



# Flowchart for conducting a formal workplace investigation

## 1. Initiation of Investigation

### ■ Identify the Need for Investigation:

- **Line Manager or HoD** - Is there grounds for considering disciplinary action? Has there been a complaint of Harassment and Bullying or a grievance?
- **Line Manager** – consult [People & Culture](#).

### ■ Appoint Investigating Officer:

- **Line Manager or HoD** (in consultation with People & Culture) to appoint Investigating Officer



## 2. Preparation

### ■ Familiarise with Guidance and Procedures:

- **Investigating Officer** - Review relevant policies and disciplinary procedure.

### ■ Initial Briefing:

- **Investigating Officer** - Meet with People & Culture for case briefing.

### ■ Identify Details:

- Specific issue, allegations, policies breached.

### ■ Plan Interviews:

- List of witnesses, order of interviews.

### ■ Set Timescales:

- Agree on timelines for investigation and report completion.



### 3. Notification

#### ■ Inform Involved Parties:

- **Line manager or HoD** - Notify the individual accused and witnesses about the investigation.
- Explain the nature of allegations/issues.



### 4. Conducting Interviews

#### ■ Interview Preparation:

- **Investigating Officer** - Arrange a private, confidential meeting room.
- **Investigating Officer** - Prepare a list of questions.

#### ■ Interview Process:

- **Investigating Officer**
- Introduction: Explain context, purpose, and confidentiality.
- Questioning: Use open questions, avoid leading questions.
- Clarify and probe for additional information.
- Closing Statement: Explain next steps, verify notes/statements.

#### ■ Recording Interviews:

- **Investigating Officer** - Record meetings (ideally zoom) or take detailed notes (where appropriate to be shared with the witness).



### 5. Evidence Collection and Analysis

#### ■ Gather Evidence:

- **Investigating Officer**
- Collect written and physical evidence.
- Review relevant policies, procedures, and documents.

■ **Analyse Evidence:**

- Evaluate evidence, identify inconsistencies.
- Verify facts and consider mitigating factors.

- **Note:** – if further investigation meetings are required complete steps 4 & 5 above.



## 6. Report Preparation

- **Investigating Officer - Compile Investigation Report (see example).**



## 7. Review and Decision

■ **Submit Report:**

- **Investigating officer** - Send the report to the Head of Department and a copy to People & Culture.

■ **Decision Making:**

- **HoD (supported by People & Culture)**, decides on further action in accordance with disciplinary and any other appropriate policy.



## 8. Follow-Up

■ **Communicate Outcome:**

- **Line manager or HoD** - Inform involved parties of the investigation outcome.

■ **Implement Recommendations:**

- **Line manager or HoD** - Follow through with any recommended actions (e.g., training, policy updates).