

# Investigation Checklist



Action	Evidence
<b>You have been asked to be an investigator to a disciplinary or grievance or you are a hearing manager, investigating the case yourself</b>	
<input type="checkbox"/> Be clear on what you are investigating – the hearing manager should give you terms of reference (or scope of case to investigate)	Ensure you understand what is within the terms of reference (scope) to investigate and what is outside of the terms of reference (scope)
<input type="checkbox"/> Familiarise yourself any relevant Company policies/procedures	Attach copies to your investigation report
<input type="checkbox"/> Make a list of 'hard' evidence you will need to collect	Add a copy of any relevant evidence to your investigation report
<input type="checkbox"/> Make a list of witnesses that you need to interview and the order you need to see them	Attach the list to your investigation report
<input type="checkbox"/> Review any time constraints that witnesses may have and prioritise those	Make a note of any time constraints or delays in your investigation report
<input type="checkbox"/> Determine who will be taking notes of the interviews and type them up	Attach notes of investigation interviews to your investigation report
<input type="checkbox"/> Send invitations to all interviewees	Keep copies if you can but you don't need to attach them to your investigation report
<input type="checkbox"/> Ensure each interview is carried out privately and confidentially. Make reasonable adjustments for anyone with special requirements	
<input type="checkbox"/> Take notes at the interviews – type them up and give each interview a copy of their interview notes only to sign	Attach all signed interview notes to your findings. If anyone refuses to sign, attach them anyway and put a note in your findings explaining this
<input type="checkbox"/> Review all your evidence and see if you can draw a conclusion from the information collected.	
<input type="checkbox"/> Go back and collect more evidence if you need to	
<input type="checkbox"/> Review all the information you've gathered. Does it support the allegation or contradict it? What conclusion do you draw?	Your findings should include a statement of what evidence you considered and what conclusion you have drawn and why
<b>Write up your findings using the template</b>	
<input type="checkbox"/> Send your findings and copies of all the evidence you've gathered to the nominated person for the next steps to be taken.	A copy of the investigation report should be held on the personnel file of the person at the centre of the allegation/grievance. This must only be held for as long as necessary. If there

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is no case to answer or if the warning has expired remove from the personnel file, (unless there is a requirement to keep it) and only keep for 6 years if there is a need to keep it.

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