Dignity at Work DAW Investigation Framework – Guidance for CI

Thank you for agreeing to undertake the role of Case Investigator. The below framework provides guidance on the roles and responsibilities of the Case Investigator, including the appropriate manner in which a DAW Investigation should be undertaken.

1) A Case Investigator (CI) will be appointed. In line with ACAS best practice principles, where possible this individual should have had no prior involvement in the case and should be appropriately trained/ experienced.
2) The Lead Employer HR representative will provide the CI with all of the pertinent documentation required to undertake the investigation, and where necessary will arrange to speak with the CI before the investigation commences in order to provide guidance on the policy/process.
3) Once the information has been reviewed by the CI, they should then determine who they intend to interview.
4) Invite letters should be drafted to individuals to invite them to interview (either via phone or face to face), individuals should always be given the opportunity to be accompanied by a recognised trade union official, a colleague, friend or spouse. Witnesses should be reminded that they should not discuss matters relating to the investigation with any other individuals except for the CI and their Trade Union representative or selected colleague, friend or spouse who will accompany them.
5) During the interview, open questions should be used to address the matters that are being investigated.
6) Notes of the interview should be taken to capture the salient points (where possible by a Host Organisation HR representative). These notes should be shared with the interviewee following the interview to ensure that they reflect the conversation accurately.
7) Once the interviews are complete, the CI should produce an investigatory report to detail the investigatory process, the findings of fact and the conclusions. NB it is not the role of the investigator to decide the course of action, they are simply presenting the facts established throughout the course of the investigation. The report should contain appendices which detail all of the information that has been relied upon when drafting the report, including notes from any investigatory meetings.
8) Once the investigation is completed, a copy of the investigation report should be shared by the CI with an independent reviewing manager from within the Host Organisation, this individual should determine whether, based on the facts presented in the investigation report, the compliant is upheld or not. The reviewing manager should then write to the LE confirming the outcome.
9) The CI should contact the Lead Employer Case Management team at any time throughout the investigation in order to clarify any point relating to the policy/process.