

Investigation Report

(Statement of Case)

Authors: (Insert Investigating Officer Here)

Date: (Insert date of report here)

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## Investigation Report

### Executive Summary

This should be a summary paragraph detailing who is completing the statement of case, the date it started and the matter that has been investigated and the conclusion e.g. ‘The results of the investigation have determined that there is a case to answer’. It should include a summary of any witness statements obtained or any documents that have been reviewed. Please write which policy the investigation is being conducted under. If misconduct, it is useful to reference the type of misconduct being investigated (examples of misconduct can be found in Annex 1 of the relevant Disciplinary Procedure).

### Background

#### Employee Details

Provide their employment background, including job title, employer, length of service, grade and main duties of the role. Write the context of the incident, including any previous action taken informal or formal. You may also wish to comment on any factors that may have influenced events e.g. previous restructure (job or management change), health issues, team dynamics, and environmental factors.

### Findings

Summarise how you conducted the investigation, what evidence you gathered, explain any delays to the investigation and any reasons why you chose not speak to any named parties and what were your findings. You can reference appendices rather than going into full detail. You should consider:

* Written and physical evidence: summarise each document contained, set out how the evidence supported or did not support your findings and why
* Witness evidence: [name and summarise each witness statement, quote from statement where relevant, set out how the witness statement supported or did not support your findings and why]
* Facts established: [this will include uncontested facts and contested facts, where the investigator should determine what, on balance of probabilities, took place]
* Facts that could not be established: [detail any part of the investigation that was inconclusive e.g. where any claims were made that could not be substantiated]
* Mitigating factors: [detail if there were any mitigating factors uncovered that are relevant to the investigation]
* Other relevant information: [detail any other information that is relevant to the matter]

### Conclusion

Brief summary of the evidence and the facts established and whether you feel the allegations are proven/supported by the evidence based on the balance of probabilities (not beyond reasonable doubt).

### Recommendations

The results of this investigation suggest there is a case to answer and for disciplinary / capability action under the University’s Disciplinary / Capability Procedure (See Appendix XXX) to follow.

You should not recommend what formal action should be taken but just if there is a case to answer and detail here any other recommendations that are outside policy. Examples are:

* Training in XXXX
* A review of internal processes
* Mediation between X and Y
* Regular 1-1 meeting between manager and X
* Update of a policy

Investigation Officer: ………………………………. Date: ……………………………………….

### Appendices

|  |  |  |
| --- | --- | --- |
| Appendix Number | Document Description | Attachment |
| Appendix 1 |  |  |
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