

# Investigations at work

## 1 . Step 1: Deciding to investigate

When there is a possible [disciplinary](#) or [grievance](#) issue at work, the employer should do an 'investigation'. This is where they find out all they reasonably can about the issue.

An investigation is to:

- gather evidence from all sides
- see if there is a case to answer
- make sure everyone is treated fairly
- help the employer to see what should happen next

At any stage the employer can still look at whether:

- the formal procedure needs to carry on
- the issue can be resolved informally instead

## Following a fair procedure

To protect everyone involved in a disciplinary or grievance case, the employer must make sure they follow a fair procedure. The investigation is an important part of this.

If the employer does not carry out a reasonable investigation, any decisions they make in the disciplinary or grievance case are likely to be unfair. This could risk legal action.

Investigations are covered by the [Acas Code of Practice on disciplinary and grievance procedures](#). If your organisation has its own policy or procedure for investigations, it must follow the Acas Code as a minimum.

If a disciplinary or grievance case reaches an [employment tribunal](#), judges will look at whether the employer has followed the Acas Code of Practice in a fair way.

## Training for employers and managers

You can [book Acas training on conducting investigations](#).

Acas also offers [free webinars](#), including on investigations and disciplinary procedures.

## 2. Step 2: Preparing to investigate

If the employer has decided to investigate a disciplinary or grievance issue, they should start as soon as possible.

This is to make sure they're treating the employee fairly. For example, people might remember a situation more clearly the sooner they're asked about it.

## Who can carry out the investigation

The employer should get somebody who's not involved in the case to carry out the investigation, for example another manager or someone from HR.

If this is not possible, they should try and make the procedure as impartial as they can.

Where possible, the person investigating should also have had training. [Acas offers training courses](#) in handling disciplinary and grievance procedures, including courses on conducting investigations.

### In a disciplinary case

In a disciplinary case, the employer should think about who will handle matters if further action is needed.

Where possible, a different person should handle each step of the [disciplinary procedure](#) that's needed:

- the investigation
- the [disciplinary hearing](#) and [outcome](#)
- the [appeal hearing](#) (if an appeal is raised)

The person handling the disciplinary hearing should have the authority to make a decision on the outcome.

### In a grievance case

For a [grievance](#) investigation, it is usually best for the person hearing the grievance to investigate the issue.

You can find more details on choosing who to carry out the investigation in the [Acas guide to conducting workplace investigations](#).

## Making an investigation plan

The employer and the person investigating, if there is one, should start by making an investigation plan.

This can include:

- what needs to be investigated
- who is carrying out the investigation
- 'witnesses' – anyone who needs to be spoken with to find out about the issue
- any sources of evidence, for example work records, emails or CCTV recordings
- any time limits, for example CCTV footage being deleted or staff going on leave
- timeframes
- policies or organisation guidelines to follow
- whether the person investigating is expected to give recommendations at the end of the investigation
- setting out the importance of confidentiality
- any other relevant points or information

A clear plan can help to:

- make the investigation as quick and easy as possible

- make clear exactly what needs to be done
- make sure the process is full and fair
- avoid negative effects on staff or the business

Employers and investigators can:

- find more details on making an investigation plan in the [Acas guide to conducting workplace investigations](#)
- download and use the [Acas template for an investigation plan](#)

## Telling the employee

The employer or person investigating should tell the employee with the disciplinary or grievance issue as soon as they decide to open an investigation.

This is unless the employer thinks there is a risk that the employee might tamper with evidence or influence witnesses. In this case, the employer should wait until there is less risk of this.

When the employer tells the employee they are opening an investigation, it's a good idea for them to explain:

- why they're carrying out an investigation
- who will be carrying it out
- what they're going to do
- that they'll need to talk to any witnesses
- how long it could take
- what will happen next, for example a meeting
- that everything will be kept confidential

Employers can use the [Acas letter templates](#) for:

- disciplinary cases – informing an employee they are the subject of an investigation
- grievance or disciplinary cases – inviting an employee to an investigation meeting

An investigation can be stressful for the employee in either disciplinary or grievance cases. It's important for employers to consider the wellbeing and mental health of their employees and offer support where needed.

## Deciding whether to suspend an employee

If there's a serious issue or situation, an employer might consider suspending someone while they investigate.

An employer should consider each situation carefully. Suspension will only be needed in some situations.

If an employer feels they need to suspend someone, it's important to consider:

- alternative options to suspension
- the wellbeing of the person they're thinking of suspending – being suspended can be stressful and affect someone's mental health

[Find out more about suspension during an investigation](#)

## 3. Step 3: Carrying out an investigation

In a disciplinary or grievance investigation, the person investigating should do their best to:

- be fair and objective
- follow any policies or guidelines your organisation might have
- get as much information on the case as is reasonable
- not try to prove guilt, but get balanced evidence from both sides
- keep the case confidential

In a disciplinary procedure, the person investigating should be finding out if there is an issue that needs to be addressed. They should not be trying to prove guilt.

## How long an investigation needs to take

While an investigation should be completed as quickly as possible, it always needs to be thorough and fair.

Some investigations might take longer depending on the case and how many people need to give information.

For example, a simple case might only take a day to gather enough information. A more complicated case could take several weeks.

Your organisation might have timescales for investigations written in their policy. Otherwise, the employer or person investigating should set a reasonable timescale and tell the employee.

If it's found that more time is needed during the investigation, this should be allowed for. Any delays should be explained to anyone involved and written in the investigation report.

## Getting physical evidence

The person investigating should get all the information they reasonably can and need for the case.

They should work out what physical evidence is needed based on:

- what's laid out in the investigation plan
- what sources of information they can use
- any time limits, for example records getting deleted

More evidence might come to light as the investigation goes on, so the person investigating should allow for this.

Types of physical evidence could include:

- emails
- paperwork
- receipts
- computer records
- phone records
- CCTV recordings
- attendance records

The person investigating must consider the ways they can get information and:

- follow the law – for example, on data protection or [employment contracts](#)
- respect the employee's right to privacy

You can find out more on:

- [data protection on the Information Commissioner's Office \(ICO\) website](#)
- gathering evidence in the right way in the [Acas guide to conducting workplace investigations](#)

The person investigating should keep a written record of how and why they got any evidence.

## Holding investigation meetings

In both disciplinary and grievance investigations, the person investigating might also need to get information from:

- the employee
- 'witnesses' – other employees involved
- other witnesses, for example clients or customers

If you need to invite someone to an investigation meeting, you should:

- let them know in writing – for example, a letter or email
- confirm the date, time and location
- give them reasonable notice

## The right to be accompanied

'The right to be accompanied' means that by law, an employee or worker can bring a 'companion' (relevant person):

- to any meetings – in a [grievance procedure](#)
- to a meeting or hearing that will give or confirm a formal warning or other disciplinary action – in a [disciplinary procedure](#)

In a disciplinary investigation meeting, there is no legal right to be accompanied but it's good practice for employers to allow it.

### If there's the right to be accompanied

If the employee or worker has the right to be accompanied, they must choose their companion from one of the following:

- someone they work with
- a workplace trade union representative who's certified or trained in acting as a companion
- an official employed by a trade union

Under discrimination law, employers must make [reasonable adjustments](#) for disabled employees. This might mean allowing someone else to attend, for example a support worker or someone with knowledge of the disability and its effects.

Employers can, but do not have to, allow companions who do not fall within the above categories. For example, some employment contracts might allow for a professional support body, partner or legal representative.

Find out more about the right to be accompanied in the [Acas guide to discipline and grievances at work](#).

## If an employee cannot attend an investigation meeting

If an employee is invited to an investigation meeting but they do not attend, the person investigating should rearrange the meeting.

The employer or person investigating should see if it would help to make other arrangements.

For example, if the employee is off with stress and is worried about coming to the workplace, they could hold the meeting somewhere else.

If the employee is too sick, or not able or willing to attend, the person investigating will need to look at all available evidence and make a reasonable decision.

They could also look at:

- the seriousness of the disciplinary or grievance issue
- any rules your organisation has about not attending investigation meetings
- how your organisation dealt with similar cases in the past
- getting a medical opinion on whether the employee is fit to attend the meeting – with the employee's permission

The employer might decide they need to carry on with the investigation without the employee. If they do, they should tell the employee.

The employer must carry out the investigation in as full and fair a way as possible.

## Looking after employees' wellbeing and mental health

Being under investigation can be very stressful, so it's important that employers consider the wellbeing and mental health of their employees.

Looking out for employees' wellbeing and offering support can help prevent:

- absence
- mental health problems arising
- existing mental health conditions getting worse

For example, the employer should keep in regular contact with the employee. They could also arrange any meetings in a more private and comfortable location if this would help an employee.

[Find more advice on supporting mental health at work](#)

Related content

[Training – conducting investigations](#)

## 4. Step 4: If there are witnesses

Witnesses can give important evidence that might help decide the outcome of a disciplinary or grievance case.

If there's any witnesses with information about the discipline or grievance issue, the person investigating can ask them to write it down in a 'witness statement'.

The person investigating can also have a meeting with a witness to ask them what they know or saw. Someone should take notes during the meeting. At the end of the meeting, the witness should sign the notes and these can also form a witness statement.

## Taking a witness statement

The person investigating might decide a witness can give a statement without having a meeting. For example, if the witness:

- is not an employee, for example a customer or client
- only needs to give very simple information
- is ill and cannot come to an investigation meeting

The person investigating should ask the witness to write:

- their name and, where applicable, job title
- the date, place and time of any relevant issues
- what they saw, heard or know
- the reason why they were able to see, hear or know about the issues
- answers to specific questions, where necessary
- the date and time of writing their statement
- their signature

The witness should have reasonable time to give the statement.

## Talking to a large number of witnesses

If a large number of people witnessed the same incident, the person investigating should:

- talk to some of the witnesses
- check whether they're broadly saying the same thing

The person investigating does not have to talk to all witnesses, unless either of the following apply:

- they feel they're not getting enough information
- there are significant differences in what the witnesses say

## Taking records

The person investigating can make audio recordings of interviews or assign a person to take notes, depending on:

- what is most appropriate or possible
- what the organisation's policy or rules allow
- if the person being interviewed agrees

Find out more on recording investigation meetings in the [Acas guide to conducting workplace investigations](#).

## Sharing information and confidentiality

When getting information from a witness, it's a good idea to get their consent to be able to share it if necessary. For example, in case other people working on the investigation need to look at the information.

The employee under a disciplinary investigation, or who has raised a grievance case, should be given a copy of any written evidence including witness statements.

If someone believes they've been named in a report, they have the right to see any parts that:

- have information about them
- depended on information they gave

They should not be allowed to see private information about other people.

The employer should keep investigation reports for a while, in case there are any questions in the future. How long they keep reports might be set out in a workplace policy.

If the report includes people's details, the employer should store it securely and only allow access when necessary. Anyone who has access needs to follow data protection law (UK GDPR).

The report should be securely disposed of once it's no longer needed or is out of date. For example, it could be shredded.

[Find out more about data protection on the Information Commissioner's Office \(ICO\) website](#)

## More advice on carrying out investigations

Read the [Acas guide to conducting workplace investigations](#) for more on:

- interviewing witnesses
- if a witness refuses to give a statement

## 5. Step 5: After an investigation

If the employer or person investigating feels they need more information, they can go back and investigate again.

They should:

- try to do this in reasonable time
- tell the employee about any delays completing the investigation

## Making an investigation report

When there's enough information and the investigation is finished, the employer should have a written report. The employer should share this report with the employee.

For more help writing investigation reports, you can use:

- [the Acas guide to conducting workplace investigations](#)
- [our template for investigation reports](#)

If the employer had a person carrying out the investigation for them, that person can give recommendations for next steps, if this was agreed in the [investigation plan](#).

## Giving recommendations

If the person investigating is to give recommendations at the end of the investigation, they should recommend one of the following:

- formal action
- informal action
- no further action

### Formal action

Formal action could be:

- to initiate a disciplinary hearing
- changes to an organisation's policy or procedure
- further investigation into other matters that were found

## Informal action

Informal action could be:

- training or coaching for parties involved
- counselling for parties involved
- mediation for parties involved
- notification that further similar action might end in disciplinary action

## No further action

The outcome of the investigation might be that no further action is needed.

However, the person investigating might still suggest anything that could help the organisation and the people involved, for example:

- counselling
- mediation
- another form of support

## Carrying on with the disciplinary or grievance procedure

Now they have more information, the employer should check again if the issue can be resolved informally.

After an investigation, the employer might find there's no evidence to carry on with the disciplinary or grievance procedure. In this case, they should end the procedure and tell the employee in question there'll be no further action.

The employer might find there's an issue that cannot be resolved informally. In this case they should follow the next steps in the disciplinary or grievance procedure.

Find out more about:

- [the disciplinary hearing](#)
- [the grievance meeting](#)