CONDUCTING FORMAL INVESTIGATIONS - SUMMARY

This flow chart should be read in conjunction with the
Conducting Formal Investigations - Guidance Notes for Managers

PREPARATION

Head of Department/Section should appoint a relevant manager to conduct the investigation (he/she is known as the Investigating Officer).
The Investigating Officer would normally be supported by a representative from HR

Before the investigation commences the Investigating Officer should identify:
• Details of the precise issue to be investigated (e.g. details of any allegation, grievance)
• Any witnesses (if appropriate)
• For what purpose and by whom any investigation report will be used

NOTIFICATION

The Investigating Officer should notify:
• The subject of the investigation - that an investigation has commenced and the nature of the allegations/issues. There may however be some occasions where this may not be appropriate.
• Any witnesses - of the date/time of their interview meeting (giving reasonable notice) advising them that the purpose of the meeting is to discuss their account of a particular incident/allegation.

All individuals may be accompanied by a colleague or Trades Union representative if they wish.

THE INVESTIGATORY INTERVIEW

Ideally the person raising the issue/allegation should be interviewed first and the person whom the allegation is against should be last. The structure of the Interviews should normally be as follows:

1. Introduction, 2. Questioning, 3. Closing statement

At the end of the investigation meeting the Investigating Officer should be able to have obtained the following:
• The names of those present or involved
• Date/time/place of the alleged incident/allegation
• Details of what took place, and the order in which they happened
• How the individual reacts to any other documents or witness evidence which is inconsistent with their account’
• The steps taken since the alleged incident/allegation, including any steps taken to resolve
• Their preferred outcome (where appropriate)

INVESTIGATORY REPORT

Following the meetings the Investigatory Officer should review all of the relevant evidence gathered and write an investigatory report. The report should be structured as follows:


Once the Investigating Officer has finalised the report the document should be send to the Head of Department/Section for review (with a copy given to the link Human Resources Manager/Officer). After consideration of the evidence, the Head of Department/Section (in conjunction with Human Resources) should decide whether appropriate sanctions or remedial action may be applied.

Human Resources
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