letter
[date]	Incident	Letter

4. Overview of allegations

4.1 The allegations made by xx are those set out in detail in their Letter [DATE] (Appendix 1) and the statement prepared following my interview with her, signed by her as an accurate record of that meeting (Appendix 2).

4.2 xx commenced employment with Aberystwyth University 11 years ago on [date] and is employed as a xxxxxx, a position she has held for xxx years since [date].

This section of the report should set out each allegation in turn taken from the complaint Letter and interview/s. Try to use some quotes where appropriate.

5. Allegation and Findings

The section of the report should go through each allegation in turn and outline whether you have found evidence to support that allegation and what that evidence is. If you have been unable to find evidence for example if there were no witnesses, then the term 'I have been unable to substantiate this allegation' is often used. It does not mean the allegation is untrue necessarily, just that you have found no evidence to support it.

6. Conclusions

This section of the report summarises your conclusions against each of the allegations

If your overall finding is that there is evidence to support the allegation, you should state that there would appear to be a prima facie case to answer.

7. Recommendations

You may not always be asked to provide recommendations in your report. This should be agreed at the outset when you discuss the scope of the investigation. Sometimes it may be more appropriate to provide recommendations in a separate document or verbally in a meeting or over the telephone.

In this section, you may wish to put forward recommendations for change limited to policy or training issues, for example:

- 7.1 Appraisal Policy - review the definitions for "outstanding" and "good" and consider re-training managers in the appropriate use of each score.
- 7.2 Dignity and Respect at Work - Consider implementing a suitable training programme for all senior managers to reinforce what is acceptable and not acceptable conduct

Author

Job Title

Date