

CONFIDENTIAL

Report of the Investigating Officer(s) to xxx (the Commissioning Manager)

Investigating Officer:-

HR Support:-

[Date]

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1.0 Chronological Summary

Date	Key Event	Comments

2.0 Background

2.1 Employee Details

- 2.1.1 Name of respondent e.;g. [name of employee] is employed as [job title] at [place of work], having commenced employment with name of Authority/or School on [first date of service], currently working [full time or hours per week]
- 2.1.2 and details of his / her employment history with CCC or

2.2 Alleged misconduct

- 2.2.1 Details of alleged misconduct e.g. It has been alleged that [name of of employee] has [detailed summary of the allegations]
- 2.2.2 How it came to the Authority's / School's attention
- 2.2.3 Date appointed as Investigating Officer
- 2.2.4 Suspension? If so, when, where and by whom? When was this decision confirmed in writing?
- 2.2.5 Details of any **relevant** existing warnings
- 2.2.6 The purpose of the disciplinary investigation is...

3.0 Investigation

3.1 Investigation Structure

3.1.1 How the investigation was structured and why. E.g. The remit for the investigation was clarified and agreed between the <insert name of Investigating Officer> and <insert name of Commissioning Manager> on <insert date>. It was agreed that the investigation would focus specifically on:

- <insert allegations>,

and that the report with findings and recommendations would be submitted to the Commissioning Manager and the matter dealt with in accordance with the school's <insert name of policy and procedure>

<Include details of any immediate discussion with employee under investigation, whether suspended (full or other pay), how allegations came to management attention.

< include reasons and dates for any time delays in the investigation process especially if the investigation exceed 28 calendar days>

<Include details of any actions taken if a protected disclosure is made during the course of the investigation in line with Whistle-blowing Policy>

3.2 Investigation Meetings

3.2.1 Name of witness, date of interview, name HR support (if any), name of note taker. Details of any additional information / evidence submitted by witness. E.g. An investigation meeting was organised for [date] in which [name of attendees] and I were in attendance

3.2.2 Details of investigation interview with respondent i.e. date, location, names of those present. TU representation? Investigation notes signed?

3.2.3 <Include details of the investigation process e.g. key witnesses that were interviewed and explanation why any potential witnesses was not interviewed, e.g. facts not in dispute; third party witness, , and any significant events that occur during the course of the investigation, any delays in the process including reasons why>

3.2.4 I reviewed the information that I had gathered and concluded that it was sufficient/insufficient* (*delete as appropriate) to enable me to reach some findings with/without* interviewing any other witnesses: some of the facts were/not* in dispute and there was/was not sufficient corroboration of events to enable me to establish the facts. <Include any further actions taken depending on outcome as appropriate>

3.3 Investigation Documents

3.3.1 What documents were used and why

3.3.2 Any documents not used (i.e. specifically excluded) and why

4.0 Main Points Arising from Investigation Interviews

(purpose here is to summarise the key elements of the investigation interview, if further information is required, reader can be directed to the appropriate appendix)

4.1 Name of witness

4.1.1 xx

4.2 Name of witness

4.2.1 xx

4.3 Respondent

4.3.1 xx

5.0 Findings

(suggested headings only – please amend to suit)

5.1 Allegation 1

5.1.1 Key findings from interviews

5.1.2 Key findings from documentary evidence

5.2 Allegation 2

5.2.1 Key findings from interviews

5.2.2 Key findings from documentary evidence

5.3 Background information

5.3.1 (only if relevant)

5.4 Supervisory and management support

5.4.1 (i.e. have the concerns been raised with the employee or by the employee?)

5.5 Training

5.5.1 (particularly anything relevant to the allegations. Is the training up to date?)

5.6 Procedures

5.6.1 (relevant to the allegations)

5.7 Other – as relevant for the case

5.7.1 (Anything that doesn't come under one of the categories above)

6.0 Summary

6.1 Summarise above in relation to standards breached.

7.0 Recommendations

7.1 I believe that a thorough investigation has been conducted in relation to this case. In view of the evidence that has been gathered at the investigation interview and information provided by [names of witnesses] and [add in any other sources of evidence] it is my recommendation that the commissioning manager consider the report under the formal disciplinary procedure and decide whether to proceed to a disciplinary hearing

Investigating Officer

NAME:

JOB TITLE/Role:

Signature:

Date: