



Guidance to Investigations

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Positive equality impact (i.e. the policy/procedure/guideline significantly reduces inequalities)					
Neutral equality impact (i.e. no significant effect)					X
Negative equality impact (i.e. increasing inequalities)					
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GUIDANCE TO INVESTIGATIONS

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1. SCOPE

- 1.1 This document provides informal guidance to assist in the management of cases such as complaints, allegations, appeals, disciplinary issues and fitness to practise regarding students and staff which may require investigation by the University College of Osteopathy (UCO).
- 1.2 It is relevant to management staff who oversee such cases and those appointed to carry out investigations.
- 1.3 This guidance should be read by staff in conjunction with the following policies or their equivalents:
 - a) Student Code of Conduct & Disciplinary Procedure
 - b) Student Complaints Policy & Procedure
 - c) Student Fitness to Practise & Professional Behaviour Policy
 - d) Staff Code of Conduct Policy
 - e) Staff Disciplinary & Capability Procedure
 - f) Patient Complaint Procedures
- 1.4 This guidance provides relevant examples of good practice however each policy / procedure has specific stages which must be followed, and therefore staff should familiarise themselves with the above when involved in managing allegations.
- 1.5 The Academic Registrar (as the UCO's Complaints Officer) and HR Department are available to take individuals through these procedures if they require additional clarification or support.
- 1.6 This guidance forms part of the UCO's briefing and support for those handling complaints and appeals, which aligns with the UK Quality Code¹ and the ACAS Code of Practice and ACAS Guidance Notes².

¹ QAA., 2013. *Quality Code Chapter B9: Academic Appeals & Student Complaints* [online] QAA. Available at: <http://www.qaa.ac.uk/assuring-standards-and-quality/the-quality-code/quality-code-part-b> [Accessed 22 August 2017].

² ACAS, 2015. *Code of Practice 1: Code of Practice on Disciplinary and Grievance Procedures*. [online], ACAS. Available at: <http://www.acas.org.uk/media/pdf/f/m/Acas-Code-of-Practice-1-on-disciplinary-and-grievance-procedures.pdf> [Accessed 22 August 2017].

2. INTRODUCTION

2.1 IDENTIFYING PROBLEMS OR COMPLAINTS

2.1.1 Problems or complaints arising at the University College of Osteopathy (UCO) are not always raised formally. The need for an investigation – or to consider the possibility of an investigation into a problem or complaint - might come to your attention in a number of ways, for example through:

- a) Formal complaints
- b) Anonymous complaints
- c) Student feedback
- d) Indirect complaints
- e) Information from Student Exit Interviews
- f) Observation of behaviour
- g) Third-party reports
- h) Disciplinary action

2.2 TEN STEPS TO MANAGING AND UNDERTAKING A SUCCESSFUL INVESTIGATION

2.2.1 Once a manager knows of an issue or possible issue the UCO has a duty to consider the matter and determine what action to take.

2.2.2 The steps below are useful to follow when determining: a) the need for an investigation, b) how to carry out an investigation, and c) how to manage the outcomes.

- a) Initiating Investigations: Guidance for Managers
 - i. Deciding Whether to Investigate
 - ii. Taking Immediate Action if Necessary
 - iii. Identifying an Appropriate Investigator
- b) Undertaking Investigations: Guidance for Investigators
 - iv. Planning the Investigation
 - v. Conducting Effective Interviews
 - vi. Gathering Documentation and Other Evidence
 - vii. Evaluating the Evidence
 - viii. Documenting the Investigation
- c) Managing outcomes of investigations: Guidance for Managers
 - ix. Taking Action
 - x. Following Up

3. INITIATING INVESTIGATIONS: GUIDANCE FOR MANAGERS

3.1 STEP 1: DECIDING WHETHER TO INVESTIGATE

3.1.1 The majority of concerns will normally be able to be resolved at an informal level by managers and not every issue warrants investigation; indeed, this initial informal stage is contained within the UCO complaints procedures. To decide whether to investigate the following matters should be considered:

- a) How serious the allegation is.
- b) Whether there is a dispute over what happened.
- c) How similar complaints have been handled in the past (the Academic Registrar and HR Department maintain these records).

3.1.2 Information which relates to improper conduct needs to be assessed to ensure:

- a) That it is genuine.
- b) That if correct, it may indicate that misconduct is likely to have occurred; if this is the case then the relevant policy and procedure should be implemented and an investigation should commence. All investigations regarding students and staff should follow the same investigative process as detailed in this handbook.

A) ADDRESSING INFORMAL COMPLAINTS

3.1.3 Many problems can be most quickly and effectively resolved informally, often through a dialogue between the individuals concerned, which managers can have a role in facilitating. In some cases it can be helpful for a third party to be involved who has no other involvement in the issue; for instance the HR Department can support staff members and the Student Experience Officer can support students to address an informal complaint. In these informal matters it may not be necessary to carry out an investigation.

3.1.4 Managers should keep a record of informal complaints and their resolution. Contact the Academic Registrar (the Complaints Officer) or HR Department for the central location for recording informal complaints.

B) FORMALISING A COMPLAINT

3.1.5 If the informal route has been exhausted or the complaint is very serious then a formal route is appropriate. Formal complaints should be made in writing and signed by the complainant on the appropriate form. If an oral complaint is made, the person receiving the oral complaint or allegation should reduce it to writing, which is verified by the complainant, before forwarding it through the appropriate channels for investigation.

3.2 STEP 2: TAKING IMMEDIATE ACTION IF NECESSARY

3.2.1 In certain situations some precautionary steps will need to be taken right away, even before the investigation begins. If the safety of students or staff of the UCO is at risk

then immediate action is warranted; for instance, it may be that we need to separate students or suspend a student or member of staff until the investigation has been completed. This should always be done in consultation with the relevant Senior Manager and following the correct procedure.

3.3 STEP 3: IDENTIFYING AN APPROPRIATE INVESTIGATOR

3.3.1 The individual identified by the manager to investigate a problem will depend on various factors such as: the type of incident being investigated, the nature and severity of the problem and the policy or procedure being followed.

3.3.2 All investigations must be conducted without bias or prejudice.

3.3.3 It is important to note that, in any investigation, the role of a complainant is that of a witness to the alleged misconduct. It is the investigator, not the complainant, who 'drives' the investigation.

3.3.4 Care should be taken that complainants are not provided with information regarding an investigation that would otherwise be confidential.

3.3.5 The Investigator should be directed towards this guidance and to the relevant policy/procedure documentation.

A) CONFLICTS OF INTEREST

3.3.6 A conflict of interest will arise in circumstances such as where the Investigator has a close personal association with the complainant or the staff member accused of the complaint, or where the Investigator has an actual or perceived interest in the outcome of the investigation.

3.3.7 No-one with an actual or perceived conflict of interest should be appointed or remain as the Investigator.

4. UNDERTAKING INVESTIGATIONS: GUIDANCE FOR INVESTIGATORS

4.1 STEP 4: PLANNING THE INVESTIGATION

A) INVESTIGATION PLAN

4.1.1 An effective investigation plan will help the Investigator define the parameters of the investigation and keep focus on what is relevant. During the course of the investigation, the Investigator may uncover issues that require further research and consideration, and the plan may need to be revised accordingly. The investigation should be proportionate to the allegation and conducted in as short a period as possible.

4.1.2 A sample investigation plan (Appendix 1) may be helpful in structuring the investigation.

4.2 STEP 5: CONDUCTING INTERVIEWS

4.2.1 In most investigations, interviews are the main tool used to find out what happened. An effective interview will enable the Investigator to elicit relevant information from witnesses

and can help determine whose story is more credible in a “he said, she said” situation. Sections below give advice on choosing an interview format, advice on arranging and conducting interviews, and suggestions of particular approaches to take with different interviewees.

