

Sample letter to inform an employee that they are the subject of a disciplinary investigation

The letter refers to 'Your Guide to a Disciplinary Investigation' – please can you attach a PDF copy of the guide when the formal letter is issued. It is available from: <https://www.nhsconfed.org/wales/nhs-wales-employers/welsh-partnership-hub/nhs-wales-disciplinary-policy-and-process-2026>

[Date]

[Name and address]

Dear [Name],

Thank you for meeting with me and [Name] on [Date]. I'm writing to explain what we talked about and to provide you with some helpful information.

What we talked about

In our meeting, we talked about the concern that has been raised about [insert a brief description of the concern(s)].

I explained that I have already gathered some information about what has happened. This is called a fact-finding assessment and you have provided me with some information as part of that.

I have reviewed the information gathered so far and have decided that more information is required before I decide what we need to do to resolve the concern(s).

What this means

I will ask/ have asked [choose which one] a team of two people (known as the investigation team) to follow the steps in the NHS Wales Disciplinary Policy and Process and gather information to understand the full picture of what has happened and why - this is called an investigation.

The investigation team are [insert their details if you know them], a manager who works in the organisation and [insert their details if you know them who is] a member of our HR team.

What will happen next?

1. The investigation team will explain how they are going to gather the information in an investigation plan. They will give you a copy of this.
2. The investigation will be done as fairly and as quickly as possible and you will be given the chance to provide more information. I have given the investigation team your contact details so they can get in touch to arrange this with you.
3. Once the investigation is complete, the team will summarise all the information gathered in a written report.
4. I will use the information in this report to decide what I need to do to resolve the concern(s). This could include arranging some further training, or other support, or I might need to ask someone to consider the concern(s) at a formal disciplinary hearing.
5. I will meet with you when I have read the report and we will talk about what I think needs to happen next.

What should you do now?

1. You might find it helpful to speak to your Trade Union representative as soon as possible. If you are not a member of a trade union, you can ask a colleague to support you. I've included a second copy of this letter for you to share with your trade union representative, as it is helpful for them to see what has been said to you.
2. When the investigation team contact you, please let them know the name and contact details of anyone who will be supporting you during the investigation, so they can include them when arranging to meet with you.
3. If you think there is anyone who can provide information or there is any other information which will help the investigation team to understand what has happened and why, you should let the investigation team know, so they can arrange to get this information.

How we can support you

I know this might feel upsetting or stressful. You are not alone and there is support available to you:

1. Wellbeing support

I have enclosed/attached a copy of 'Your Guide to a Disciplinary Investigation' which explains the process and what you can expect, along with answers to questions you may have. I have also included details of people who can support you during this

time. They are specially trained to support people and will not tell anyone if you contact them.

2. Your trade union representative (rep)

If you are a member of a trade union, they can support you by listening to you and answering any questions you have. They can come to any meetings about this with you.

3. [Name], your nominated link person

[Name] will keep in touch with you regularly [state how often, e.g., weekly]. While they can't discuss the investigation details, they are here to check how you are and guide you to any support you might need.

Keeping things confidential

Your work colleagues do not need to know what is happening. They may be asked to provide information for the investigation (either because you have asked for this or the investigation team think they can help). If they are asked to provide information, they will be asked to do this confidentially and not to discuss this with anyone other than the investigation team. I am asking that you also keep this confidential, please. You may of course talk to the people named in this letter who can support you.

More information

A copy of the NHS Wales Disciplinary Policy and Process is available on the organisation's intranet. If you would prefer a paper copy, just let me know and I'll be happy to send one to you.

I have enclosed a summary of my fact find and the guide which explains more about the investigation process.

If you have any questions, worries or want to talk, please get in touch.

Kind regards,

[Your Name]

[Your Job Title]

Enclosures:

- Extra copy of letter
- Fact-Finding Assessment summary
- NHS Wales Disciplinary Policy and Process
- Your Guide to a Disciplinary Investigation

