

CONDUCTING EFFECTIVE WORKPLACE INVESTIGATIONS

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Introduction

- Investigation Process
- Disciplinary Proceedings
- Whistleblowing Law
- Privacy Considerations
- Policies & Procedures



The Importance of Policies Throughout

- Fairness
- Expectations & Consequences
- Transparency



Investigation Process

- Step 1: Organisational Preparation
- Step 2: Who's Investigating
- Step 3: Meetings
- Step 4: Evidence
- Step 5: Reporting
- Step 6: Follow Up

Step 1: Organisational Preparation

- Necessity
- Terms of Reference
- Time Frame
- Responsible Person
- Ensuring Confidentiality
- Preparatory Steps



Step 2: Who's Investigating

- Policies, Procedures & Practices
- Third Parties
- Privacy
- Information
- Point of Contact



Step 3: Meetings

- Avoid one to one encounters
- Encourage recordings
- Avoid intimidation
- Adopt own style

Step 4: Evidence

- Focus on role
- Establishing facts
- Avoid making conclusions



Step 4: Evidence (II)

- Witness statements
- Written records/documents
- Other physical evidence
- Personal possessions



Step 5: Reporting Findings

- Facts established
- What was not established
- Other matters



Step 6: Follow Up

- Complete investigation
- Submit report
- Secondary report on unrelated matters



THANK YOU

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