A) CHOOSING AN INTERVIEW FORMAT

4.2.2 Face-to-Face Interviews are the only way to observe a person's whole range of reactions to questions. They can be particularly useful if:

- a) the subject matter is sensitive
- b) the interviewee is the individual under investigation
- c) the facts are clearly disputed and can only be resolved by witness evidence
- d) you need to assess the credibility of the witness
- e) the interviewee is a vulnerable person
- f) the case involves a lot of documentary evidence that needs to be discussed with the interviewee

4.2.3 Telephone Interviews can be a speedy and effective way of obtaining information and in certain circumstances may be ideal; for example, where the complaint is straightforward or only simple fact checking is required, or if access to the witness is restricted (i.e. a student or tutor outside of term time).

B) ARRANGING INTERVIEWS

4.2.4 Advise individuals involved in writing (a private and confidential email to the individual will suffice) of the investigation and what their role is and what the possible outcomes of the investigation could be in terms of process only – do not speculate on any decision that will be required to be made as a result of the information provided in the investigation report. Give the general substance of the issue. The accused party has the right to know the allegations raised but witnesses do not (if the allegation is found to be false then you would not want to have disclosed details to them unnecessarily); an Investigation Notice Form Template (Appendix 2) may be used as the basis for informing individuals of their role in the complaint and for inviting them to an interview.

4.2.5 Arrange interviews as soon as possible as delays can affect memories of events and give the impression that the complaint is not taken seriously. If there is a necessary delay make a file note to state the reason for this in the Investigation Report.

4.2.6 The interviews should be scheduled appropriately so that information is gathered which can be discussed with the subject and complainant. It is often appropriate to meet with the complainant first, then the subject of the complaint, followed by the witnesses. Further interviews can be held with the subject of the complaint and the complainant to follow-up on information from other sources / witnesses.

- 4.2.7 Consider what documents, if any, should be made available to each interviewee in advance of their interview.
- 4.2.8 Being involved in an investigation can be upsetting and it is important to be sensitive to the needs of those involved (including the complainant, the subject of the complaint and witnesses). Let those involved know that advice is available from the Academic Registrar / HR Department regarding support.
- 4.2.9 All parties should be advised of their right to be accompanied by another individual in line with relevant policy / procedure documents if they are invited to an interview / meeting.
- 4.2.10 All parties should be advised that confidentiality must be respected throughout the process.

C) REITERATE THE PROCESS

- 4.2.11 Remind the interviewee what the purpose of the interview is and that it is a confidential process. It is important at this stage to state your role in the process, i.e. that of fact-gatherer. Make it clear to interviewees that you will not be responsible for making a final decision, and that your role is merely to gather facts to present a fair and rounded view of the issue under investigation.
- 4.2.12 Explain what retaliation is and that the UCO shall act accordingly to this. Ask them to see you if they have concerns regarding retaliation.
- 4.2.13 Thank them for their involvement and give them the opportunity to ask you questions. If you are unsure of answers, state that you will check and let them know, then seek advice from the Academic Registrar / HR Department at the earliest opportunity.

D) KEEP AN OPEN MIND

- 4.2.14 Don't reach any conclusions and avoid making assumptions until you have gathered and evaluated all of the facts.

E) BE AWARE OF THE BENEFITS OF BOTH OPEN AND CLOSED QUESTIONS

- 4.2.15 Open questions, such as who, what, where, how and why, encourage people to talk, provide information in a broader context, and expand on the subject. This is very helpful in obtaining information and assessing credibility. For instance, asking: "Did you hear tutor x and student Y talking last week? Tell me what you heard" is much more effective for gaining information than asking "Did you hear tutor X ask student y for a date last week so as to get an A in his exam?"
- 4.2.16 Closed questions, which can only be answered 'yes' or 'no', should only be used sparingly. They are good for confirming information, and for getting precise answers from subjects who are seeking to distract you with details or failing to focus on what you want to know.

F) START WITH EASY QUESTIONS

4.2.17 Anyone you interview is likely to be nervous and uncomfortable. It is good to start with basic background questions first, which can help to put the interviewee at ease; for instance, you could ask what the individual's typical day is like.

