



# Workplace Investigations Training Overview

## Overview

This handout provides an overview of the key concepts, processes, and skills necessary for conducting effective workplace investigations which will be covered in the training.

## Why Investigate?

Investigations are essential to address issues such as conduct, grievances, performance, capability, and whistleblowing. They help mitigate risks, including legal claims, financial exposure, reputation damage, and loss of productivity.

## Support Resources

- HR
- Policies, Procedures, Templates, Proformas
- ACAS Guidance
- Disciplinary and Grievance Procedures
- Regulatory Guidance

## Roles and Responsibilities of an Investigator

- **Appointed:** Internal or external, trained, and able to act promptly.
- **Fair, Objective and impartial:** Follow organisational policies, gather balanced evidence, and maintain confidentiality.
- **Not Easily Influenced:** Independent decision-making.

## Investigation Structure

### 1. Preparation and Planning:

- Obtain a clear terms of reference setting out what you are or are not being asked to investigate.
- Know the benchmarks the allegations are being measured against.
- Develop an investigation plan, including timelines and evidence collection.

- Use available resources to structure the investigation.
- Plan how to communicate with involved parties.
- ACAS Plan at Annex 1

## 2. Evidence Collection and Interviews:

- Collect direct, relevant evidence from witness statements, documents, and other relevant information.
- Conduct structured interviews.
- Take detailed notes and document findings.
- Maintain confidentiality.

## 3. Analysis and Decision-Making:

- Evaluate evidence using the balance of probabilities.
- Focus on facts, corroborate evidence, and avoid assumptions.
- Note mitigating factors.
- Make evidence based conclusions.

## 4. Reporting and Follow-Up:

- Draft a clear, structured and comprehensive investigation report.
- Use neutral language and avoid jargon.
- Include all evidence and document findings clearly.
- Provide a definitive finding.
- Be clear where the report is being disclosed.
- ACAS report at Annex 2.

## Human Skills



**Impartiality and Objectivity:**  
Avoid biases and remain neutral.



**Analytical Skills:** Evaluate evidence critically.



**Building Rapport:** Establish trust with interviewees.



**Emotional Control:** Manage your own emotions and understand others'.



**Communication Skills:**  
Effective questioning and active listening.



**Unconscious Bias:** Be aware of and mitigate biases.

## Common Challenges



**Bias:** Ensure impartiality throughout the investigation.



**Misunderstanding Allegations:** Clearly define and understand the allegations.



**Insufficient Evidence:** Gather thorough and relevant evidence.



**Logical Conclusions:** Base conclusions on evidence, not assumptions.



**Timeliness:** Conduct investigations promptly to avoid delays.

## Delivery Style

- **Interactive learning** – real-time discussion, polls, and scenario-based questions
- **Case studies** – practical examples to apply legal principles to real workplace situations
- **Quizzes and knowledge checks** – reinforce learning and test understanding throughout
- **Group work and breakout discussions** – encourage peer learning and shared perspectives
- **Role-play and simulations** – practise difficult conversations and procedural steps (e.g., disciplinarys)
- **Workbooks and downloadable resources** – support ongoing reflection and note-taking
- **Modular format** – build knowledge step-by-step or target specific areas
- **Optional pre-recorded videos** – for self-paced review or refresher learning

## Flexible Delivery Options

We offer a variety of delivery options, please contact us at [contact@impactlawyers.co.uk](mailto:contact@impactlawyers.co.uk) for further information.