

Investigation report outline

Executive summary

An executive summary is a very concise overview of the investigation from inception through to the report. It should only contain information, which is in the main body of the report.

Introduction

- Name(s) or case reference number of subject(s) of complaint
- Date
- Confidentiality statement
- Nature of the complaint and which stipulations of UN rules and Code of Conduct are alleged to have been breached
- Scope of the investigation (how many complainants, witnesses, subjects etc)
- Brief contextual information e.g. country, refugee camp etc

Methodology

- The process used during the investigation
- Evidence required
- Interviews conducted
- Any impediments to the investigation i.e. lack of cooperation by subject or unwillingness to be interviewed by any witnesses

Findings

- Take each complaint in turn (if there is more than one) and summarise the evidence given by all interviewees in respect to each complaint in turn
- Describe other evidence – photos, work logs, emails etc
- Impartially state evidence to support or refute the complaint(s)
- Draw logical and fair conclusions based on the evidence

Conclusions and recommendations

The findings should be clearly stated for each complaint according to the following:

- established by reasonable inference
- not established/substantiated – insufficient or unclear evidence
- not established/substantiated – based on evidence to clear the complainant or to establish a malicious complaint

Possible outcomes

- Allegations established/substantiated:
 - The organisation's appropriate disciplinary procedures should be pursued by the disciplinary decision maker – not the investigator
 - Investigation report written
 - Note in SOC's human resources file

- Allegations not established/substantiated:
 - Inform the subject of complaint.
 - Managers are encouraged to inform other staff on a need to know basis only (i.e. inform those aware of the allegations, that the person has been cleared.)
 - Investigation closure report written.
 - If investigation finds that a malicious complaint was made by another staff member, sanctions should be pursued against that member of staff.
- Management implication report – make recommendations if the investigation indicates poor practice or negligence (i.e. training, supervision, policy changes).
- Any particular concern about possible reprisals against witnesses should be noted.

Example of an executive summary:

1. On 12 December 2005, the Human Resources Director received a written complaint of sexual exploitation filed by Ms Victim, a refugee from W country in camp 1, country Y, against Mr. Offender, Protection Officer. Ms Victim claimed that in 2003, she had sexual relations with Mr. Offender who subsequently promised to help her with her resettlement case.
2. In her complaint, Ms Victim further claimed that Mr. Accomplice, Senior Protection Officer covered up Mr. Offender's misbehaviour and discouraged her from filing a complaint by also promising to resettle her.
3. On 10 January 2006, upon request from the Human Resources Director, Ms Victim was interviewed in Town A by the Sexual Exploitation and Abuse (SEA) focal point for Country Y.
4. From 20 to 27 January 2006, an Investigation Officer conducted inquiries in Town A. On 13 February 2006, Mr. Offender was interviewed by the Investigation Officer in Town B, Country Y.
5. As regards to the allegations made by Ms Victim, the organisation is satisfied that the evidence gathered during the investigation supports a finding of misconduct against both Mr. Offender and Mr. Accomplice. Whilst there is no direct evidence of Mr. Offender's improper relations with Ms Victim, nor of Mr. Accomplice's subsequent involvement, the evidence analysed together as a whole, supports Ms Victim's account. This evidence includes:
 - testimony obtained from six witnesses, including four women, who stated that Ms Victim had confided in them in 2003 and 2004 about her relationship with Mr. Offender
 - the accurate details Ms Victim provided about Mr. Offender's bedroom and cologne
 - the fact that Ms Victim's case is the only case that Mr. Offender ever referred to resettlement
 - Mr. Offender's confused explanation as to why and how he referred Ms Victim's case for resettlement
 - the fact that Mr. Offender's written referral disappeared from Ms Victim's file and that neither he nor Mr. Accomplice made any records of their meetings with Ms Victim
6. In the organisation's view, this body of consistent testimonial and circumstantial evidence supports Ms Victim's credibility and raises a reasonable inference that her allegations against Mr. Offender and Mr. Accomplice are founded.

Example modified from an example investigation report prepared by the Inspector General's Office of the United Nations High Commissioner for Refugees (UNHCR)