4.2.18 This also offers you the opportunity to observe the interviewee whilst they are comfortable with telling the truth, you should then be able to detect changes in behavior when they are uncomfortable, e.g. failing to make eye contact, start fidgeting, or become less certain of the facts.

G) CLARIFY RESPONSES

4.2.19 If an interviewee states an opinion, they should be asked for the basis of that opinion. So, for example, an assertion that the subject of the complaint was 'clearly annoyed' should be supported: 'He was clearly annoyed. He raised his voice and banged his fist on the table.'

H) DOCUMENT YOUR INTERVIEWS

4.2.20 Ensure that you take notes during every interview. Include all the important facts that the individual relates. Before the interview is over go back through your notes with the interviewee to make sure the information you recorded is accurate and correct.

4.2.21 Format of interview notes:

- a) Notes should use the interviewee's own words where possible.
- b) Include the date, time and place of each interview, the name and position of the individual and whether anyone else was present.
- c) Write the first draft yourself and give the draft to the interviewee to confirm the record is true and correct, with their signature. Encourage changes, additions or deletions.
- d) Include a version number to make it clear if the interviewee makes changes to the record.
- e) Include page numbers.

4.2.22 Interviewees should be provided with their own copy of the interview notes.

4.2.23 Interviews are not usually audio- or video recorded. Should the interviewee request to audio- or video record the interview they can be advised that they or their companion may make written notes.

I) CONCLUDING INTERVIEWS

4.2.24 Conclude the interview by giving an indication of what to expect next in the process. Ask the interviewee to respect the confidentiality of this process and to not discuss the investigation or talk about the complaint with other students or staff. Finally ask the interviewee to contact you with any new or additional relevant information about the complaint should they wish to.

J) INTERVIEWING THE COMPLAINANT

4.2.25 When interviewing the complainant, it is important to put them at ease, to explain the process fully and to find out, in as much detail as possible, about what happened. To achieve this refer to the 'Conducting Effective Interviews' section above and ask similar questions to the sample interview questions listed below as appropriate.

4.2.26 Sample interview questions:

- a) What happened? (If the complaint involves several incidents or a pattern of misconduct over a period of time, ask about each separately. Start with the most recent first.)
- b) Who was involved? What did that person do or say?
- c) What was your response or reaction, if any?
- d) When and where did the incident(s) take place?
- e) Why did you decide to come forward now (if the incident took place quite a while before the complaint)?
- f) Did anyone witness the incident(s)?
- g) Did you tell anyone about the incident(s)?
- h) Do you know of anyone who might have information about these incidents?
- i) Have you been affected by the incident(s)? How?
- j) Do you know of any similar incident(s) involving other people?
- k) Do you know of any evidence - documents or otherwise - relating to your complaint?
- l) How would you like to see this problem resolved? (Make clear that the UCO will ultimately decide how to handle it, but you would like to hear the complainant's opinion.)
- m) Is there anything else you would like to tell me?

4.2.27 Conclude the interview following the 'Concluding Interviews' guidance outlined in sub-section 4.3G above.

K) INTERVIEWING THE SUBJECT/S OF THE COMPLAINT

4.2.28 If you actually committed misconduct, you would probably not be eager to admit it; if you were wrongly accused you would likely be upset or angry. Try to keep these things in mind during interviews with the subject/s of the complaint. As the investigator you will need to assure the accused that the purpose of your investigation is to gather information and to present the facts in a report to enable the appropriate manager to make a fair and considered decision about the complaint.

4.2.29 After you have explained the process to the subject/s of the complaint following the guidance within the 'Conducting Effective Interviews' section above you may wish to proceed by asking similar questions to those provided as samples below.

4.2.30 Sample interview questions:

- a) What is your typical day like? What time do you arrive, what time do you leave, what are your responsibilities?
- b) (State the allegations one at a time.) Did this happen? What can you tell me about it?
- c) (If the subject says the allegations are false) Could someone else have misunderstood your actions or statement? Have you had problems working with anyone? Do you think someone might have made up this incident? Why?
- d) (If the subject does not completely deny the allegations) What happened? When and where?
- e) Did anyone witness these incident(s)?
- f) Did you tell anyone about the incident (s)?
- g) Do you know of anyone who might have information about the incidents(s)?
- h) Do you know of any documents or other evidence relating to this situation?
- i) Is there anything else you would like to tell me?

4.2.31 Conclude the interview following the 'Concluding Interviews' guidance provided in subsection 4.3G above.

L) INTERVIEWING WITNESSES

4.2.32 When you interview witnesses your aim is to ascertain what they have seen or heard without revealing any unnecessary information. Whilst the accused party has the right to know the allegations raised, witnesses have no such right. If the allegations turn out to be false then you would not want to disclose them unnecessarily, so it is important to try to maintain confidentiality at all times.

4.2.33 It can sometimes be hard to decide who to interview as a witness, especially if the accused or the complainant suggest a number of candidates. You will want to interview someone who saw or heard something important. If the accused suggests a character witness then you might want to consider this so the accused knows they are being taken seriously. The justification for interviewing or not interviewing suggested witnesses should be documented in your Investigation Report.

4.2.34 After you have explained the process to the witness following the guidance within the 'Conducting Effective Interviews' section above, you may wish to proceed to interview the witness by asking similar questions to those provided as samples below.

4.2.35 Stick to the facts the witness is supposed to know, this will help you keep things confidential.

4.2.36 Sample interview questions:

- a) Ask what the witness saw or heard relating it to the incident(s).

- b) When and where did the incident(s) take place?
- c) Did you tell anyone about the incident(s)?
- d) Did the (complainant) tell you anything about the incident?
- e) Did the (accused) tell you anything about the incident?
- f) Have you personally witnessed any other incidents between (the complainant) and (the accused)?
- g) Have you heard these issues discussed in the UCO? When, where and by whom?
- h) Have you ever had any problems working with the complainant or the accused?
- i) Is there anything else you would like to tell me?

4.2.37 Conclude the interview following the 'Concluding Interviews' guidance provided in subsection 4.3G above.

M) INTERVIEWING NON- UCO STAFF OR STUDENTS

4.2.38 In some situations you might want to interview someone from outside the UCO, for instance a patient. These interviews need to be handled with special care and sensitivity as talking to patients about members of staff or students can lead to problems; an accused employee or student is more likely to take offense and possibly contemplate legal action if individuals outside the UCO learn of allegations.

4.2.39 Unless the witness is willing to sign a confidentiality agreement, the UCO has no way to enforce its confidentiality rules. This means that there may be a risk to reputations that need to be considered in these situations. You may have to decide to take the risk of this if the witness is crucial to the investigation. A witness in this situation, however, is under no obligation to speak to you - you are really asking for that person's help and you should make that clear from the start.

4.2.40 When interviewing non-UCO staff or student witness confidentiality is especially important. You should:

- a) Conduct the interview at a place that is convenient for the witness.
- b) Don't reveal anything unnecessarily – including the names of the staff involved or what you suspect might have happened.
- c) Ensure that you thank the witness for helping you to investigate the facts of what happened.
- d) Conclude the interview following the 'Concluding Interviews' guidance outlined in subsection 4.3G above.

4.3 STEP 6: GATHERING DOCUMENTATION AND OTHER EVIDENCE

4.3.1 In some cases, there will be no evidence of wrongdoing other than statements. Most misconduct is interpersonal – conducted face to face rather than in writing. If the alleged misconduct consists of verbal or physical harassment, threats or violence, there may be

no documents related to the incident. However sometimes there may be emails, course documentation, minutes, or other written evidence that could form part of the case which you wish to review.

- 4.3.2 The timing of gathering documentation and other evidence depends on the case; this may take place before you hold interviews.

A) WRITTEN STATEMENTS

- 4.3.3 You may wish to get written statements from witnesses, although these are usually only successful where the information you are seeking is very straightforward.
- 4.3.4 An Investigation Information Request Template for written statements is provided in Appendix 3.
- 4.3.5 Written statements, however, will not normally be helpful where you need to probe the answers given for further information, test an individual's responses, or where there is some doubt about the credibility of an individual's account of events.

