Formal Investigation Interview

**Formal Investigation Interview – Instructions, script and notes**

**Checklist and reminders before meeting commences.**

* Familiarise yourself with the Company Disciplinary and or Grievance Procedure
* This is a private discussion and should be conducted a confidential location
* The employee is entitled to bring a colleague of their choice as representative or a Trade Union Office official. The purpose of the employee representative is to act as an advisor to the employee and should not be allowed to respond to or answer questions on their behalf.
* Use the below pages as a script for the meeting and for note taking during the Investigation Interview. Do not summarize the questions or answers i.e. take notes in 1st person.

For example:

*Investigator: Can you tell me what happened on X date.*

*Employee: I was working on Monday and that is when the incidence occurred.*

* There must be a note-taker and they must be of a level higher to that of the employee or someone completely removed from the employee’s direct business line.
* When asking questions, the investigator must not to interrogate, they should listen and probe. Start with open questions. An employee must be allowed the opportunity to respond to the questions and to give their version of events.
* This is a fact-finding exercise, and the investigator must remain objective. They should not express opinions and should not make decisions of guilt or otherwise. The investigator must establish what occurred? Who was involved? When and where the incident occurred? Consider documents/physical evidence, action taken already or any previous difficulties etc.
* There may be a requirement to take a break during the meeting. If this is the case always suspend the meeting and take note of the start and end time of the adjournment.
* Always keep a copy of any handwritten notes of the interview and get all parties present to sign each page at the end of the meeting.

**COMPANY NAME - Investigation Interview – EMPLOYEE NAME**

**Interview details:**

|  |  |
| --- | --- |
| **Employee Name** |  |
| **Location of hearing** |  |
| **Date of hearing** |  |

**Present at Interview: Name Initials Job Title**

|  |  |  |  |
| --- | --- | --- | --- |
| **Hearing Manager** |  |  |  |
| **Employee**  |  |  |  |
| **Note-taker & Observer** |  |  |  |
| **Employee Representative** |  |  |  |

Start time of the hearing**:**

**Introduction Blurb – Please use what is relevant from below:**

Initials of investigator: Thank you for attending today. I have been asked to carry out an investigation into the alleged (**specify allegation).** It is important that you understand that this is a formal investigation and not a disciplinary. **NAME** Is here to take the notes of the meeting and to act as an independent observer on the overall process. You have been offered the opportunity to invite a colleague, TU official to accompany you and **………. is here with you / you have chosen not to be accompanied.**

The purpose of the interview today is to seek to understand what has happened and to establish the facts. In order for me to do this I need to ask you some questions and you will be given the opportunity to respond. I ask that you be clear and concise as possible. If you wish to take a break at any point during the meeting or need clarification about anything, please let me know.

I would also like to remind you that anything discussed during this meeting is confidential and should not be discussed with work colleagues or anyone outside of the investigation team. If you have any questions after the meeting, please call me directly or contact the HR Team/CEO.

***Ask questions to identify the facts. What happened? What do you know? What did you see? When did you find out about? What steps did you take?***

**Note the initials of the person speaking and notes from the meeting below.**

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| --- | --- |
| **Initials** | **Notes**  |
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**Interview conclusion**

Is there anything else you wish to add? Is there anything else you believe is relevant that we need to discuss? Is there anyone you feel should be interviewed or anyone who can contribute to the investigation?

At this point it would be advisable to summarise what has been discussed and note this as part of the meeting notes.

Initials of investigator: Thank you for attending today. After I have fully completed my investigation, I will be writing up a report and a decision will be made on what further action, if any, is required. We expect to have completed the investigation by Insert timeframe.

Please ensure the above is inline with your own company policy and edit where necessary.

End time of hearing: