

This is a suggested proforma you can use for investigating allegations which can be adapted in line with your own internal processes and HR advice. Please use this in conjunction with the Guidance for Completing an Internal Investigation.

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| **CONFIDENTIAL INVESTIGATION REPORT INTO A CONCERN OR ALLEGATION MADE AGAINST A PERSON WORKING IN A POSITION OF TRUST WITH CHILDREN** | |
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| **Name of investigating organisation** |  |
| **Name of the Investigator** | Name  Job Title  Contact Information |
| **Dates investigation commenced and concluded** |  |
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| **Details of the person who is subject of the investigation** | Name  Job title/role  Workplace |
| **What is the Allegation/Issue?**  *Please provide brief details of the allegation or issue* |  |
| **Who has made the complaint?**  **Name and role** | |
| **Background Information:**   * *Explain how the situation came to light, actions taken prior to the investigation and what information has been shared with the individual subject of the investigation* * *Give brief details of the subject’s employment history, how long they have held their current role* * *What action has already been taken i.e. has the subject been suspended, moved to another role/location or any other arrangements to enable the investigation to take place* | |
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| **Remit of Investigation:**   * *Define the remit of the investigation. what allegations/concerns were identified as needing investigation*   *Under which policy is the investigation being carried out? E.g., conduct, disciplinary* | |
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| **The Investigation Process:**   * *Give a brief description of how information was gathered i.e. reviewing records, (identify these), evidence, interviewing witnesses* * *Give details of interviewees, name, role, date of and reason for interview* * *Reason why any witnesses were not interviewed* * *A chronology of the investigation and reason for any delays.* | |
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| **Findings:**  *Here you will summarise your findings and observations.*   * *Provide your findings separately for each allegation/concern, confirm the facts established, the sequence of events, analyse the information, identify the corroborating evidence and the significance of this, identify any mitigating factors e.g. lack of training, management actions, staffing or any other factors which may have compounded or aggravated the situation* * *If the evidence is inconclusive, or there is no evidence to support the allegation/concern, then say so*   *Identify clearly any actions that indicate a breach of policy or standards of conduct, or practice that fall below expectations* | |
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| **Conclusion:**  *Here you will identify the outcome you have found for each allegation/concern. In a safeguarding investigation the findings are made on the ‘balance of probability’ this means based on your findings and analysis ‘it is more likely than not’ that the concern/allegation happened*   * *For each concern/allegation give a ‘fact’ based opinion as to whether there is any evidence to support the allegation and the strength of the evidence* * *Identify the strengths and weaknesses in the evidence and the significance or not of any mitigating factors* * *Reference any clear facts which demonstrate a breach of procedures and/or policy*   *Give a clear concise evidenced conclusion for each concern/allegation with an outcome in line with Allegation Management procedures* | |
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| **Proposed Allegation Management Outcome/s:**  *Please propose the Outcome/s based on your conclusion. These will need to be agreed with the LADO at completion of the Allegation Management process.*  ***Substantiated*** *There is sufficient evidence to prove the allegation.*  ***Unsubstantiated*** *There is insufficient evidence to either prove or disprove the allegation. The term, therefore, does not imply guilt or innocence.*  ***Unfounded*** *There is no evidence or proper basis which supports the allegation being made.*  ***False*** *There is sufficient evidence to disprove the allegation.*  ***Malicious*** *There is sufficient evidence to disprove the allegation and there has been a deliberate act to deceive or cause harm to the person subject of the allegation.* | |
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| **Recommendations:**  *Here you will make recommendations re either formal or informal action that the employing or voluntary organisation should consider. You should not suggest any sanctions or anything that may prejudge the outcome of any formal disciplinary action* | |
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