4.4 STEP 7: EVALUATING THE EVIDENCE

- 4.4.1 You need to review all the evidence you gather to determine whether there are any obvious omissions of information or evidence.
- 4.4.2 You must be able to take a view on all disputed relevant matters. If you cannot do this, you may need to seek further information. Absolute certainty is desirable, of course, but not necessary; it is sufficient to present the final selection of evidence in a manner which allows the relevant manager to form a fair opinion based on the balance of probabilities. Your findings, summary of the findings, and recommendations will form part of the report which documents the investigation (see 'Documenting the Investigation' section below).

4.5 STEP 8: DOCUMENTING THE INVESTIGATION

- 4.5.1 An Investigation Report should contain a complete record of the investigation, documenting all evidence gathered, plus all discussions, phone calls, and interviews undertaken during the course of the investigation. This information should be recorded in chronological order.
- 4.5.2 On completion of the investigation meetings and interviews, a report should be compiled which sets out the facts, together with a considered summary of the evidence. The report should be submitted to the relevant Senior Manager (as stated in the relevant policy), who will determine appropriate action to be taken.
- 4.5.3 An Investigation Report template is provided in Appendix 4 and should be used by you to present your findings.

5. MANAGING OUTCOMES OF INVESTIGATIONS: GUIDANCE FOR MANAGERS

5.1 STEP 9: TAKING ACTION

5.1.1 The Manager, or Senior Manager, responsible for the complaint reviews the Investigation Report and determines what action to take. This decision should be informed by reviewing the actions taken in past similar cases (these records can be accessed from the Complaints Officer (the Academic Registrar) or the HR Department).

5.2 STEP 10: FOLLOWING UP

5.2.1 The complainant and the accused should be advised of the outcome of the complaint, based on the investigation report, in writing. They may also receive a copy of the investigation report. They should be advised of any further action, under which policy or procedure the action will be implemented, and at which stage in the appropriate process. Please liaise with the Academic Registrar or the HR Department for advice as necessary. It is not necessary for you to contact any witnesses again, as they should already have been thanked for their input by the Investigator.

5.2.2 Further actions should be monitored (and recorded) by an appointed member of staff, according to an appropriate agreed timescale.

5.2.3 Recorded summaries of complaints cases, along with any suggested amendments to the policies and procedures connected to them, will form part of the annual reporting cycle to the Quality Assurance Committee undertaken by the Academic Registrar as the Complaints Officer.

6. ACKNOWLEDGEMENTS

This guidance was informed by good practice from other higher education institutions; particular acknowledgement is made to the University of Newcastle and the University of Southampton.

APPENDIX 1: INVESTIGATION PLAN

CONFIDENTIAL

Case title/reference	Investigator's name
Date notified of investigation	Target completion date
<p>Allegation</p> <p>[Define the allegation(s) and list the key issues.]</p>	
<p>Policy/procedure</p> <p>[State the policy/procedure under which the case is being managed.]</p>	
<p>Information</p> <p>[List the matters that need to be proven or established to determine the truth or falsity of the allegations and whether there has been misconduct.</p> <p>Include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> all relevant information on file <input type="checkbox"/> any additional information required] 	
<p>Action plan</p> <p>[List where and how you could obtain outstanding information (documents, interviews etc).]</p>	
<p>Resources and targets</p> <p>[List the resources you will need to complete your investigation and set out a schedule of key targets, such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> planned dates for securing documents <input type="checkbox"/> planned dates for completing interviews <input type="checkbox"/> planned date for submitting report] 	

APPENDIX 2: INVESTIGATION NOTICE

PRIVATE AND CONFIDENTIAL

To: XXXX

From: [Investigator]

Date: XXXX

Re: Investigation of a Complaint

I am investigating a complaint/allegation that has been raised against you by a [student/member of staff/patient] at stage [insert relevant stage of policy] of the [insert relevant policy/procedure here], please find a copy attached/enclosed. As part of the investigation, I would like to interview you. The purpose of this notice is to provide some important information about what the UCO expects from you during the investigation. My role as investigating officer is to gather evidence and present a report of the facts surrounding the alleged incident/issue to [insert relevant manager here]. As investigating officer I will not be involved in any final decision-making process.

The UCO appreciates your participation in this process. We understand that this may be a very stressful experience and encourage you to seek support from the Counsellor at the UCO should you need it. Please be assured that I will endeavour to complete the investigation process as quickly as is practicable to minimise any stress, discomfort or disruption that you may feel as a result of this process.

We expect you to cooperate fully in the investigation by, for example, answering all questions completely and honestly, providing any documents that are relevant to the investigation, and making yourself available for follow-up interviews, if necessary. You will be excused from your usual duties for interviews and any other activities necessary to the investigation. If you believe you have been mistreated or disadvantaged because of your participation in this investigation, at any stage, please tell me immediately.

We expect you to keep the investigation and complaint confidential. This means that you should not talk about the investigation, or the statements you make during the interview, with students, patients or UCO employees, unless that UCO employee is the Counsellor (or member of the HR department, who can provide advice to staff, or the Student Experience Manager, who can provide advice to students). We will maintain the confidentiality of the investigation to the extent possible, revealing information only on a need-to-know basis. If you become aware of any breach of confidentiality - for example, if you hear colleagues discussing the investigation - please tell me immediately.

I will contact you in the near future to agree a date when we can meet for you to make a statement. Could you please bring a signed copy of this notice to that meeting.

Your signature indicates that you have received and read this notice.

Signed:

Date:

APPENDIX 3: INVESTIGATION INFORMATION REQUEST

PRIVATE AND CONFIDENTIAL

To: XXXX

From: [Investigator]

Date: XXXX

Re: Investigation Information Request

I am writing regarding a [Outline description]. I have been appointed to investigate this matter and as part of this process I am gathering relevant information from individuals. The information requested from you is your response to the following point(s):

[Numbered list]

Please respond to the accuracy of each point and give contextual information where you think this is relevant. The information gathered will form part of an investigation file so please respond concisely. Please respond to me, by email by [deadline].

The UCO appreciates your participation in this process. We understand that this may be a stressful experience and encourage you to seek support from the Counsellor at the UCO should you need it. If you have questions about the investigation proceedings please do contact me; additionally the HR department can provide advice to staff or the Student Experience Officer can provide advice to students.

I emphasise that this is a confidential matter and this means that you should not talk about the investigation with students, patients or UCO employees (other than those detailed above).

Thank you for your co-operation in this matter.

Yours sincerely,

APPENDIX 4: INVESTIGATION REPORT FORM

CONFIDENTIAL

To:

From:

Date:

Re:

The case and aim(s) of the investigation:

[List relevant background information to the investigation, including the circumstances that led to its initiation. State the aim(s) of the investigation]

The content of the investigation

Investigation timescale

[Date and time the investigation was commenced and closed].

Investigation matters

[List the incidents that were investigated. If there are multiple incidents, number each consecutively, starting with the oldest incident and moving towards the present.]

Interviews

[List each individual, type of interview eg telephone, along with date and time of interview and the reason for interview may be job title.]

Name	Interview Type	Date and Time	Reason for Interview

My notes from these interviews are in the investigation file.

Documentation review

[List each document or other piece of evidence, including where and when you got it.]

Document	Source

Copies of these items are in the investigation file.

Additional actions

[List any other actions you took.]

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Key findings of the investigation

Overview

[Provide an overview of the findings of the investigation drawn from the evidence you have gathered. It is often helpful to use the framework of the initial complaint as a starting point, and to address each facet of the complaint in turn.]

Supporting information

[Include any additional contextual information pertinent to the investigation]

Investigation conclusions

Summary and outcome of the investigation

[Describe your conclusions and the evidence you considered in reaching them; if you investigated multiple incidents, state your conclusion for each incident.]

Further considerations

[Include any mitigating factors which should be taken into account.]

Signed:	Dated:
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